



**OHIO  
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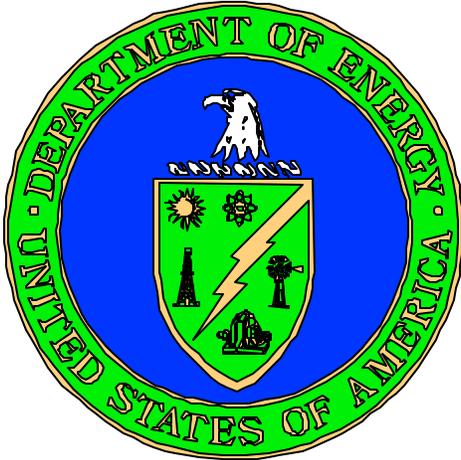
**U.S. DEPARTMENT OF ENERGY  
OHIO FIELD OFFICE**

**RECORDS MANAGEMENT PROGRAM**

**A MANAGEMENT GUIDE**

**MARCH 2001**

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# **U.S. DEPARTMENT OF ENERGY OHIO FIELD OFFICE**

## **RECORDS MANAGEMENT PROGRAM**

**A MANAGEMENT GUIDE**

**MARCH 2001**

Approved: *Ann S. Seckman*

## Preface

There are two basic principles and objectives of records management within the Department of Energy (DOE). The first is to implement a cost-effective Department-wide program that promotes economy and efficiency in the execution of the records management program and provides for:

- The adequate and proper documentation of DOE activities
- Maintaining records in a way that facilitates access and retrieval
- The proper disposition of records no longer needed for current business activities

The second principle and objective of records management is to ensure compliance with implementing regulations for records management issued by DOE-Headquarters (DOE-HQ) Records Management and the National Archives and Records Administration (NARA).

This guide brings together a variety of existing direction from several federal agencies including DOE, NARA, General Services Administration (GSA) and the Office of Management and Budget (OMB), that establish the applicable laws and regulations governing the creation, collection, uses, storage, protection and disposition of federal records.

This guide provides the structure to assist DOE-OH personnel and DOE-OH contractors with achieving the minimum DOE recordkeeping requirements and to establish standard recordkeeping practices. As such, this guide includes a listing of the roles and responsibilities for establishment of a Records Management Program for DOE-OH, identifying responsibilities for DOE-OH and contractor personnel.

This guide seeks to ensure information resources are properly managed and directed toward establishing a comprehensive site information closure process. This guide supports the goal of the DOE-OH records management program, which is to have all records inventoried, identified and dispositioned to off-site storage facilities in concert with site closure.

This guide addresses the objectives of records management in day-to-day operations that also apply to site closure. In addition, this guide provides the structure to manage current and future challenges of Records Management including electronic records management, abandoned records, and records disposition as project sites approach closure. In the absence of specific policy and program direction, the requirements of this guide provides that records will be managed to provide for proper maintenance and disposition.

This guide also addresses and provides instruction on electronic recordkeeping to include methods for managing electronic documents, e-mail and electronic indexes/databases. Additionally, this guide provides an explanation of terms used in the statutes and regulations, and guidance on the application of these terms to the documentary materials that organizations accumulate in their daily operations.

This is a “living” guide that will be reviewed and updated at least annually to accurately reflect new technology developments to assure that they are utilized to facilitate site closure at DOE-OH project sites and to ensure that this guidance reflects the latest management and planning guidance documents.

