Summary of Changes
to
Procedure 200.2-2
Processing Inactive Records

Revised Version Issued as P 200.2-2B

LM Procedure 200.2-2A, Processing Internal Inactive Records for Storage of 7/18/07, has undergone revision. The revised procedure includes updated references, definitions, and formatting. Please replace LM Procedure 200.2-2A with LM Procedure 200.2-2B.

U.S. Department of Energy
Office of Legacy Management

Procedure: 200.2-2B

Effective: 8/11/08

SUBJECT: PROCESSING INACTIVE RECORDS

1. PURPOSE. To provide personnel with instructions for processing non-electronic records for inactive storage and for subsequent disposition of inactive records.

2. CANCELLATION. Legacy Management (LM) Procedure 200.2-2A, Processing Internal Inactive Records for Storage, dated 7/18/2007

3. REFERENCES.

    a. 44 United States Code (U.S.C.) Chapter 29, Records Management

    b. 44 U.S.C. Chapter 33, Disposal of Records

    c. 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B, Records Management

    d. U.S. Department of Energy (DOE) Order 243.1, Records Management Program

    e. DOE Guide 1324.5B, Implementation Guide for 36 CFR Chapter XII – Subchapter B

    f. LM Procedure 200.1-1, File Plan

    g. LM Procedure 200.2, Electronic Records

    h. LM Procedure 200.4, Records Management

    i. Disposition of Federal Records: A Records Management Handbook, National Archives and Records Administration (NARA)

    j. The FRC Toolkit, Your Guide to Federal Records Centers Services, NARA

INITIATED BY: Office of Business Operations
NO. OF PAGES/ATTACHMENTS: 10 pages, 4 attachments

k. DOE Chief Information Officer (CIO) Memo RM-2003-02, Records Storage Requirements

l. Department of Defense (DoD) Standard (STD) 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard

4. DEFINITIONS.

a. Accession -- Transfer of legal and physical custody of permanent records from an agency to the National Archives, or the transfer of agency records to a Federal Records Center (FRC) for temporary storage. The agency retains legal custody of records during temporary storage.

b. Case Files -- Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. Include personnel, project, and transaction files, which are types of case files.

c. 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.

d. Disposition -- The actions taken regarding records no longer needed for current Government business. These actions include transfer to agency storage facilities or FRCs, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the final stage of the records life cycle.

e. 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 DoD 5015.02-STD to ensure the records it maintains have sufficient authenticity and reliability to meet the agency's recordkeeping requirements.

f. Federal Facility Agreement (FFA) -- A formal agreement required by the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) and executed by Federal and state agencies to document the provisions of site environmental remediation activities. An FFA typically includes the remediation objectives and obligations.

g. Federal Records Center (FRC) -- A records storage facility operated by NARA.

h. 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.

i. Inactive Records -- Records that must be retained, but are accessed infrequently. Also referred to as noncurrent records.

j. Inactive Records Storage Area -- Designated approved location for inactive records storage. Locations can be LM internal storage, a NARA FRC, or the National Archives in Washington, DC.

k. 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.

l. 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.

m. Program Records Official (PRO) -- Individual who ensures that all LM records management practices are properly executed.

n. 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.

o. Records Coordinators -- Personnel who work with the Records Liaison Officer to provide support for LM records management activities.

p. Records Liaison Officer (RLO) -- Individual(s) designated by the PRO to oversee the LM Records Management Program in cooperation with the DOE Records Officer.

q. 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.

r. 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.

s. Temporary Records -- Records approved by NARA for disposal, either immediately or after a specified retention period.

5. QUALITY CONTROL.

The RLO reviews this procedure as necessary, but at least annually, to accommodate changing conditions within LM and to ensure compliance with applicable laws, regulations, and DOE requirements.

6. RESPONSIBILITIES.

a. The PRO, Team Leader of Archives and Information Management (AIM), is responsible for ensuring that the disposition requirements in this procedure are adhered to for all inactive records.

b. The RLO is responsible for:

- Ensuring inactive records are properly dispositioned.
- Providing guidance to Records Coordinators concerning records disposition.
- Transferring inactive records to the inactive records storage area.
- Reviewing and signing General Services Administration (GSA) Standard Form 135 (SF-135), Records Transmittal and Receipt, and SF-258, Agreement to Transfer Records to the National Archives of the United States.
- Approving destruction of temporary records having met retention according to approved records schedules.

c. The Records Coordinators are responsible for:

- Ensuring all record material is filed and cut off according to the LM File Plan.
- Identifying and processing inactive records for transfer to inactive records storage.

