U.S. Department of Energy
Office of Legacy Management

Procedure: 243.4

Effective: 9/14/10

SUBJECT: LM BUSINESS CENTER RECORDS OPERATIONS

1. PURPOSE.

   To ensure records management operations in the Legacy Management (LM) Business Center (BC) are conducted according to Federal requirements and U.S. Department of Energy (DOE) directives.

2. CANCELLATION. None

3. REFERENCES.

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

   b. 36 Code of Federal Regulations (CFR), Chapter XII, Subpart B, Records Management

   c. DOE Guide 1324.5B, Implementation Guide for Use with 36 CFR Chapter XII, Subpart B, Records Management

   d. DOE Order 243.1, Records Management Program

   e. DOE Order 243.2, Vital Records

   f. LM Procedure 200.2-2, Processing Internal Inactive Records for Storage

   g. LM Procedure 200.4, Records Management

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

INITIATED BY: Office of Legacy Management
NO. OF PAGES/ATTACHMENTS: 7 pages, 18 attachments

i. The [Federal Records Center] FRC Toolkit, Your Guide to Federal Records Center Services, NARA

4. DEFINITIONS.

a. 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.

b. 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.

c. 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 remediation objectives and obligations.

d. Federal Records Center (FRC) – A records storage facility operated by NARA.

e. Inactive Records – Records that must be retained, but are accessed infrequently.

f. LM Personnel – Federal employees and contractor personnel associated with LM.

g. 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.

h. Nonrecord Materials – 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.

i. 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.

j. Program Records Official (PRO) – Federal staff member and Team Leader of Archives and Information Management and who ensures that all LM records management practices are properly executed.

k. 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.

l. Records Inventory Management Application (RIMA) – An electronic information system used to locate and manage physical records stored in the LM BC.

m. Records Liaison Officer (RLO) – Federal staff designated by the PRO to oversee the LM records management program in cooperation with the DOE Records Officer.

n. Records Lifecycle – The management concept that records pass through three stages: creation or collection, maintenance and use, and disposition.

o. Records Managers and Leads – Contractor personnel responsible for overseeing LM BC records management operations.

p. Records Processor – Contractor staff who works in the LM BC or satellite site offices to provide support for records management activities.

q. Retention Schedule – A timetable identifying how long a record must be retained in active and inactive status before final disposition. A retention schedule also may indicate the organization that has responsibility as official custodian, the media it is recorded on, and the file station where it is stored.

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

s. Transfer Number – The unique identifier assigned to a group of archival materials that have been transferred into the physical custody of a records center.

t. Warehouse Personnel – Contractor staff who work in the LM BC to provide services in support of record box handling and retrieval operations.

u. Warehouse Receiver – Contractor staff who work in the LM BC to provide record shipping and receiving services.

5. QUALITY CONTROL. None

6. RESPONSIBILITIES.

a. The PRO is responsible for ensuring LM BC warehouse operations are conducted according to this procedure.

b. The RLO or designee (this designee may be Federal or contractor) is responsible for:

(1) Communicating with NARA concerning programmatic matters.

(2) Reviewing and securing approval for permanent record forms (SF-258, Agreement to Transfer Records to the National Archives of the United States).

(3) Reviewing and signing: Standard Form 135 (SF-135), Records Transmittal and Receipt; LM Form 243.3, Reference Request – LM Business Center; LM Form 243.2, Record Shipping Authorization; and LM Form 243.1, LM Records Transfer.

(4) Ensuring inactive records are properly dispositioned after necessary approvals are secured.

c. LM Personnel are responsible for managing records according to the records lifecycle and actions as required for the performance of the processes as set forth in this procedure.

d. Records Managers and Leads are responsible for overseeing all records management warehouse operations in the LM BC.

e. The Warehouse Receiver is responsible for:

(1) Receiving record material from FRCs and other locations.

(2) Verifying each records shipment against the shipping manifest to ensure all items are received.

(3) Shipping record material to designated locations as required by records management personnel.

(4) Coordinating with records management personnel for all record shipping and receiving activities.

(5) Overseeing LM BC loading dock operations.

f. Warehouse Personnel are responsible for:

(1) Unloading and weighing record material from inbound transportation vehicles.

(2) Preparing, loading, and staging outbound record material for shipment to other locations.

(3) Coordinating records management warehouse operations with the Warehouse Receiver and records management supervision.

(4) Moving, labeling, and tracking record material in support of records management warehouse operations.

(5) Pulling or returning record material to warehouse shelving locations for LM and other stakeholder requests.

g. Record Processors are responsible for:

(1) Utilizing the LM Records Inventory Management Application (RIMA) for all records receiving, shipping, tracking, and labeling activities.

(2) Retrieving record material for LM and other stakeholder requests using finding aids in the LM ERKS and location data in the LM RIMA.

(3) Preparing and processing inactive records for shipment to LM BC storage.

(4) Entering or modifying data in the LM ERKS and RIMA.

(5) Processing records that have met the retention requirements for disposition.

(6) Generating reports from the LM ERKS and RIMA in support of records requests and records management warehouse operations.

7. TRAINING REQUIREMENTS.

LM personnel with records management responsibilities should be cognizant of the applicable requirements of this procedure. An approved job safety analysis (JSA) will be used to perform each records warehouse activity. Training is required prior to operation of electrical warehouse equipment. Internal and on-the-job-training will be provided to employees with an identified need. Plan of the day or plan of week briefings will be held for all records management warehouse operations, as applicable.

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 for employee use.

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

9. PROCEDURE.

This procedure establishes instructions for performance of processes necessary for LM BC records management warehouse operations. Instructions are provided for the following records management operations as attachments to this procedure: Receiving FRC-Migrated Records; Processing Inactive Records; Retrieving Records; Returning Records; and Dispositioning Records. The procedure also includes flowcharts that visually represent each process.

10. ATTACHMENTS.

a. Attachment A. – Receiving FRC-Migrated Records

b. Attachment B. – Receiving FRC-Migrated Records Flowchart

c. Attachment C. – LM BC Records Stocking Schematic

d. Attachment D. – Processing Inactive Records

e. Attachment E. – Processing Inactive Records Flowchart

f. Attachment F. – Retrieving Records

g. Attachment G. – Retrieving Records Flowchart

h. Attachment H. – Returning Records

i. Attachment I. – Returning Records Flowchart

j. Attachment J. – Dispositioning Records

k. Attachment K. – Dispositioning Records Flowchart

l. Attachment L. – LM BC Storage Shelving Layout Diagram

m. Attachment M. – LM Form 243.1, LM Records Transfer

n. Attachment N. – LM Form 243.2, Records Shipping Authorization

o. Attachment O. – LM Form 243.3, Reference Request – LM Business Center

p. Attachment P. – Notification of Pending Records Destruction

q. Attachment Q. – LM Form 200.0-2, Records Destruction Certificate

r. Attachment R. – Records Storage Supplemental Information

Approved: Original signed by
David W. Geiser **9/14/10**
Director
Office of Legacy Management

Distribution: As required

Attachment A. – Receiving FRC-Migrated Records

This attachment describes the process for receiving and shelving incoming temporary records. A flowchart of the process is included in Attachment B.

a. Receiving FRC-Migrated Records

(1) The Records Manager or Lead generates a Federal Records Center (FRC) shipping request report using the Legacy Management (LM) Records Inventory Management Application (RIMA) and forwards the report to the Records Liaison Officer (RLO) for coordination with the National Archives and Records Administration (NARA.) A manifest listing of the records being shipped from a specific FRC will be sent to LM in advance of the shipment leaving the FRC.

(2) The Warehouse Receiver:

(a) Receives a carrier's transport vehicle containing the FRC-migrated records at the loading dock.

(b) Arranges for Warehouse Personnel to unload transport vehicle pallets containing FRC-migrated records to the warehouse staging area using an electric walkie pallet truck (see Attachment L.). Only trained personnel may operate a pallet truck.

(c) Assists Warehouse Personnel in validating the shipment against the shipping manifest, freight bill, or bill of lading and identifying any shipping nonconformance, damage, or discrepancies. In the event that the entire shipment contains records not belonging to LM, the Warehouse Receiver refuses the shipment.

(d) Notes any nonconformance, damage, or discrepancies associated with the records shipment on the carrier's shipping documents and ensures the carrier representative signs the shipping document before accepting the shipment.

b. Processing FRC-Migrated Records

(1) Warehouse Personnel:

(a) Unload record boxes from the pallets and weigh each box. Record the weight on the front lower right corner of each box using:

- A blue permanent marker for 39 pounds and under; and
- A red permanent marker for 40 pounds and over.

(b) Sort record boxes by NARA transfer number and box number. Keep all boxes associated with an individual NARA transfer number together.

(c) Re-box any record boxes damaged in shipment and accurately duplicate the NARA information on the box (i.e., NARA transfer number [243-XX-243X] and box number [1 of *n*]).

(2) The Records Processor:

(a) Queries the LM RIMA for each NARA transfer number to enable printing of new barcode labels. The LM RIMA is populated with box information provided by NARA. (If a NARA transfer number is not found during a query of the application, box data must be gathered manually using a pre-formatted electronic spreadsheet provided by Information Technology personnel. Additionally, if the shipment contains record material identified as not belonging to LM, the records must be returned to the originating FRC. The Records Processor relocates any record boxes needing manual data entry or FRC return shipping to a designated LM Business Center [BC] warehouse holding area.)

(b) Prints a new barcode label for each box. A barcode label must be generated for each record box relating to a NARA transfer number. Printed barcode labels associate a barcode with each box. (See illustration below.)

(3) Warehouse Personnel and the Records Processor:

(a) Affix a barcode label to each box. Match the existing record box information on the barcode label with the NARA transfer number on each box. For NARA transfer numbers with multiple boxes, each barcode label must be matched to the box number (i.e., an accession number with three boxes will have three barcode labels noting box 1 of 3, 2 of 3, and 3 of 3).

LM00040895

LM Transfer No: ITL-10-0002

Box 1 of 45

Series: Inhalation Toxicology Laboratory (ITL) quality assurance (QA) laboratory notebooks of
DOE Schedule: R&D-1.B.4.B
NARA Legacy Transfer No: N/A
Content Range: 01/01/1964 To 12/31/1996
Created: 01/01/1964
Disposition Date: 01/01/2022

(b) Scan each box to the warehouse Stage-In area by using a handheld or portable barcode scanner. First scan the Stage-In barcode and then the box barcode.

(4) Warehouse Personnel:

(a) Load the newly barcoded record boxes onto streamliner platform trucks by the LM transfer number. (The maximum capacity of a streamliner is 20 NARA standard record boxes.) Keep all boxes with the same transfer number together. Load boxes onto the streamliners with the barcode facing out. This ensures new barcode labels can be read without unloading the streamliners.