**DOE-OH  
RECORDS MANAGEMENT PROGRAM**

**TABLE OF CONTENTS**

	<b>Page</b>
<b>Preface</b> .....	<b>ii</b>
<b>Executive Summary</b> .....	<b>v</b>
<b>Background</b> .....	<b>1</b>
<b>Roles and Responsibilities</b> .....	<b>3</b>
<b>Records Management Program Implementation</b> .....	<b>9</b>
<b>Identifying Records, Nonrecords, Working Files and Personal Papers</b> .....	<b>13</b>
<b>Records Creation, Maintenance and Use, Records Disposition</b> .....	<b>15</b>
<b>Records Creation</b> .....	<b>15</b>
<b>Maintenance and Use</b> .....	<b>15</b>
• Recordkeeping Personnel	
• Setting Up A Filing System	
• Filing Equipment	
• Arranging and Filing Records	
• Inventorying and Scheduling Records	
• Moratoria on the Destruction of Records	
<b>Records Disposition</b> .....	<b>18</b>
• Records Transfer and Storage	
• Records Disposition	
• Reporting Requirements	
<b>Special Categories of Records</b> .....	<b>21</b>
• Abandoned Records	
• CERCLA Administrative Records	
• Classified Records	
• Contaminated Records	
• Contractors Own Records (CORs)	
• Epidemiological (EPI) Records	
• Freedom of Information Act (FOIA) Records	
• Privacy Act Records	
• Quality Assurance (QA) Records	
• Resource Conservation and Recovery Act (RCRA)	
• Scientific and Technical Information (STI)	
• Unclassified Controlled Nuclear Information (UCNI)	
• Unscheduled Records	

- Vital Records
- X-ray Records

<b>Electronic Records</b> .....	<b>29</b>
<b>Self Assessments</b> .....	<b>31</b>
<b>Training</b> .....	<b>33</b>
<b>Post-Closure</b> .....	<b>35</b>
<b>Appendices</b>	
<b>A 10 Commandments of Records Management</b> .....	<b>37</b>
<b>B References</b> .....	<b>39</b>
<b>C Definitions</b> .....	<b>41</b>
<b>D Forms List</b> .....	<b>47</b>
<b>E Acronyms</b> .....	<b>49</b>
<b>F Access to Records Management Resources</b> .....	<b>51</b>

## Executive Summary

Recordkeeping requirements originate in laws, regulations, and directives that provide for the creation, maintenance, and disposition of records. The Department of Energy, Ohio Field Office (DOE-OH) fully supports the requirement that all government records, including those in the custody of contractors, are maintained in a way that provides for the adequate and proper documentation of its policies and transactions.

As Project Site Closures approach, the complexity and scope of Records Management efforts will significantly increase. As such, appropriate resources and top-level management involvement will be needed for successful achievement of records management objectives.

The DOE-OH Records Management Program can be described as follows:

### Mission

Provide the formal structure needed to establish control over the creation, maintenance, use and disposition of federal records by DOE-OH and contractor personnel.

### Purpose

To achieve adequate and proper documentation of the policies and transactions of the DOE-OH and effective and economical management of DOE-OH records activities.

### Goal

To have all records inventoried, identified and dispositioned to off-site storage facilities in concert with site closure.

### Applicability

The DOE-OH Records Management Program applies to all DOE-OH records including those created, received, and maintained by contractors pursuant to their contracts.

### Requirements

All DOE-OH Project, Functional Offices and Contractor organizations are required to:

- Identify, develop, issue, and review recordkeeping requirements for operations and for records in all media, which includes those records created or received in electronic form.
- Create and maintain file plans that describe all categories of records that are created, received, and maintained by personnel in the course of their official duties.
- Use methods and recording techniques that ensure the preservation of information pertaining to records for as long as they are needed by the government and in accordance with NARA-approved Records Schedules.
- Conduct internal evaluations of recordkeeping practices and programs within the office, not less than every 3 years.

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## Background

The Department of Energy Ohio Field Office (DOE-OH) was established in October 1994, with a mission to oversee environmental restoration and waste management activities at five project sites in the states of Ohio and New York. The five project sites include industrial facilities that were part of the infrastructure of the United States nuclear weapons complex. Organizationally, DOE-OH is part of the DOE Office of Environmental Management (DOE-EM), established in 1989 specifically for the purpose of focusing on the environmental legacy of the Cold War.