- Dispositioning inactive records using approved forms and processes described in this procedure.

7. TRAINING REQUIREMENTS.

Personnel with responsibilities for inactive records should be cognizant of the applicable requirements and processes within this procedure and those of the OCIO and NARA.

8. DOCUMENT CONTROL.

a. The Directives Manager shall maintain the official controlled version of this document in the LM ERKS.

b. The Directives Manager shall place the most current version of this procedure on the LM Intranet in a read-only format.

c. Printed hard copies of this document shall be considered information-only copies.

9. PROCEDURE.

This procedure provides instructions for inactive storage and disposition of paper-based records and other non-digital media. Instructions for filing and maintaining electronic records are contained in LM Procedure 200.2, Electronic Records and LM Procedure 200.1-1, File Plan.

Attachment A. illustrates the process of preparing inactive records for storage. Attachment B. illustrates the process of dispositioning inactive records.

a. Preparing Inactive Records for Storage

(1) The Records Coordinator:

(a) Identifies records as being eligible for transfer to inactive storage, when they meet the following conditions:

- A cutoff criterion has been met according to the LM File Plan.
- The record file is not accessed frequently and the total record volume exceeds available office storage capacity.

(b) Prepares inactive records for transfer:

1 Procures and assembles approved record storage boxes (see Attachment C.).

2 Separates records by series and removes duplicate and nonrecord material. Record boxes prepared for inactive storage must not contain mixed record series.

3 Removes all metal objects (e.g., paper clips, binder clips, and staples) from the records. Rusting metal can have a detrimental effect on paper records stored for long periods.

4 Places individual record groupings in either letter or legal size accordion or manila folders. Accordion folders are preferred. Hanging folders are unacceptable because they contain metal.

5 Marks each folder with a unique identifier (e.g., correspondence control number, purchase order number, contract number), any LM File Plan code associated with the series, and a descriptive file name (e.g., 2004 General Correspondence). Proper folder identification facilitates future retrieval. Do not use adhesive labels on folders.

Sample folder marking

6 Determines the order the records will be filed in the record box (this should match the office filing system). For example:

- Order correspondence files by correspondence control number and year.
- Order contract files by number and year.
- Order personnel files alphabetically or by employee number.

7 Places the marked file folders in the record box in the order determined in step 9.a.(1)(b)6. Arrange letter-size folders in the record box from front to back. Arrange legal-size folders from left to right.

8 Fills each record box to at least 80 percent capacity, but does not over pack the box. Leaving 1 to 2 inches of space

facilitates ease of reference. Over packed boxes are more likely to burst while in storage.

9 Creates a record index for each box, and places the index in the box on top of the record files.

10 Numbers each box in the accession (e.g., 1 of 2) with a black, permanent felt-tipped marker on the front of the box in the upper right corner and secures each box by crisscross folding the flaps. Do not use tape to secure the boxes.

(b) Generates an electronic version of SF-135, Records Transmittal and Receipt following the instructions included with the form. The Records Coordinator completes a separate form for each record series transferred. (Note: An SF-258, Agreement to Transfer Records to the National Archives of the United States may be initiated for early transfer of permanent records to the National Archives. See section 9.b.[2].)

(c) Forwards the SF-135 to the RLO for approval.

(2) The RLO:

(a) Reviews and quality checks each SF-135 submitted by the Records Coordinator. The RLO verifies that:

- The SF-135 does not identify mixed record series.
- The SF-135 includes the correct disposition authority and retention periods.
- Information on the SF-135 is complete.

(b) Works with the Records Coordinator to address any discrepancies.

(c) Signs each SF-135 and returns the form to the Records Coordinator. (Electronic SF-135s may be signed digitally.)

(3) The Records Coordinator:

(a) E-mails the signed SF-135 to the designated FRC to receive an accession number and instructions for transferring the records. (FRC e-mail addresses are available on the NARA Internet site. The FRC adds the accession number to the form and returns it to the Records Coordinator.)

(b) Writes the FRC accession number on each box being transferred.

(c) Follows the FRC instructions for transferring the records and arranges for shipping. The Records Coordinator ensures the boxes are properly prepared for shipping (see the NARA Guide to Federal Records Centers Services for specific shipping guidance).