(b) Coordinate with a Records Manager or Lead to determine the warehouse storage location for each newly labeled box.

(c) Assemble a crew of Warehouse Personnel to load record boxes onto the designated storage shelving. A crew typically consists of 3-4 personnel depending on the transfer number size, storage location, and equipment requirements specified by Environmental Safety & Health (ES&H) personnel. Shelving activities may require up to four personnel to accomplish the task safely. (See Attachment C. for the approved method for loading warehouse shelving.)

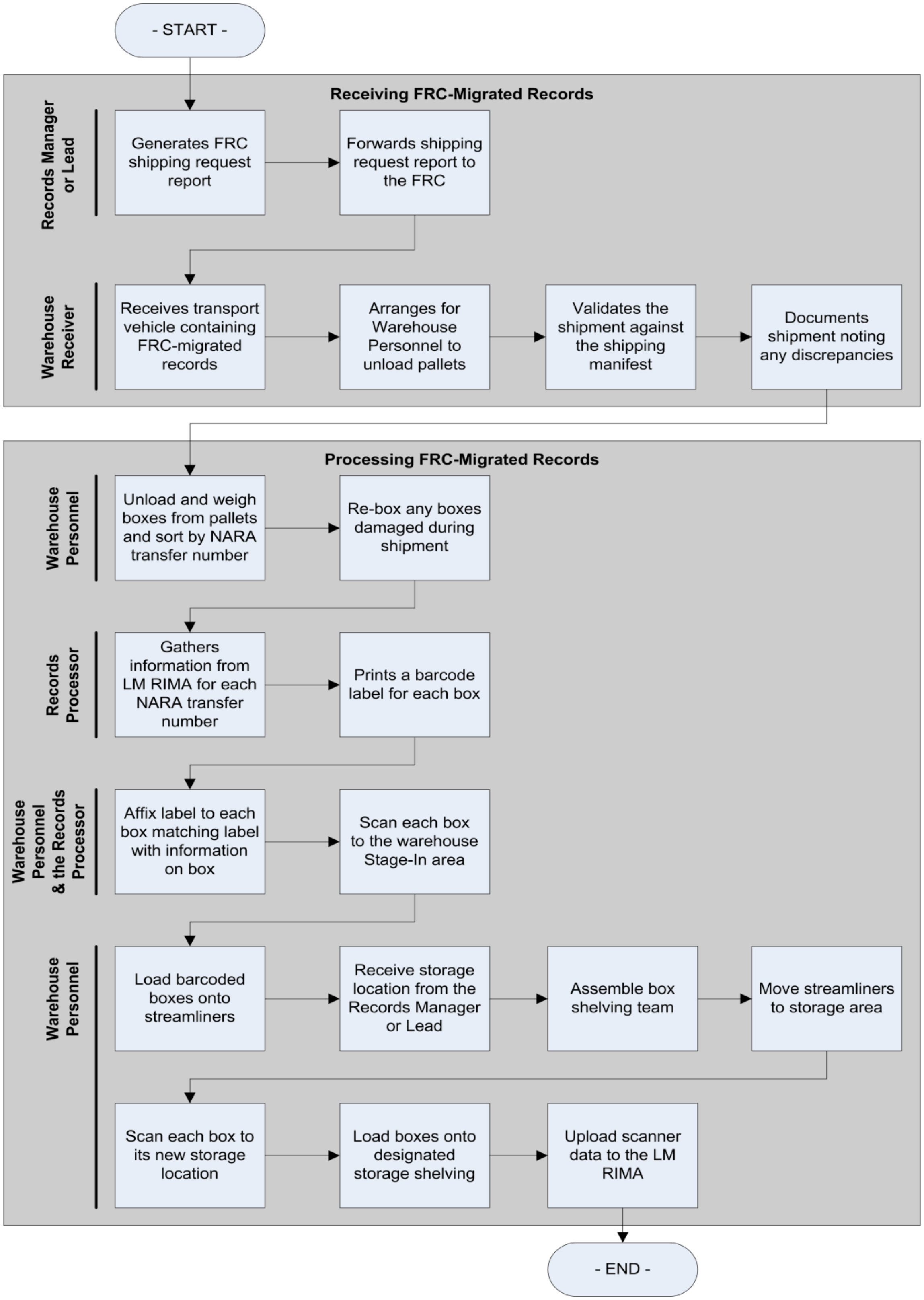
(d) Move the loaded streamliners to the designated warehouse storage shelving area.

(e) Use a portable barcode scanner to scan the boxes to their new shelf locations. First scan the shelf location barcode and then the box barcode.

(f) Load the boxes onto the designated shelving. Keep together all boxes sharing an individual LM transfer number. Each received record box is assigned a location in the LM BC warehouse using aisle, column, row, and bay coordinates. A typical shelf is divided into three bays, where the capacity of each bay is two boxes for a total of six standard size record boxes (see Attachment L.). Use approved shelving methods and applicable approved job safety analysis (JSA) to accomplish the shelving activities in a safe manner.

(g) Upload portable scanner information via a scanner docking station to update the box locations in the LM RIMA.

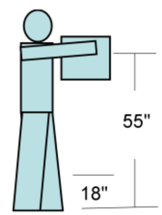
Attachment B. – Receiving FRC-Migrated Records Flowchart



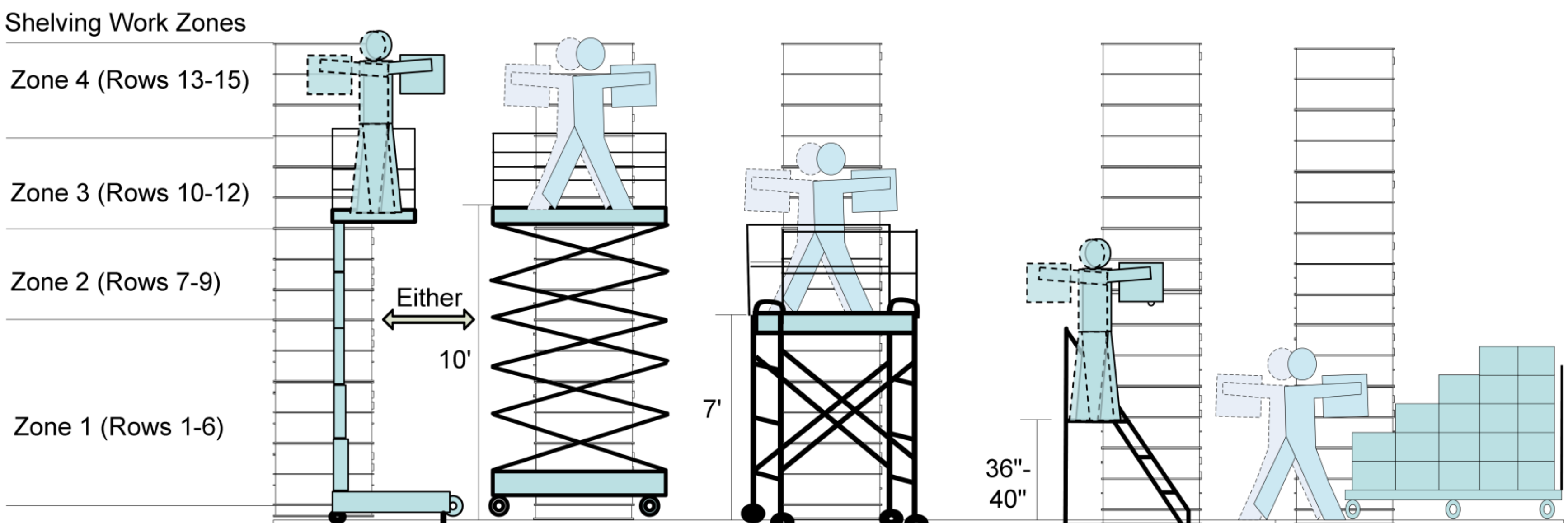
Attachment C. – LM BC Records Stocking Schematic

Process Design Criteria
- Safety, Efficiency, Feasibility
- Target Lift Zone between knees and shoulders (18"-55")
- Work platforms allow rotation with feet, no trunk twist

Average Worker Assumptions



Additional Notes
- Zone 4 equipment will be initially rented short term to determine best device
- Pulpit ladders are not shown here, but will be used in reference operations



Zone 4 Access from motorized scissor lift-type platform or boom-type man-lift. Specifications include railed platform at 10' height, with power raise to accommodate 11' height for top shelf.

Zone 3 Access from typical scaffolding platform. Specifications include railed platform at 7' height.

Zone 2 Access from small rolling ladder. Specifications include standing platform allowing turning with feet at 36"-40" height.

Zone 1 Access from ground level.

Note: Equipment shown will be used to access shelving rows within a zone and to transfer record boxes to a higher zone for shelf stocking and multi-box retrieval operations.

Attachment D. – Processing Inactive Records

This attachment describes the preparation, shipment, receipt, and shelving of Legacy Management (LM) inactive records. A flowchart of the process is included in Attachment E.

a. Preparing Inactive Records for Shipment

(1) The Records Processor at the satellite site:

(a) Identifies records eligible for transfer to inactive LM Business Center (BC) storage when they meet the following conditions:

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

(b) Prepares records for inactive storage according to LM Procedure 200.2-2, Processing Inactive Records. Record profiles must be entered into the LM Electronic Recordkeeping System (ERKS) according to applicable desktop procedures. The Records Processor verifies that:

- A record box does not contain more than one record series; and
- The correct disposition authority and retention period for the series is assigned according to approved Department of Energy (DOE) disposition schedules.

(c) Completes LM Form 243.1, LM Records Transfer (see Attachment M.) following the instructions included with the form. The Records Processor completes a separate form for each record series transferred.

(d) Forwards the LM Records Transfer form to the Records Liaison Officer (RLO) or designee. (Records are not authorized for shipping until the RLO or designee approves the transfer.)

(2) The RLO or designee reviews and approves each LM Records Transfer form submitted by the Records Processor.

(3) The Records Processor at the LM BC:

(a) Assigns LM transfer numbers to the records shipment and enters the numbers on the received LM Records Transfer form. Each LM transfer number must be unique and is assigned by consulting the LM transfer number log.

(b) Creates an entry or entries in the LM Records Inventory Management Application (RIMA) for the record box or boxes to be shipped to the LM BC. The location for the records is assigned as the originating location (e.g., LM-GJO, LM-RFS, LM-OH, or LM-DC).

(c) Creates a copy of the completed LM Records Transfer form and files the form in the inbound LM records file.

(d) Transmits the completed LM Records Transfer form to the originating Records Processor to authorize shipping of the records to LM BC storage.