DOE-OH and its Project Offices, identified below, participate in the planning, monitoring, and directing of functions, programs, and projects for the operation and environmental remediation of the five project sites. The following offices comprise the DOE Ohio Field Office:

- Ohio Support Office (inclusive of all functional offices) (OS), Miamisburg, Ohio
- Ashtabula Environmental Management Project (AEMP), Ashtabula, Ohio
- Columbus Environmental Management Project (CEMP), Columbus, Ohio
- Fernald Environmental Management Project (FEMP), Ross, Ohio
- Miamisburg Environmental Management Project (MEMP), Miamisburg, Ohio
- West Valley Demonstration Project (WVDP), West Valley, New York

The mission of DOE-OH is to provide leadership, financial, and technical support to the Ohio Field Office Projects allowing them to complete their environmental restoration, waste management, and economic transition activities that support the Department's goals. DOE-OH includes several Functional Offices that provide central support to the Project Offices in the areas of:

- Environmental oversight and compliance
- Safety
- Security
- Quality assurance
- Transportation management
- Health physics
- Finance and budget
- Audits
- Procurement and financial assistance (grants management)
- Human resources management
- Information technology
- Records management
- Legal counsel
- Property management

DOE-OH Functional Offices and the Project Offices are each responsible for developing specific policies, guidance, and procedures for the successful accomplishment of program requirements, with emphasis on the safety and health of employees, the general public and the environment, and implementation of security requirements, as appropriate.

In the fall of 1999, the DOE-OH Manager tasked a team of DOE and contractor records management experts from DOE-HQ and DOE-Richland Operations Office to review the

DOE-OH records management activities. The review identified a lack of formal records program guidance existing within DOE-OH to provide timely, compliant, and consistent management and direction to the contractors responsible for management of records. Although efforts had been made to formalize a records program within DOE-OH, specific management action had not been taken.

As a result, the DOE-OH Manager assigned responsibility for records management to the DOE-OH Chief Counsel. A site-wide inventory of all active and inactive records was conducted at the Miamisburg Project and Fernald Project at the beginning of 2000. The inventory described the types and identified the location of records that exist at the Miamisburg and Fernald Project sites, and provided the ability to apply disposition schedules to those records that were inventoried.

In addition, the DOE-OH Manager tasked the DOE-OH Chief Counsel to formally establish and implement a records management program for DOE-OH in compliance with implementing regulations issued by DOE-HQ and NARA. The DOE-OH Records Management Program, as described in this document, provides the formal structure needed to establish control over the creation, maintenance, use and disposition of federal records by DOE-OH and contractor personnel.

DOE-OH recognizes records are a government and business information resource. The availability of complete and accurate documentation allows government organizations to:

- Protect the legal and financial rights of the government and of individuals directly affected by government activities
- Preserve institutional memory so that informed decisions are possible and thus facilitate action by government officials and their successors in office
- Be held accountable through the proper scrutiny by the Congress and oversight agencies such as the Government Accounting Office (GAO), OMB, NARA, and GSA, as well as government auditors and inspectors general

Information that is not captured in records that are accessible in organized files or electronic recordkeeping systems will not be available when later needed. Poor documentation results in an unresponsive government or a government that cannot account for its actions, or both. The absence of documentation affects the efficiency of agency operations, because personnel may need information that is not available in the files. Also, conducting government business without adequate documentation increases the possibility that, in time, all relevant facts may be unavailable or interpretations may be distorted. As staff members leave, information that has not been documented will be lost to the agency.

The DOE-OH Functional Offices and Project Offices, in partnership with the DOE-OH Records Manager, will ensure that specific requirements of their respective organizations are incorporated in the creation, maintenance, use, and disposition of records.

## Roles and Responsibilities

### Applicability

The DOE-OH Records Management Program applies to all DOE-OH records including those created, received, and maintained by contractors pursuant to their contracts.