(d) Creates and stores a portable document format (PDF) image of the SF-135 in the “FRC [Site Name]” folder in the LM ERKS. The Records Coordinator includes any storage location information provided by NARA.

b. Inactive Records Disposition

(1) Temporary Records Disposal

(a) The RLO:

1 Receives NARA Form 13001, Notice of Eligibility for Disposal from an FRC or identifies LM temporary records eligible for destruction.

2 Works with the Records Coordinator to verify that the retention period stated is accurate for the identified records. (If the records are incorrectly scheduled, reprocess the records following applicable steps in section 9.a., Preparing Inactive Records for Storage.)

3 Ensures that records eligible for destruction are not affected by any FFAs, moratoriums, contractual provisions, litigations, or General Counsel directives requiring continued retention.

4 Identifies approval authorities (LM personnel, stakeholders) who must concur with the planned records destruction.

5 Instructs the Records Coordinator to create and distribute a Notification of Pending Records Destruction e-mail notification to identified approval authorities (see Attachment D.).

(b) The Records Coordinator:

1 Distributes the Notification of Pending Records Destruction to approval authorities.

2 Tracks and compiles concurrences from approval authorities, following up as needed to secure responses.

3 Forwards compiled concurrences to the RLO.

(c) The RLO:

1 Reviews each concurrence collected by the Records Coordinator.

2 Completes NARA Form 13001 authorizing destruction or authorizes destruction of LM-maintained temporary records. The RLO returns the completed form to the FRC and forwards a copy to the Records Coordinator.

(d) The Records Coordinator:

1 Creates a single PDF file to serve as an electronic destruction case file. The case file includes, as applicable:

- The SF-135 with corresponding accession and box index (The SF-135 image is moved from the original "FRC [site name]" folder to the destruction case file being compiled);
- The completed destruction notice from the FRC; and
- Evidence of all destruction approvals.

2 Places the destruction case file in the LM ERKS.

(2) Permanent Records

(a) The RLO:

1 Receives SF-258, Agreement to Transfer Records to the National Archives of the United States from an FRC when LM permanent records meet their disposition schedule requirements for transfer to the National Archives. [Note: The RLO may also initiate an SF-258 to facilitate early transfer of permanent records to ensure long-term preservation requirements are addressed. Instructions for completing the SF-258 are included with the form.]

2 Reviews the form and confirms that the records referenced are permanent.

3 Completes the SF-258 and authorizes transfer of permanent records. The RLO sends the form to the FRC and sends a copy to the Records Coordinator.

(b) The Records Coordinator:

1 Images the SF-258 and places it in the "FRC [site name]" folder in the LM ERKS.

2 Arranges to transfer records according to NARA instructions if the SF-258 was initiated by the RLO and the records are in LM's physical custody. The SF-258 is used to document the change in the records' legal custody and to state transfer terms.