(4) The Records Processor at the satellite site location:

(a) Writes the assigned LM transfer number on each box authorized for transfer to LM BC storage. The box number (1 of *n*) also must be included on the box.

(b) Arranges for shipping of each box authorized for transfer to LM BC storage. The Records Processor includes a copy of the authorized LM Records Transfer form and content index in the first box of each accession.

b. Receiving Shipped Inactive Records

The Warehouse Receiver:

(1) Receives a carrier's transport vehicle containing records at the LM BC loading dock.

(2) Arranges for Warehouse Personnel to unload record boxes from the transport vehicle to the warehouse staging area (see Attachment L.).

(3) Works with Warehouse Personnel to validate the shipment against the shipping manifest, freight bill, or bill of lading and identifies any nonconformance, damage, or discrepancies. In the event that the entire shipment contains record material not belonging to LM, the Warehouse Receiver refuses the shipment.

(4) Notes any nonconformance, damage, or discrepancies associated with the records shipment on the carrier's shipping documents and ensures the carrier representative signs the shipping document before accepting the shipment.

c. Processing Received Records

(1) Warehouse Personnel:

(a) Unload record boxes from the pallets and weigh each box. Record the weight on the front lower right corner of each box using:

- A blue permanent marker for 39 pounds and under; and
- A red permanent marker for 40 pounds and over.

(b) Sort record boxes by LM transfer number and box number. Keep all boxes associated with an individual National Archives and Records Administration (NARA) transfer number together.

(c) Re-box any record boxes damaged in shipment and duplicate the information on the box accurately (i.e., LM transfer number [243-XX-243X] and box number [1 of *n*]).

(2) The Records Processor:

(a) Queries the LM RIMA for each LM transfer number to enable printing of new barcode labels. If an LM transfer number is not found during a query of the application, match the box against the authorized LM Transfer Form in the inbound LM records file. In cases when no authorized LM Transfer Form is found, contact the originator.

(b) Prints a new barcode label for each box. A barcode label must be generated for each record box relating to an LM transfer number. The printed labels associate a barcode with each box.

(3) Warehouse Personnel and the Records Processor work in conjunction to:

(a) Affix a barcode label to each box. Match the record box information on the barcode label with the LM transfer number on each box. For LM transfer numbers with multiple boxes, each barcode label must be matched to the box number (i.e., a transfer number with three boxes will have three barcode labels noting box 1 of 3, 2 of 3, and 3 of 3).

(b) Scan each box to the warehouse Stage-In area by using a handheld or portable barcode scanner. First scan the Stage-In barcode and then the box barcode.

(4) Warehouse Personnel:

(a) Load the newly barcoded record boxes onto streamliners by the LM transfer number. (The maximum capacity of a streamliner is 20 NARA standard record boxes.) Keep all boxes with the same transfer number together. All boxes must be loaded onto the streamliners with the barcode facing out. This ensures new barcode labels can be read without unloading the streamliners.

(b) Coordinate with a Records Manager or Lead to determine the warehouse storage location for each newly labeled record box.

(c) Assemble a crew of Warehouse Personnel to load record boxes onto the designated storage shelving. A crew typically consists of 3-4 personnel depending on the transfer number size, storage location, and equipment requirements specified by Environmental Safety & Health (ES&H) personnel. Shelving activities may require up to four personnel to accomplish the task safely. (See Attachment C. for the approved method for loading warehouse shelving.)

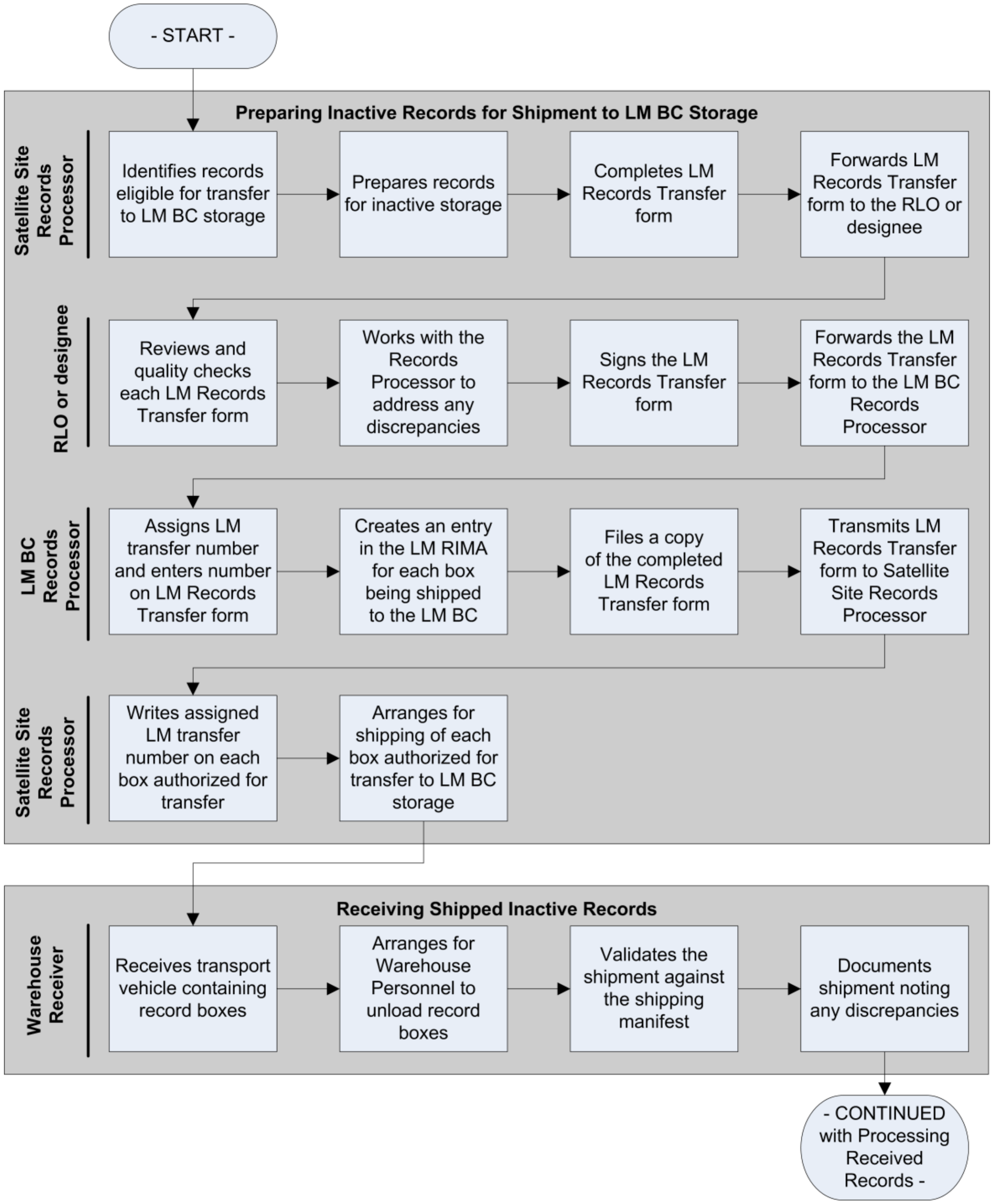
(d) Move the loaded streamliners to the designated warehouse storage shelving area.

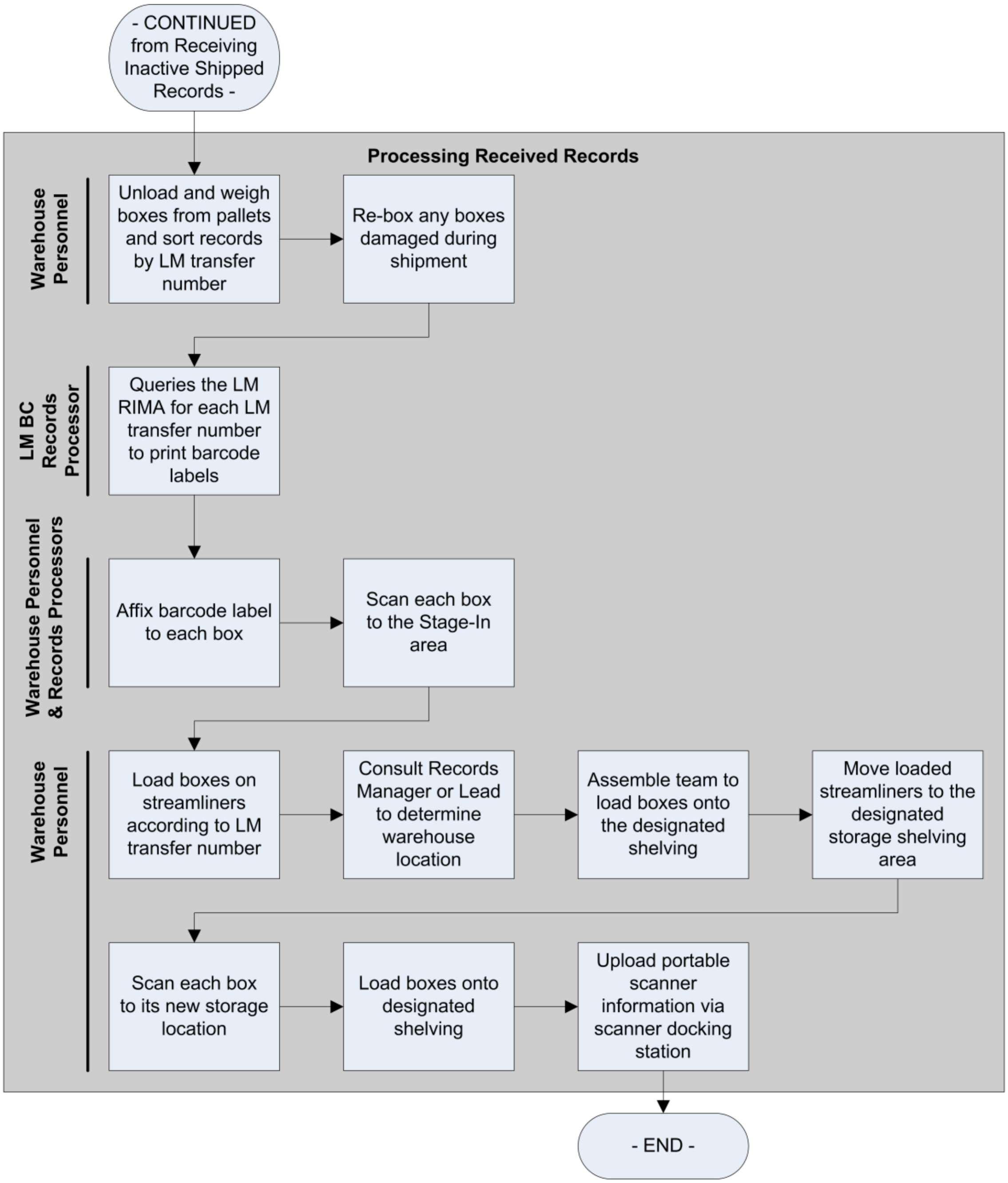
(e) Use a portable barcode scanner to scan the boxes to their new shelf locations. First scan the shelf location barcode and then the box barcode.