### Requirements

All DOE-OH Project, Functional Offices and Contractor organizations are required to:

- Identify, develop, issue, and review recordkeeping requirements for operations and for records in all media, which includes those records created or received in electronic form.
- Create and maintain file plans that describe all categories of records that are created, received, and maintained by personnel in the course of their official duties.
- Use methods and recording techniques that ensure the preservation of information pertaining to records for as long as they are needed by the government and in accordance with NARA-approved Records Schedules.
- Conduct internal evaluations of recordkeeping practices and programs within the office, not less than every 3 years.

### Roles and Responsibilities

#### *DOE-OH Manager*

- (1) Establish, implement, and sustain a records management program in accordance with the requirements of all federal laws, Executive Orders, DOE Orders, DOE Manuals; as well as standards established by DOE, accepted external standards, and authoritative issuances (i.e., numbered memos or NARA guidance). The functional information provided in DOE Guides should also be considered in the records management program.
- (2) Designate a Records Manager (RM) to act as liaison with the Departmental Records Officer, and to manage the records management programs of their respective elements.
- (3) Ensure that permanent records are preserved and that records no longer needed to conduct DOE business are promptly retired, transferred, or destroyed, as appropriate.
- (4) Ensure that all records management program requirements, data, and information (metadata) are kept current and available for review.
- (5) Ensure that all records management personnel having records management responsibilities receive periodic records management training.

*DOE-OH Records Manager*

- (1) Coordinate the records management program within the DOE-OH and related Project Sites to ensure compliance with all federal laws, Executive Orders, DOE Orders, DOE Manuals; as well as standards established by DOE, accepted external standards, and authoritative issuances (i.e., numbered memos or NARA guidance).
- (2) Identify, develop, issue, and review, not less than every 3 years, recordkeeping requirements for operations and for records in all media, which includes those records created or received in electronic form.
- (3) Technically support the local DOE Contracting Officials in implementing contractual provisions meeting the requirements of the DOE-OH Records Management Program.
- (4) Provide guidance on interpretation of ownership (government or contractor) of specific records when such ownership is questioned.
- (5) Report to DOE-HQ and NARA any instances of unauthorized disposition of federal records.

*DOE-OH Contracting Officers*

- (1) Ensure that all federal records created or received in connection with the contract are managed in accordance with the DOE-OH Records Management Program and with all other relevant Orders, laws, and regulations, and delivered to DOE at prescribed intervals as prescribed by the contract, or upon termination of the contract.
- (2) Work in partnership with the DOE-OH Records Manager to identify the appropriate record keeping requirements for the contract.
- (3) Identify which of the categories of contractor-owned records will be included in the contract as being considered as the property of the contractor.
- (4) Report to the DOE-OH Records Manager any instances of unauthorized disposition of federal records.

*DOE-OH Project Office and Functional Office Managers*

- (1) Work in partnership with the DOE-OH Records Manager to identify the appropriate record keeping requirements for the Project.
- (2) Designate a Records Coordinator to ensure the organization's records are inventoried, scheduled for disposition and identified on a Records Inventory and Disposition Schedule (RIDS), and communicate the name of the Records Coordinator to the DOE-OH Records Manager.
- (3) Appoint Records Custodians to assist the Records Coordinator with implementing recordkeeping requirements within the individual offices or organization, and communicate the name of the Custodian to the designated Records Coordinator.
- (4) Ensure that complete and accurate records are created.

- (5) Ensure that records of departing employees are inventoried, identified and scheduled on a RIDS prior to the employee's departure and provided to the organization's records custodian.
- (6) Concur on the destruction of temporary records identified for destruction along with the designated Records Coordinator.
- (7) Report to the DOE-OH Records Manager any instances of unauthorized disposition of federal records.