10. ATTACHMENTS.

a. Attachment A. – Preparing Inactive Records for Storage Flowchart

b. Attachment B. – Inactive Records Disposition Flowchart

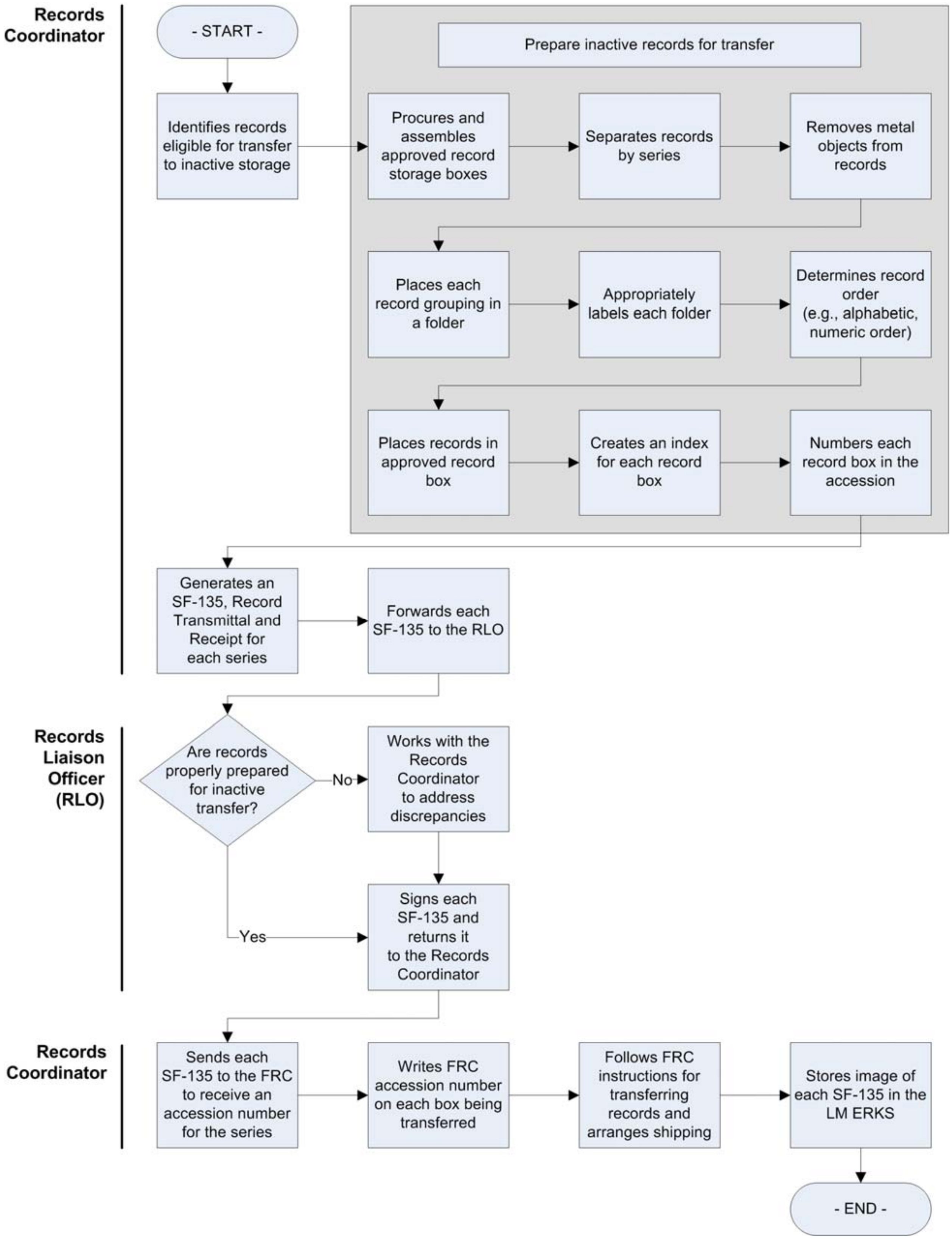
c. Attachment C. – Inactive Record Storage Supplemental Information