(f) Load the record boxes onto the designated empty shelving. Keep all boxes with the same LM transfer number together. Place two record boxes per bay (see Attachment L.) and position the boxes with the front flap tucked under the shelving and barcode label facing out. Use approved shelving methods and an applicable approved job safety analysis (JSA) to accomplish the shelving activities in a safe manner.

(g) Upload portable scanner information via a scanner docking station to update the box location in the LM RIMA.

Attachment E. – Processing Inactive Records Flowchart




- CONTINUED from Receiving Inactive Shipped Records -
Processing Received Records
Warehouse Personnel
Unload and weigh boxes from pallets and sort records by LM transfer number
Re-box any boxes damaged during shipment
LM BC Records Processor
Queries the LM RIMA for each LM transfer number to print barcode labels
Warehouse Personnel & Records Processors
Affix barcode label to each box
Scan each box to the Stage-In area
Warehouse Personnel
Load boxes on streamliners according to LM transfer number
Consult Records Manager or Lead to determine warehouse location
Assemble team to load boxes onto the designated shelving
Move loaded streamliners to the designated storage shelving area
Scan each box to its new storage location
Load boxes onto designated shelving
Upload portable scanner information via scanner docking station
- END -

Attachment F. – Retrieving Records

This attachment describes the retrieval and shipment of Legacy Management (LM) records to satellite site locations. A flowchart of the process is included in Attachment G.

a. Locating Requested Records Using Applicable Finding Aids

The Records Processor at the satellite site:

(1) Receives a request for LM records.

(2) Searches the LM Electronic Recordkeeping System (ERKS) and applicable record finding aids according to applicable desktop procedures.

(3) Notes the National Archives and Records Administration (NARA) transfer number or the LM transfer number of the record as well as the box number.

b. Requesting Records Using the LM Records Inventory Management Application (RIMA)

The Records Processor at the satellite site:

(1) Queries the LM RIMA for each requested NARA transfer number or LM transfer number, as applicable. NARA box information is contained in the LM RIMA.

(2) Makes a determination as to whether the record is stored at the LM Business Center (BC) warehouse or a Federal Records Center (FRC.) If a record is stored at the LM BC warehouse, then continue with Section c., Fulfilling and Processing Record Requests. If a record is stored at an FRC:

(a) Communicates with the FRC to permanently withdraw the box containing the record.

(b) Updates the LM RIMA with the current location (e.g., LM-GJO, LM-RFS, LM-OH, or LM-DC) upon receipt of the record box.

c. Fulfilling and Processing Record Requests

(1) The Records Processor at the satellite site:

(a) Creates a check out request in the LM RIMA or completes LM Form 243.3, Reference Request – LM Business Center (see Attachment O.). Currently, check outs will be only at the box level. (File check out functionality will require updating the LM RIMA with an index denoting the contents of each box.) File retrievals will be handled on a case by case basis for files of 100 pages or fewer by digitizing the requested file and submitting the file to a location as designated by Information Technology personnel for pick-up. All communication will be sent through lm-requests@lm.doe.gov.

(b) Communicates directly with the LM BC warehouse Records Manager or Lead to address emergency requests via lm-requests@lm.doe.gov.

(2) The Records Manager or Lead:

(a) Queries the LM RIMA at predefined daily intervals to view pending record requests and prints a request report for each requested record.

(b) Generates and distributes the record request report, or work order, to Warehouse Personnel for action.

(3) Warehouse Personnel:

(a) Process record request reports by retrieving each record box from locations specified on the record request report.

(b) Use a portable barcode scanner to scan each requested record box to the Stage-Out location. First scan the Stage-Out barcode and then the box barcode.

(c) Move each record box to the LM BC warehouse Stage-Out location.

(d) Make a copy of each record request report. Place the copy inside each record box and place the original in the record requests file.

(e) Upload portable scanner information via a scanner docking station to update chain of custody details in the LM RIMA.

(f) Determine if a request is an internal or external record request by noting whether the requestor is located in the LM BC or at a satellite site:

1. Internal LM BC Record Request

i. Deliver the requested records to the requestor.
ii. Scan each record box to the requestor. First scan the requestor’s name and then the box.
iii. Upload portable scanner information via a scanner docking station to update chain of custody details in the LM RIMA.

2. External LM Satellite Site Request

i. Coordinate with the Warehouse Receiver for all external requests to ship the requested records to the requestor.

(4) The Warehouse Receiver arranges for shipping of each requested record box via courier service or Government Services Administration (GSA) Advantage vendor.

(5) The Warehouse Receiver and Warehouse Personnel coordinate to move the requested record boxes from the LM BC warehouse Stage-Out location to the loading dock on the day of shipping.

(6) Warehouse Personnel:

(a) Use the portable scanner to scan each record box on the loading dock to In-Transit status. First scan the In-Transit barcode and then the box barcode.

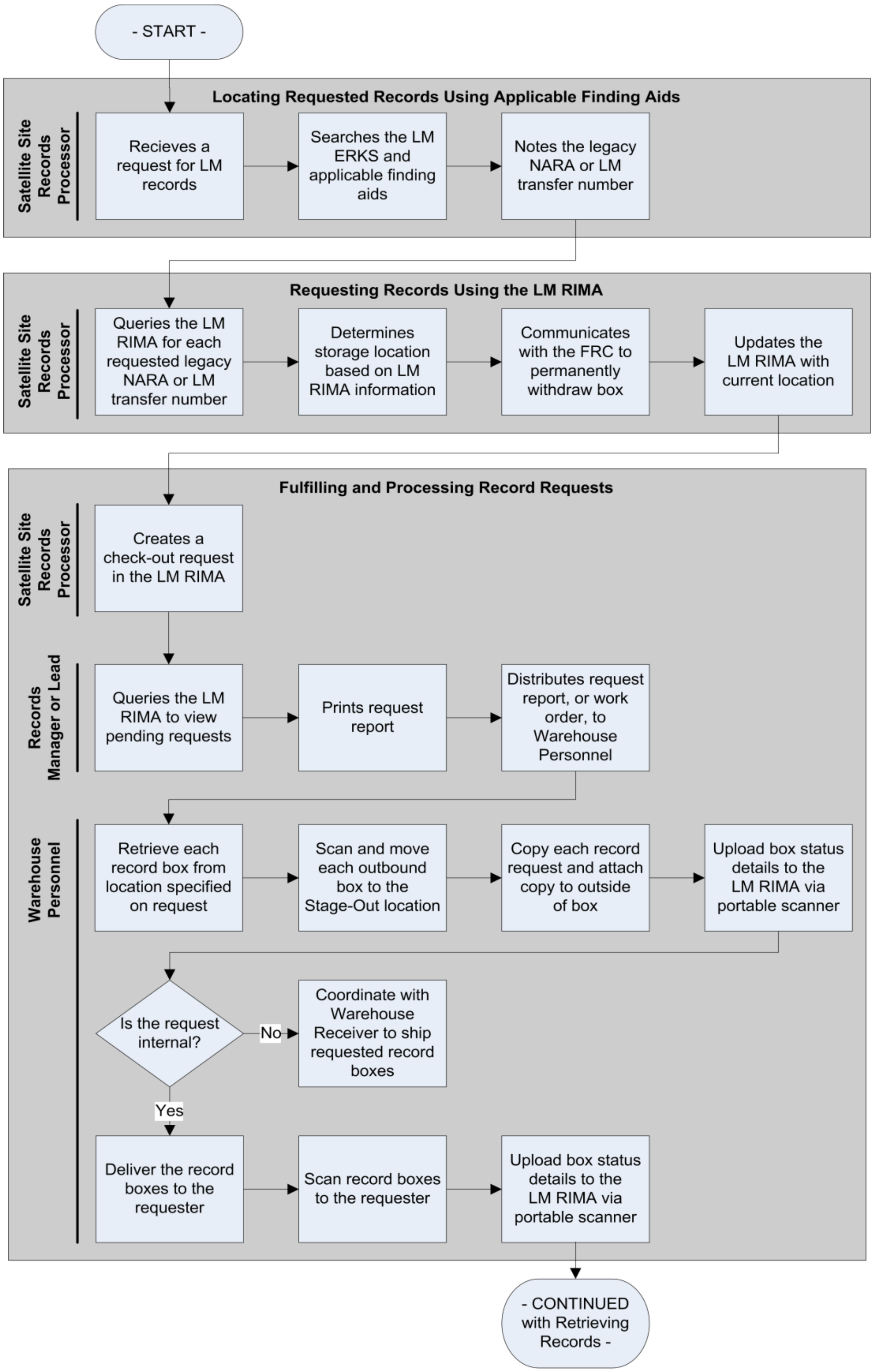
(b) Upload portable scanner information via a portable scanner docking station to update box status in the LM RIMA.