#### *DOE-OH Records Coordinators*

- (1) Use methods and recordkeeping techniques to establish a records program that ensures the protection and preservation of information pertaining to records for as long as they are needed by the government and in accordance with NARA-approved records schedules.
- (2) Conduct internal evaluations of Records Management practices and programs within the office, not less than every 3 years.
- (3) Ensure that all records have been inventoried, scheduled for disposition, identified on a RIDS, and maintained in a database-type format with search/retrieve capabilities.
- (4) Review and approve requests for non-standard filing supplies and equipment prior to procurement.
- (5) Assist Records Custodians with the completion of the DOE F 243.1, U.S. Department of Energy Records Schedule Worksheet and the Standard Form 115 (SF115), Request for Records Disposition Authority.
- (6) Maintain a current list of permanent records identified by schedule number, location, custodian, and any transfer instructions.
- (7) Concur on the destruction of temporary records identified for destruction along with the respective organizational manager.
- (8) Report to the DOE-OH Records Manager the volume data (in cubic feet) on records holdings, disposals, and transfers taking place on an annual basis for all paper-based, electronic, audiovisual, and other special records.
- (9) Report to the DOE-OH Records Manager any instances of unauthorized disposition of federal records.

#### *DOE-OH Records Custodians*

- (1) Create and maintain file plans that describe all categories of records that are created, received, and maintained by personnel in the course of their official duties.
- (2) Conduct record inventories within respective organizations and prepare at least one RIDS for each organization.

- (3) Ensure that records of departing employees are inventoried, identified and scheduled on a RIDS prior to the employee's departure. The inventory should include all records, regardless of media, including electronic and e-mail records.
- (4) At least annually, review the RIDS and make changes as appropriate.
- (5) Review the organization's RIDS forms annually to identify those records series that have met their required retention and can be destroyed.
- (6) Ensure review and approval of the records transfer form by the respective organizational manager and Records Coordinator prior to transferring records.
- (7) Maintain a count of the total cubic feet of active records that are listed on the RIDS for their respective organizations.
- (8) Prepare records for transfer, including boxing the records, preparing a box list for the contents of each box, and providing the pertinent records data on the appropriate transfer form for the series of records for each box to be transferred.

#### *DOE-OH Employees*

- (1) Create, identify, protect, maintain, and turnover all records acquired or generated in the performance of duties and responsibilities to the organization's records custodian.

#### *DOE-OH Contractor Organizations*

- (1) Create and maintain adequate and proper documentation for all activities carried out under the contract.
- (2) Establish or maintain a records management program that provides for effective controls over the creation, receipt, maintenance, use, protection, and disposition of all DOE records.
- (3) Designate a Records Coordinator to ensure the organization's records are inventoried, scheduled for disposition and identified on a RIDS, and communicate the name of the Records Coordinator to the DOE-OH Records Manager.
- (4) Appoint Records Custodians to assist the Records Coordinator with implementing recordkeeping requirements within the individual offices or organization, and communicate the name of the Custodian to the designated Records Coordinator.
- (5) Ensure that contractors own records maintained by the contractor can be distinguished from DOE records maintained by the contractor.
- (6) Ensure that no DOE record is destroyed or otherwise alienated from DOE or contractor custody, unless such actions are authorized by a NARA-approved records schedule.
- (7) Ensure compliance with NARA-approved records schedules.
- (8) Ensure that all records management personnel having records management responsibilities receive periodic records management training.

- (9) Identify, develop, issue, and review, not less than every 3 years, recordkeeping requirements for operations and for records in all media.
- (10) Create and maintain file plans that describe all categories of records that are created, received, and maintained by personnel in the course of their official duties.
- (11) Request disposition authority from NARA, through the DOE-OH Records Manager, for all records not covered by NARA-approved Records Schedules.
- (12) Use materials and recording techniques that ensure the preservation of records for as long as they are needed by the government.
- (13) Retain individual radiation exposure records generated in the performance of work under the contract until DOE authorizes disposal.
- (14) Preserve and make available for inspection records generated in performance of work under a contract until disposal is authorized by DOE, or delivered to DOE upon completion or termination of the contract.
- (15) Ensure that records of departing employees are inventoried, identified and scheduled on a RIDS prior to the employee's departure and provided to the organization's records custodian.
- (16) Conduct internal evaluations of recordkeeping practices and programs within the office, not less than every 3 years.
- (17) Report to the DOE-OH Records Manager any instances of unauthorized disposition of federal records.
- (18) Ensure that records prepared for transfer include a box list for the contents of each box along with the pertinent records data on the appropriate transfer form for the series of records for each box to be transferred.