d. Attachment D. – Notification of Pending Records Destruction

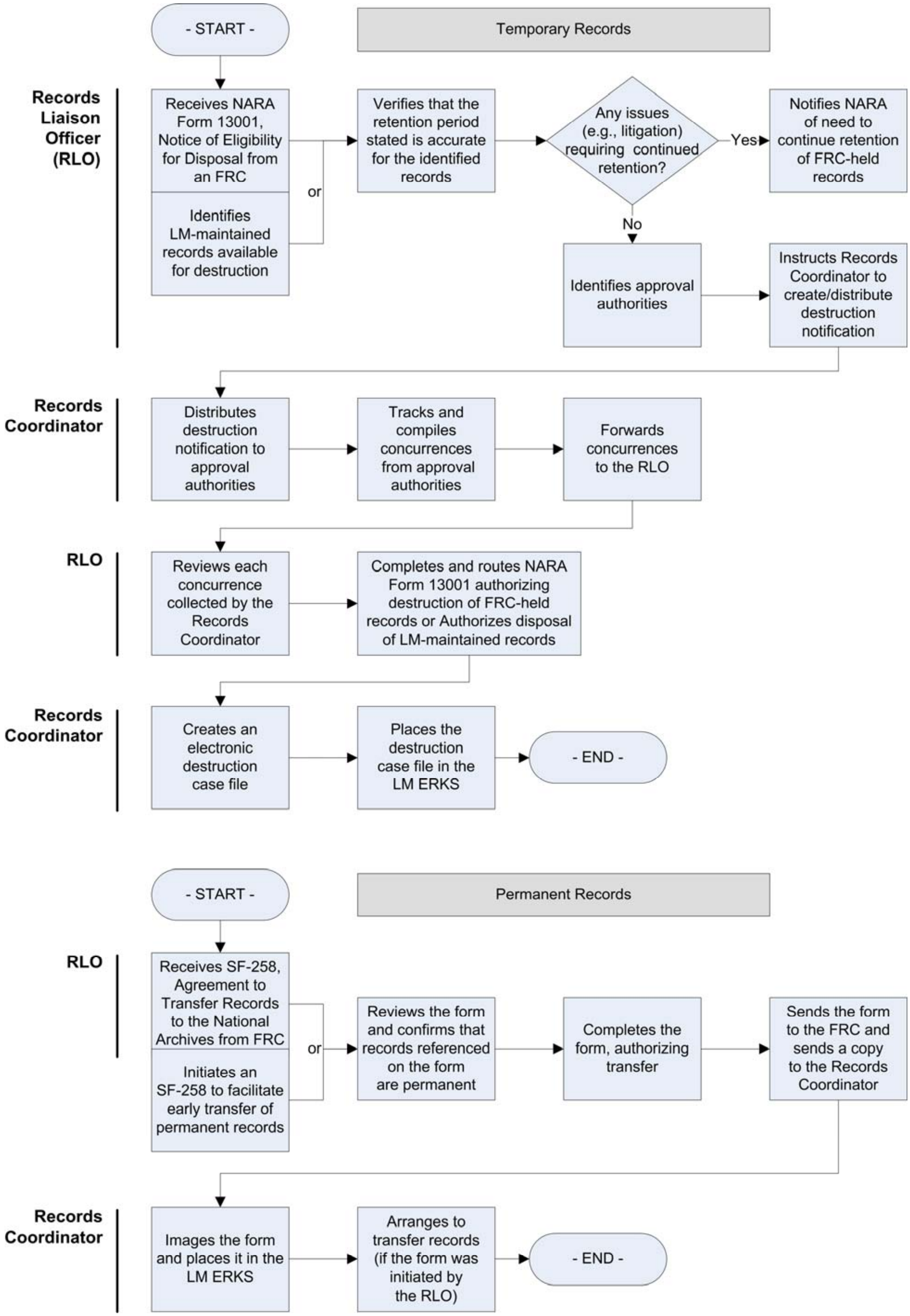
Approved: Original signed by Robert Baney 8/11/08
Acting Director
Office of Business Operations

Distribution: As required

Attachment A. – Preparing Inactive Records for Storage Flowchart



Attachment B. – Inactive Records Disposition Flowchart



Attachment C. – Inactive Record Storage Supplemental Information

a. The National Archives and Records Administration (NARA) requires agencies to use specific materials for record transfers. The materials are available in the current General Services Administration (GSA) Global Supply Catalog as follows:

- Standard-size record box for legal- or letter-size files:
  - 14 ¾ x 12 x 9 ½ inches
  - GSA National Stock Number (NSN): 8115-00-117-8249

  Note: Boxes exceeding these dimensions will not fit on records center shelving.

- Half-size box:
  - 14 ¾ x 9 ½ x 4 ¾ inches
  - NSN 8115-00-117-8338

- X-ray box:
  - 18 x 15 x 5 ½ inches
  - NSN: 8115-00-290-3386

- Magnetic tape box (lock bottom):
  - 14 ¾ x 11 ¾ x 11 ¾ inches
  - NSN: 8115-00-117-8347

  Note: This box is intended only for magnetic tape. It will not fit on standard records center shelves.

- Black, permanent felt-tip marker:
  - NSN: 7510-00-079-7905

b. Approved records storage facilities cannot accept mixed records series (records with different disposition authorities) without an approved exception.

c. The ability to identify records for recall (and the ability of storage facility personnel to locate the records requested) depends on how carefully the record files are labeled and arranged.

d. Non-paper-based records (tape recordings, videotapes, records on magnetic media, x-ray images, microfilm, etc.) should not be mixed with paper records because of temperature and humidity requirements.

e. Record boxes should be at least 80 percent full and never over packed. Always leave a 1- to 2-inch space in each box to allow ease of reference and retrieval. Additional material is not allowed on the bottom, side, or top of the records inside the box. If necessary, fill empty space in the box with kraft paper.