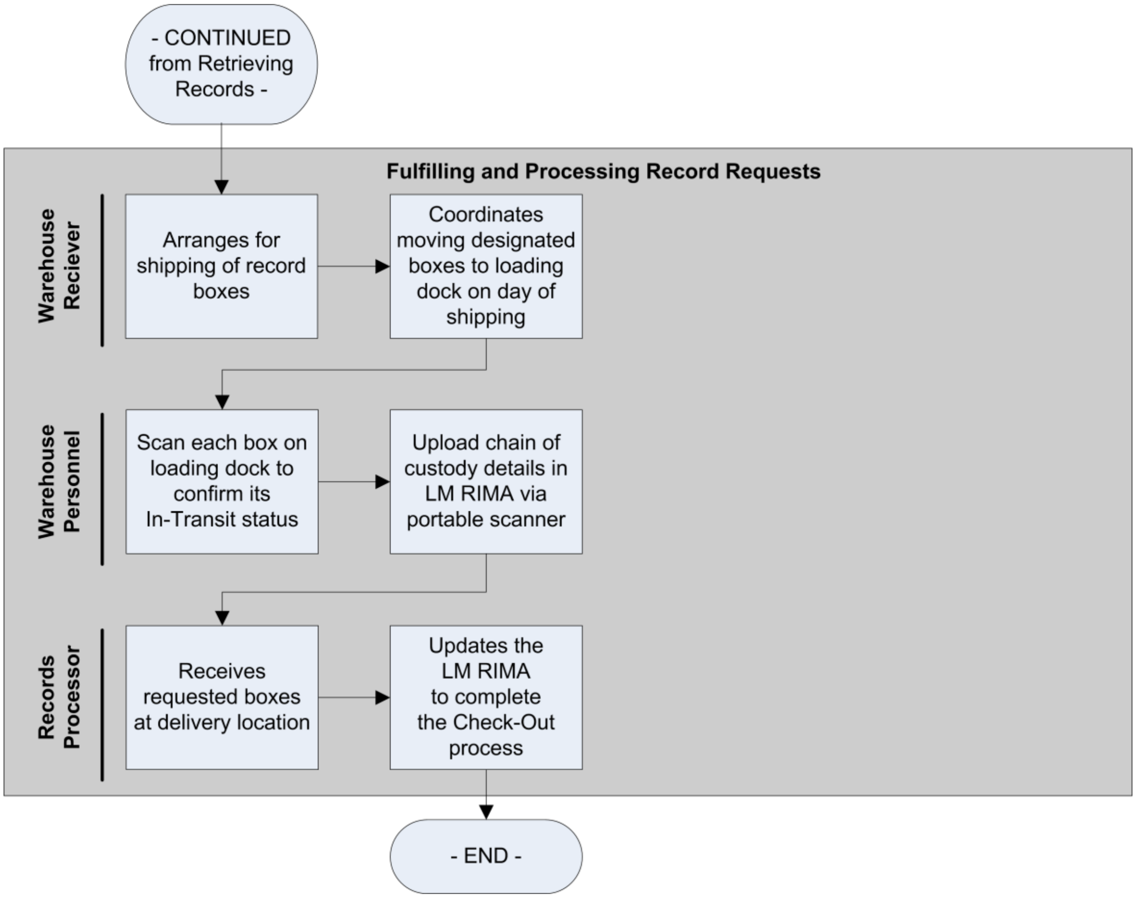
(7) The Records Processor at the delivery location:

(a) Receives each requested record box.

(b) Updates the LM RIMA to confirm receipt of each record box and completes the Check-Out process by scanning each record box to their custody. First scan the Record Processor's name and then the box.

Attachment G. – Retrieving Records Flowchart




- CONTINUED from Retrieving Records -
Fulfilling and Processing Record Requests
Warehouse Reciever
Arranges for shipping of record boxes
Coordinates moving designated boxes to loading dock on day of shipping
Warehouse Personnel
Scan each box on loading dock to confirm its In-Transit status
Upload chain of custody details in LM RIMA via portable scanner
Records Processor
Receives requested boxes at delivery location
Updates the LM RIMA to complete the Check-Out process
- END -

Attachment H. – Returning Records

This attachment describes the process for returning checked out records to Legacy Management (LM) Business Center (BC) storage. A flowchart of the process is included in Attachment I.

a. Preparing Records for Return

Note: This process is also used to send any records permanently withdrawn from FRCs during migration activities to the LM BC warehouse for storage.

(1) The Records Processor at the Satellite Site:

(a) Completes LM Form 243.2, Records Shipping Authorization (RSA) (see Attachment N.). The Records Processor completes a separate form for each transfer number. The Records Processor checks the appropriate transaction as: Return to Storage or FRC Permanently Withdrawn Records.

(b) Forwards the RSA form to the Records Manager or designee. (Records are not authorized for shipping until the Records Manager or designee approves the transfer.)

(2) The Records Manager or designee at the LM BC:

(a) Reviews and quality checks each RSA form submitted by the Records Processor and ensures it is complete.

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

(c) Signs the RSA form and forwards the form to a Records Processor at the LM BC.

(3) The Records Processor at the LM BC:

(a) Assigns an RSA number to the records shipment and enters the number on the received RSA form. Each RSA number must be unique and is assigned by consulting the RSA number log.

(b) Creates a copy of the completed RSA form and files the form in the Inbound LM records file.

(c) Transmits the completed RSA form to the Satellite Site Records Processor to authorize shipping of the records to LM BC storage.

(4) The Records Processor at the Satellite Site:

(a) Arranges for shipping of each box authorized for transfer to LM BC storage, including a copy of the authorized RSA form in the first box of each authorized shipment. For Return to Storage transactions, the Records Processor also includes a copy of the Records Request Report.

(b) Updates the LM RIMA to reflect the box's In-Transit status prior to shipping.

b. Receiving Returned Records

The Warehouse Receiver:

(1) Receives a carrier's transport vehicle containing records at the LM BC loading dock.

(2) Coordinates with Warehouse Personnel to unload the transport vehicle to the warehouse staging area (see Attachment J.).

(3) Coordinates with Warehouse Personnel to validate the shipment against the shipping manifest, freight bill, or bill of lading and identifies any nonconformance, damage, or discrepancies. In the event that the entire shipment contains records not belonging to LM, the Warehouse Receiver refuses the shipment.

(4) Notes any nonconformance, damage, or discrepancies associated with the records shipment on the carrier's shipping documents and ensures the carrier representative signs the shipping document before accepting the shipment.

c. Processing Returned Records

Warehouse Personnel:

(1) Unload record boxes from the pallets and weigh each box. Record the weight on the front lower right corner of each not previously weighed box using:

- A blue permanent marker for 39 pounds and under; and
- A red permanent marker for 40 pounds and over.

(2) Sort record boxes by NARA transfer number and box number. Keep all boxes associated with an individual NARA transfer number together.

(3) Re-box any record boxes damaged in shipment and duplicate the information on the box accurately (i.e., NARA transfer number or LM transfer number [243-XX-243X] and box number [1 of *n*]).

(4) Refer to the included authorized RSA form to determine if the transaction for the received records is: Return to Storage or FRC Permanently Withdrawn Records. (Return to Storage record boxes can be recognized by already having an LM barcode label affixed to the front of the box.)

Note: Continue at Section d., Processing Return to Storage Transactions to process returns, or continue at Section e., Processing FRC Permanently Withdrawn Record Transactions to process permanently withdrawn records.

d. Processing Return to Storage Transactions

The LM RIMA keeps track of the home location for the record box (permanent location). If the record box is scanned to a new unoccupied shelf location, the LM RIMA will change the box's permanent location. If the record box is scanned to an occupied location, the LM RIMA will not update the box location. An error will be reported when the scanner information is uploaded to the system.

Warehouse Personnel:

(1) Read the included Record Request Report to determine the location to which each record box must be returned. If the Record Request Report was not included, query the LM RIMA for the home, or permanent, location. (Use a handheld scanner to bring up the box on the screen.)

(2) Scan each box to the warehouse Stage-In area by using a portable barcode scanner. First scan the Stage-In barcode and then the box barcode.

(3) Load the record boxes to be returned to storage onto streamliner platform trucks by the LM transfer number. Take care to keep all boxes with the same transfer number together. All boxes must be loaded onto the streamliner platform trucks with the LM transfer number facing out. This ensures new barcode labels can be read without unloading the streamliners.

(4) Assemble a crew of warehouse personnel to load record boxes onto the designated storage shelving. Shelving activities may require up to four personnel to accomplish the task safely. (See Attachment C. for the approved method for loading warehouse shelving.)

(5) Move the loaded streamliners to the designated storage shelving location of the warehouse for each record box.

(6) Use a portable barcode scanner to scan each returned record box to its determined shelf location. First scan the shelf location barcode and then the box barcode.

(7) Load the record boxes onto the designated shelving. Keep all boxes in an individual LM transfer number together. Position the box with the front flap tucked under the shelving and barcode label facing out. Use approved shelving methods and applicable approved job safety analysis (JSA) to accomplish the shelving activities in a safe manner.

(8) Upload portable scanner information via a portable scanner docking station to update the box location in the LM RIMA.

e. Processing FRC Permanently Withdrawn Record Transactions

(1) Warehouse Personnel coordinate with the Records Processor to generate an LM barcode label for each record box.

(2) The Records Processor:

(a) Queries the LM RIMA for each NARA transfer number to enable printing of new barcode labels. If a NARA transfer number is not found during a query of the application, box data must be gathered manually using a pre-formatted electronic spreadsheet provided by Information Technology personnel.

(b) Relocates any record boxes needing manual data entry to a designated LM BC warehouse holding area.

(c) Prints a new barcode label for each box. A barcode label must be generated for all record boxes relating to each NARA transfer number. Printed barcode labels will assign a new unique LM transfer number and barcode to each box.

(3) Warehouse Personnel and the Records Processor work in conjunction to:

(a) Affix a barcode label to each box. Match the existing record box information on the barcode label with the NARA transfer number on each box. For NARA transfer numbers with multiple boxes, each barcode label must also be matched to the number of box (i.e., an accession number with three boxes will have three generated barcode labels with box 1 of 3, 2 of 3, and 3 of 3).

(b) Scan each box to the warehouse Stage-In area by using a handheld or portable barcode scanner. First scan the Stage-In barcode and then the box barcode.

(4) Warehouse Personnel:

(a) Load the newly barcode labeled record boxes onto streamliners by the LM transfer number. Keep all boxes with the same transfer number together. All boxes must be loaded onto the streamliners with the NARA transfer number facing out. This ensures new barcode labels can be read without unloading the streamliners.

(b) Coordinate with a Records Manager or Lead to determine warehouse storage location for each newly labeled record box.

(c) Assemble a crew of warehouse personnel to load record boxes onto the designated storage shelving. Shelving activities may require up to four personnel to accomplish the task safely. (See Attachment C. for the approved method for loading warehouse shelving.)

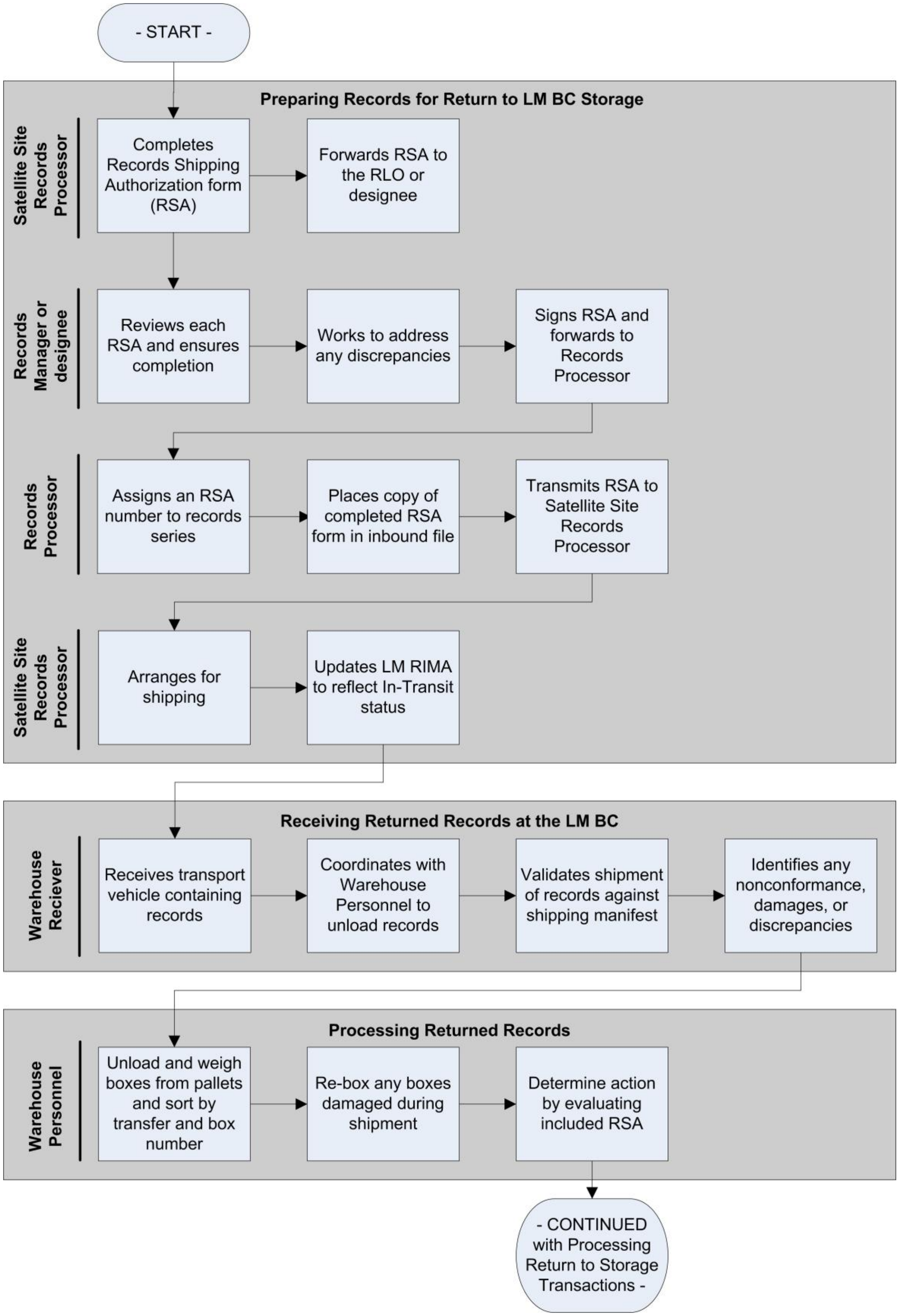
(d) Move the loaded streamliners to the designated storage shelving area of the warehouse.

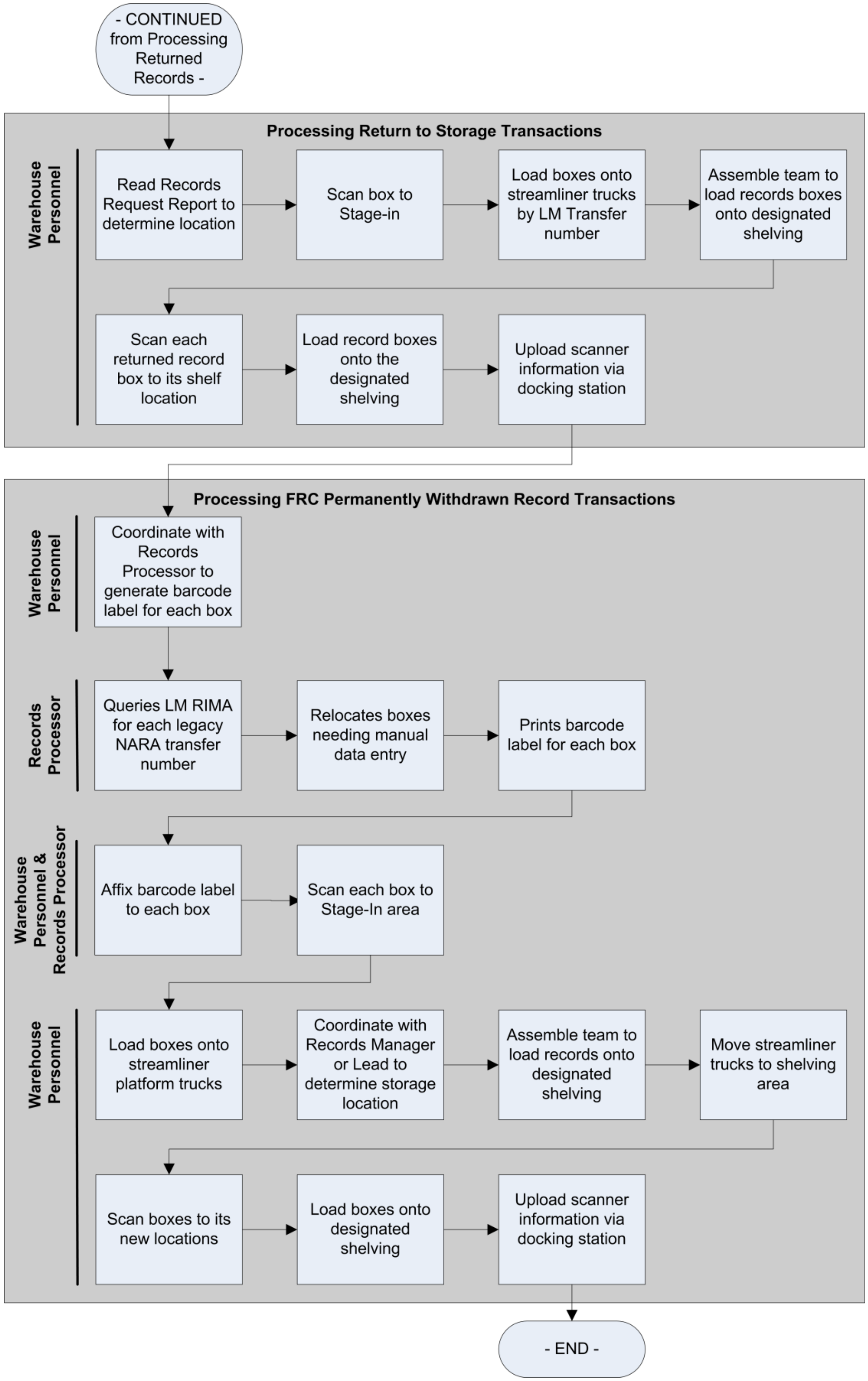
(e) Use a portable barcode scanner to scan the newly shelved boxes to their new shelf locations. First scan the shelf location barcode and then the box barcode.

(f) Load the record boxes onto the designated empty shelving. Keep all boxes in an individual LM transfer number together. Place two record boxes per bay (see Attachment J.) and position the boxes with the front flap tucked under the shelving and barcode label facing out. Use approved shelving methods and applicable approved JSAs to accomplish the shelving activities in a safe manner.

(g) Upload portable scanner information via a portable scanner docking station to update the box location in the LM RIMA.

Attachment I. – Returning Records Flowchart




- CONTINUED from Processing Returned Records -
Processing Return to Storage Transactions
Warehouse Personnel
Read Records Request Report to determine location
Scan box to Stage-in
Load boxes onto streamliner trucks by LM Transfer number
Assemble team to load records boxes onto designated shelving
Scan each returned record box to its shelf location
Load record boxes onto the designated shelving
Upload scanner information via docking station
Processing FRC Permanently Withdrawn Record Transactions
Warehouse Personnel
Coordinate with Records Processor to generate barcode label for each box
Records Processor
Queries LM RIMA for each legacy NARA transfer number
Relocates boxes needing manual data entry
Prints barcode label for each box
Warehouse Personnel & Records Processor
Affix barcode label to each box
Scan each box to Stage-In area
Warehouse Personnel
Load boxes onto streamliner platform trucks
Coordinate with Records Manager or Lead to determine storage location
Assemble team to load records onto designated shelving
Move streamliner trucks to shelving area
Scan boxes to its new locations
Load boxes onto designated shelving
Upload scanner information via docking station
- END -

Attachment J. – Dispositioning Records

This attachment describes the disposition of temporary records meeting retention in Legacy Management (LM) Business Center (BC) storage. Permanent records are dispositioned to NARA by completing Standard Form 248 (SF-248). A flowchart of the process is included in Attachment K.

a. Identifying Records Eligible for Destruction

The Records Manager or Lead:

(1) Generates an LM Records Eligible for Disposition Report on a quarterly basis from the LM RIMA.

(2) Forwards the LM Records Eligible for Disposition Report to the Records Processor for action.

b. Processing Identified Records Eligible for Destruction

(1) The Records Processor:

(a) Works with the Records Liaison Officer (RLO) to verify the retention period stated is accurate for the identified records. (If the records are incorrectly scheduled, re-evaluate the records and assign the correct disposition authority.)

(b) Ensures the records eligible for destruction are not affected by any Federal Facility Agreements (FFAs), moratoriums, contractual provisions, litigations, or General Counsel directives requiring continued retention as well as consults the Site Special Records Requirements Matrix for additional guidance.

(c) Fills out LM Form 200.2-2, Records Destruction Certificate (see Attachment Q.) and forwards to RLO.

(2) The RLO:

(a) Identifies approval authorities (LM Program Records Official [PRO], General Counsel, and Subject Matter Experts) who must concur with the planned records destruction.

(b) Creates and distributes a Notification of Pending Records Destruction e-mail notification to identified approval authorities (see Attachment P.) along with LM Form 200.2-2 for authorizing signatures.

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

(d) Authorizes destruction of LM temporary records and forwards an authorization e-mail to the Records Processor.

(3) The Records Manager or Lead contacts the wastepaper vendor and schedules quarterly onsite destruction.

(4) The Records Processor:

(a) Sends the RLO an email reminder after 60 days if concurrences have not been obtained. This reminder alerts the RLO that there are pending destruction approvals.

(b) Coordinates with Warehouse Personnel to retrieve all record boxes authorized for destruction from the LM BC warehouse shelving and move them to the designated staging area of the LM BC warehouse. Use approved shelving methods and the applicable approved job safety analysis (JSA) to accomplish the shelving activities in a safe manner.

(c) Scan each box eligible for destruction to note pending destruction status (PENDING-DEST) in the LM RIMA.

(5) The RLO or designee:

(a) Witnesses the destruction of authorized temporary records on the day scheduled.