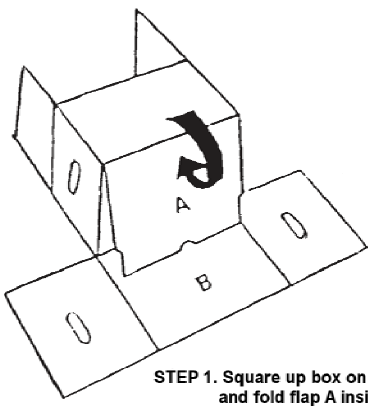
f. When numbering or writing on record boxes, observe the following:

- Use a black, permanent felt-tip marker and write the numbers in the space provided on the front of the box in the upper right corner. Numbers should be at least 1.5 inches in height.

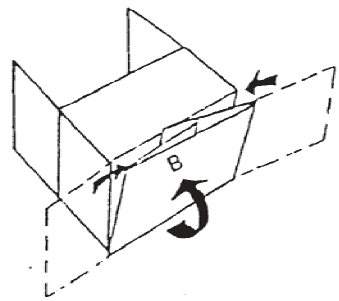
- Do not use labels to supply additional identifying information. (No standard method of affixing labels is effective for long-term storage.)

- The sides of the boxes may be used to write any information deemed necessary concerning box content.

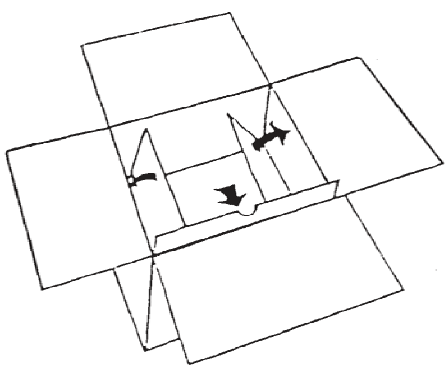
g. Record Box Assembly Diagrams



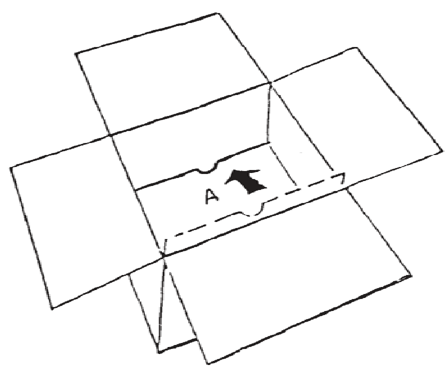
STEP 1. Square up box on its side, and fold flap A inside.



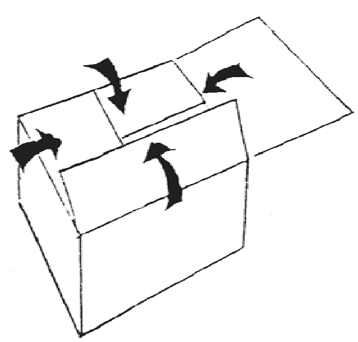
STEP 2. Fold extensions over flap B, and fold to closed position.



STEP 3. Lift flap A to vertical position, then lift and fold extensions of flap up against end wall of box.



STEP 4. Lower flap A to bottom of box.



STEP 5. Crisscross fold top flaps to secure box. (Do not seal box with tape)

Attachment D. – Notification of Pending Records Destruction

A Legacy Management (LM) Records Coordinator initiates the following e-mail communication to request required approval for destruction of LM records housed at Federal Records Centers that have met their retention requirements. The e-mail is sent to approvers designated by the Records Liaison Officer (RLO). The Records Coordinator collects responses, forwarding them to the RLO for final destruction authorization.

From: Records Coordinator

E-mail Subject: Notification of Pending Records Destruction

Message: Archived records currently stored at the [site name] Federal Records Center have exceeded DOE Administrative, Environmental and/or Programmatic retention schedules and are eligible for destruction. In accordance with 36 CFR 1228.54(a), you are being notified and are required to respond in writing. The attached listing is submitted for your review and approval/disapproval regarding records destruction.

NARA may authorize a Federal agency to extend the retention period for records required to conduct Government operations due to special circumstances that alter the normal administrative, legal or fiscal value of the records. If these circumstances exist, please provide a written description of the records to be maintained and a detailed justification and proposed timeline for their continued retention.

If the records need not be preserved for normal operations, you are required to respond in writing indicating your review and consent. Response is required within 30 days of receipt.

Thank you for your assistance.