(b) Obtains a destruction certificate from the wastepaper vendor upon completion of destruction activities. The destruction certificate must include: 1) a description of the records destroyed; 2) any unique identifiers (e.g., LM transfer number); 3) the date of destruction; 4) the destruction method used; 5) the volume or quantity of the records destroyed; 6) signature, organization, and title of the person destroying the records; and 7) signature, organization, and title of the person witnessing the destruction.

(c) Forwards the destruction certificate to the Records Processor.

(6) The Records Processor:

(a) Updates the LM RIMA to reflect the destruction of the temporary records by changing the location to Destroy and notes in the RM Comments field Destroyed – [Date Destroyed].

(b) Creates a single Portable Document Format (PDF) file to serve as an electronic destruction case file for each LM transfer number destroyed. The case file includes, as applicable:

- The SF-135, Records Transfer and Receipt and/or LM Form 243.1, LM Records Transfer with corresponding transfer number 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 certificate from the wastepaper vendor; and
- Evidence of all destruction approvals.

(c) Uploads the destruction case file to the LM ERKS.

c. Denial of Destruction Authorization

LM temporary records may be temporarily retained beyond their NARA-approved retention period if special circumstances alter the normal administrative, legal, or fiscal value of the records. LM must secure NARA written approval to retain records series that are eligible for destruction under NARA-approved schedules except when:

(1) The agency has requested a change in the records schedule in accordance with § 1225.26 of 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B 1226.18 and 1226.20, in which case the agency is authorized to retain records eligible for destruction until the new SF-115 is approved;

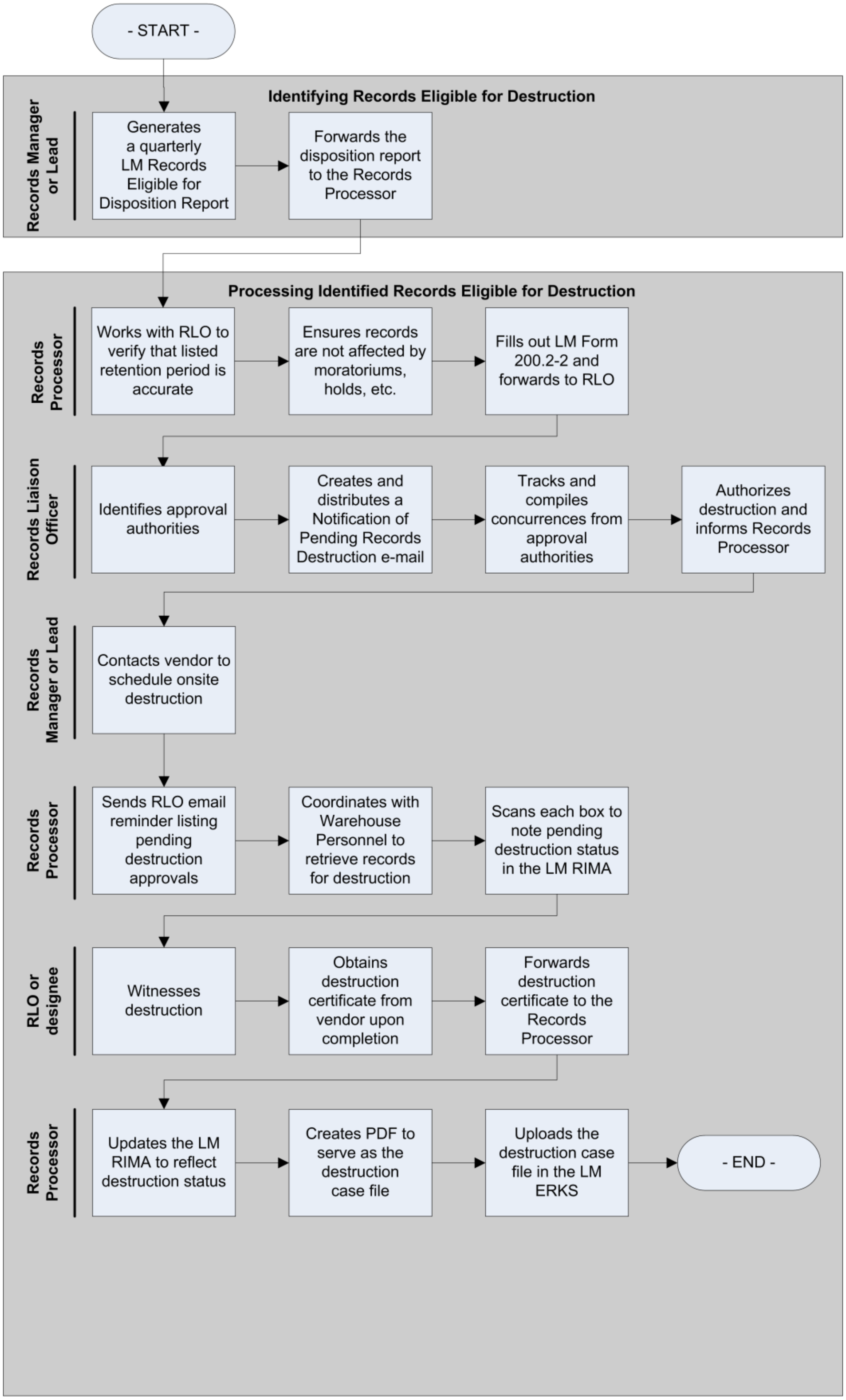
(2) The records will be needed for less than one year; or

(3) A court order requires retention of the records.

To request an extension, LM must send a letter to the National Archives and Records Administration, Modern Records Programs (NWM), 8601 Adelphi Road, College Park, MD 20740-6001, phone number (301) 837-1738.

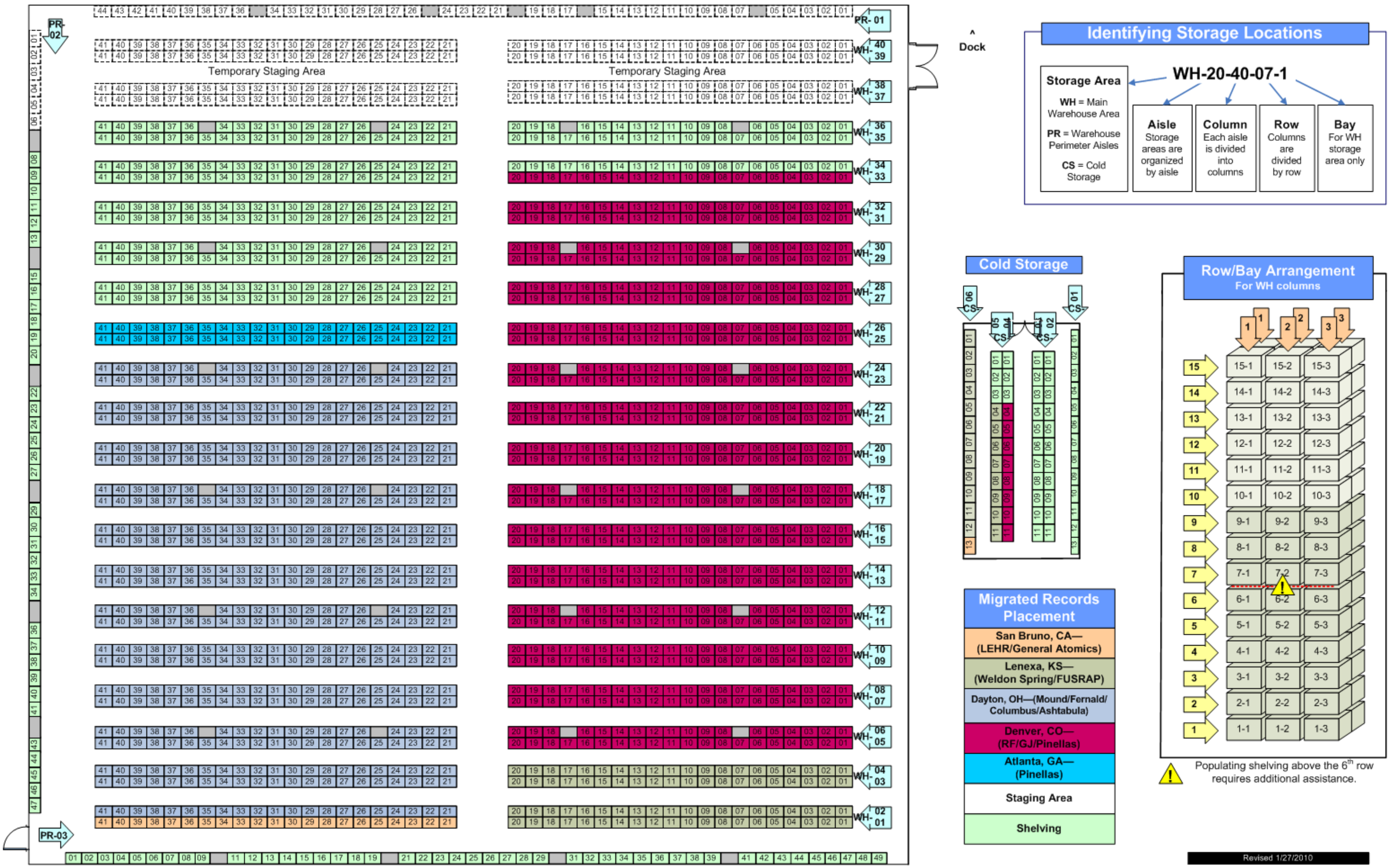
Along with justification, the request must include: (1) A concise description of the records series for which the extension is requested; (2) A citation to the agency records schedule or the GRS currently governing disposition of the records; (3) A statement of the estimated period of time that the records will be required; and (4) For records in the agency's custody, a statement of the current and proposed physical location of the records. LM must ensure that records in records storage facilities are retained for the duration of the extension.

Attachment K. – Dispositioning Records Flowchart



Attachment L. – LM BC Storage Shelving Layout Diagram

LM Business Center Records Shelving Layout



Attachment M. – LM Form 243.1, LM Records Transfer

LMF ###
mo/year, OPI = LM–##
Previous Editions Obsolete

U.S. DEPARTMENT OF ENERGY
LM RECORDS TRANSFER

Note: Access to stored records is restricted to personnel of the organization initiating the transfer. Additional restrictions, if desired, should be by separate memorandum.

To be completed by Records Management Personnel

LM BC LOCATION ASSIGNED	**LM TRANSFER NUMBER**

1. ORGANIZATION INITIATING TRANSFER (Enter the name and complete mailing address of the site retiring the records. The signed receipt of this form will be sent to this address.)	**2. ROUTING SYMBOL**	**DATE RECEIVED IN LM BC**
3. AUTHORIZING OFFICIAL (Name) (Title) (Signature)	**4. PREPARED BY** (Name, Telephone # & E-mail)	**NO. OF CUBIC FEET**

5. BRIEF DESCRIPTION OF RECORDS (Include Series Title and Other Identification)

6. RECORDS DATA

Transfer Number									Completed by records center			
Site ID (a)	FY (b)	Number (c)	Volume (cu. ft.) (d)	Box Number (e)	Series Description (With inclusive dates of records) (f)	Restric-tion (g)	Disposal Authority (Schedule and item number) (h)	Disposal Date (i)	Location (j)	Shelf Plan (k)	Cont. Type (l)	Auto. Disp. (m)

CERTIFICATION. The boxes listed under item 6 have been received in the LMBC:

______________________ (Signature)

__________ (Date)

Instructions for Preparing LM Records Transfer Form

1. Organization Initiating Transfer. Spell out the complete title (no abbreviations) of the submitting organization.

2. Routing Symbol. Enter the routing symbol of LM site transferring records. (FER, GJO, MND, PIN, RFS, etc.)

3. Authorizing Official. Enter the name, title and signature of the authorizing official. The LM BC will not accept Records Transfer Forms without original signatures.

4. Prepared By. Provide the name, office, business telephone number (including area code), and e-mail address of the person to contact about the records.

5. Brief Description of Records. Give the title of the record series being transferred (Examples: Routine Procurement Files, Committee and Conference Files, Budget Background Records) and any other identifying remarks, if needed.

6. Records Data (Inventory). The three-part number is the accession number (the accession number will be assigned by the Records Management Storage Personnel).

   a. Item 6(a). Records Management Storage Personnel enter the three character designator for the site initiating the transfer.
   b. Item 6(b). Records Management Storage Personnel enter the last two digits of the current fiscal year.
   c. Item 6(c). Records Management Storage Personnel assign a sequential number in this column.
   d. Item 6(d). A standard-size box equals one cubic foot. Enter the total number of boxes included in this transfer. If the records do not fit in a standard records center box, leave this column blank, add the dimensions of the container to item 6(f) and contact Records Management Storage Personnel to verify acceptance.
   e. Item 6(e). Enter the inclusive range of numbers for the boxes being transferred (e.g., 1-50)
   f. Item 6(f). Describe the records in sufficient detail to allow records center personnel to verify compliance with your records schedule. A *complete* series description includes the closing date (or inclusive dates) of the records. Include a detailed box-by-box listing if the records are scheduled for permanent retention, unscheduled, or if disposition instructions indicate sampling or screening of records is necessary.
   g. Item 6(g). Complete this section using one of the following codes: UCI–Unclassified Controlled Information P–Proprietary N–No Restrictions
   h. Item 6(h). Cite the appropriate schedule identifier and item number in the DOE Disposition Schedules or the General Records Schedule (GRS). Also indicate in this section if the records are subject to extended retention, commonly known as a "freeze" on destruction (e.g., EPI).
   i. Item 6(i). Follow the instructions on the disposition schedule to compute the disposition date or enter "P" for Permanent Records.

Attachment N. – LM Form 243.2, Records Shipping Authorization

LMF XXX.X
03/2006, OPI = LM-10
Previous Editions Obsolete

U.S. Department of Energy
Office of Legacy Management
Records Shipping Authorization (RSA)

<u>Instructions:</u>
Complete one RSA for each Transfer Number shipped.
RSA are assigned by Records Management,
Record shipments will not be accepted without a valid RSA number.

To be Completed by Records Management Personnel	
RSA No.:	
Date Assigned:	

Transaction: ☐ Return to LM BC Storage ☐ FRC Permanent Withdrawal

From:

Date Requested: ____________

Requester:	Department/Organization:	Title:
Building:	E-mail Address:	Mailstop:

Ship To:

Addressee:	U.S. Department of Energy/LM-10	Address:	99 Research Park Road

City:	Morgantown	State:	WV	Zip Code:	26505

Records Shipped:
LM or NARA Legacy number

Transfer Number:	Number of Boxes:	Complete Description:

Certification:
The boxes referenced on this form have been approved for transfer.

Signature Date Signed

Attachment O. – LM Form 243.3, Reference Request – LM Business Center

LMF XXX.X
03/2006, OPI = LM-10
Previous Editions Obsolete

LM BC REFERENCE REQUEST

NOTE: Use a separate form for each request.

SECTION I—TO BE COMPLETED BY REQUESTING AGENCY

LM	TRANSFER NO.	NARA	AGENCY BOX NUMBER
			OF

DESCRIPTION OF RECORD(S) OF INFORMATION REQUESTED

☐ BOX

☐ FOLDER--include file number and title (Digitized)

REMARKS

NATURE OF SERVICE

☐ FURNISH COPY OF RECORD(S) ONLY ☐ TEMPORARY LOAN OF RECORD(S) ☐ REVIEW ☐ OTHER *(Specify)*

SECTION II—FOR USE BY BUSINESS CENTER

☐ RECORDS NOT IN CENTER CUSTODY ☐ RECORDS DESTROYED

☐ WRONG TRANSFER NO.—PLEASE RECHECK

☐ WRONG BOX NUMBER—PLEASE RECHECK

☐ ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED

☐ MISSING (*Neither record(s) or information found in container(s) specified)*

☐RECORDS PREVIOUSLY CHECKED OUT

REMARKS

DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS

SECTION III—TO BE COMPLETED BY REQUESTING AGENCY

NAME OF REQUESTOR	TELEPHONE NO. ☐ FTS	DATE

NAME AND
ADDRESS
OF AGENCY

(Include street
address, building,
room no. and zip code)

Attachment P. – Notification of Pending Records Destruction

The Records Liaison Officer (RLO) initiates the following email communication to request required approval for destruction of LM records housed at the LM Business Center (BC) that have met their retention requirements. The e-mail is sent to approvers identified by the RLO. The RLO approves final destruction of records.

From: LM Records Liaison Officer

E-mail Subject: Notification of Pending Records Destruction

Message: Archived records currently stored at the LM Business Center warehouse 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 or 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 as well as 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. Your response is required within 90 days of receipt.

Thank you for your assistance.

Attachment Q – LM Form 200.0-2, Records Destruction Certificate

LMF 200.2-2
11/2008, OPI = LM–10.2
Previous Editions Obsolete

U.S. Department of Energy
Office of Legacy Management
Records Destruction Certificate

The records identified below have reached their retention period and are eligible for destruction. Your approval certifies that these records no longer possess sufficient administrative, legal, historical, or fiscal value to warrant further retention and can be destroyed. If the records can not be destroyed due to special circumstances (e.g., litigation, claims, DOE destruction moratoria), and a temporary extension of the retention period is required please provide the reason for the temporary extension of the retention period to include a future review date in the remarks section below.
Authority: 36 CFR 1228.54 and 118.58

BOX NO. or FILE CODE	DESCRIPTION	INCLUSIVE DATES From	INCLUSIVE DATES To	VOLUME (cu. ft.)	DISPOSITION AUTHORITY	ELIGIBLE FOR DESTRUCTION DATE

☐ Approved ☐ Disapproved	Site Manager/Subject Matter Expert, Office of Legacy Management	Date
☐ Approved ☐ Disapproved	Contracts, Office of Legacy Management	Date
☐ Approved ☐ Disapproved	Finance, Office of Legacy Management	Date
☐ Approved ☐ Disapproved	General Counsel	Date
☐ Approved ☐ Disapproved	Other	Date
☐ Approved ☐ Disapproved	Other	Date
☐ Approved ☐ Disapproved	Other	Date
☐ Approved ☐ Disapproved	Other	Date

COMMENTS:

REMARKS SECTION
Reason for Temporary extension of the existing retention period:

Signature ______ Date ______

Future Review Date: ______

I herby certify the above records have been destroyed:

Method of Destruction: ______

Date Records Destroyed: ______

Signature: ______

Attachment R. -- Records Storage Supplemental Information

a. The LM Business Center (BC) is implementing National Archives and Records Administration (NARA) regulations and standards by using 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 their unique 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.

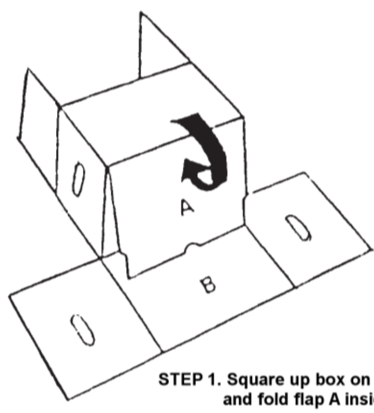
f. When numbering or writing on record boxes, observe the following:

- 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.

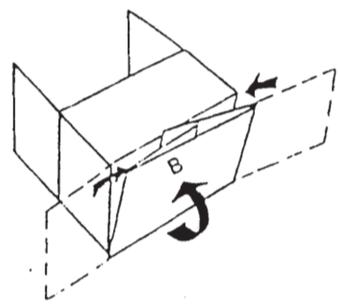
- Do not use labels to supply additional identifying information. (No standard method of affixing labels is effective for long-term storage.)

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

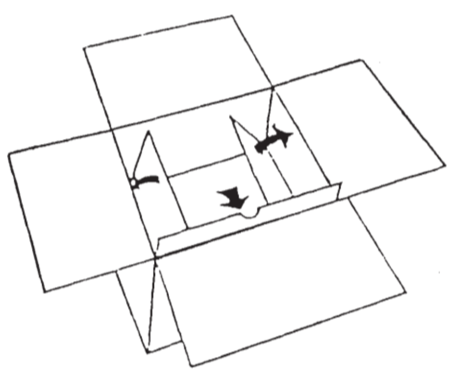
g. Record Box Assembly Diagrams



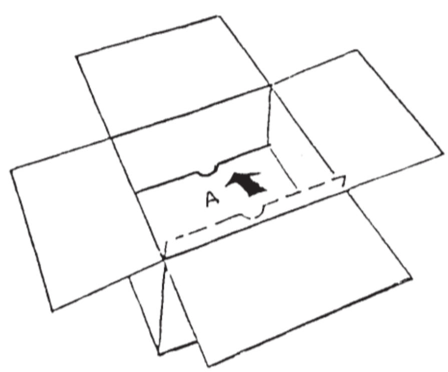
STEP 1. Square up box on its side, and fold flap A inside.



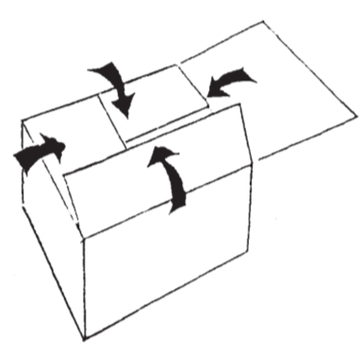
STEP 2. Fold extensions over flap B, and fold to closed position.



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)