#### *Contractor Records Coordinators*

- (1) Use methods and recording techniques that ensure the protection and preservation of information pertaining to records for as long as they are needed by the government and in accordance with NARA-approved records schedules.
- (2) Conduct internal evaluations of Records Management practices and programs within the office, not less than every 3 years.
- (3) Ensure that all records have been inventoried, scheduled for disposition, identified on a RIDS, and maintained in a database-type format with search/retrieve capabilities.
- (4) Review and approve requests for non-standard filing supplies and equipment prior to procurement.

- (5) Assist Records Custodians with the completion of the DOE F 243.1, U.S. Department of Energy Records Schedule Worksheet and the Standard Form 115 (SF115), Request for Records Disposition Authority.
- (6) Maintain a current list of permanent records identified by schedule number, location, custodian, and any transfer instructions.
- (7) Concur on the destruction of temporary records identified for destruction along with the respective organizational manager.
- (8) Report to the DOE-OH Records Manager the volume data (in cubic feet) on records holdings, disposals, and transfers taking place on an annual basis for all paper-based, electronic, audiovisual, and other special records.
- (9) Report to the DOE-OH Records Manager any instances of unauthorized disposition of federal records.

#### *Contractor Records Custodians*

- (1) Create and maintain file plans that describe all categories of records that are created, received, and maintained by personnel in the course of their official duties.
- (2) Conduct record inventories within respective organizations and prepare at least one RIDS for each organization.
- (3) Ensure that records of departing employees are inventoried, identified and scheduled on a RIDS prior to the employee's departure. The inventory should include all records, regardless of media, including electronic and e-mail records.
- (4) At least annually, review the RIDS and make changes as appropriate.
- (5) Review the organization's RIDS forms annually to identify those records series that have met their required retention and can be destroyed.
- (6) Ensure review and approval of the records transfer form by the respective organizational manager and Records Coordinator prior to transferring records.
- (7) Maintain a count of the total cubic feet of active records that are listed on the RIDS for their respective organizations.

#### *Contractor Employees*

- (1) Create, identify, protect, maintain, and turnover all records acquired or generated in the performance of duties and responsibilities to the organization's records custodian.

## Records Management Program Implementation

As the DOE-OH Project sites (Ashtabula, Columbus, Fernald, Miamisburg and West Valley) move closer to the final goal of safe facility shutdown and environmental restoration, the information left behind will be the final legacy of each site's mission and activities. In a very real sense, information will likely be the last resource requiring management at the DOE-OH Project Sites. The information about the mission and history of these sites must be preserved and maintained appropriately to adequately document the site's legacy and to provide the accountability for federal funds expended for operations and cleanup.

Unlike other Project and Functional efforts that will decrease as Project Sites near closure, the complexity and scope of Records Management efforts will significantly increase. In addition, it is anticipated that the volume of records to be dispositioned will increase significantly as Project Site Closures approach. Appropriate resources and top-level management involvement will be needed for successful achievement of records management objectives.

The DOE-OH Manager has designated the DOE-OH Chief Counsel to be responsible for providing direction and oversight to all DOE-OH Project, Functional Offices and Contractor Organizations in fulfilling the minimum records management program requirements established by DOE-HQ Records Management. The purpose of DOE-OH Records Management is to achieve adequate and proper documentation of the policies and transactions of the DOE-OH and effective and economical management of DOE-OH records activities.

Records management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records throughout their life cycle. The life cycle encompasses the interrelated and interdependent phases of records creation or collection, records use and maintenance, and records disposition.

The DOE-OH Records Management Program provides for:

- Developing and applying standards, procedures, and techniques designed to improve the management of records
- Promoting the maintenance and security of records deemed appropriate for permanent preservation
- Facilitating the segregation and disposal of temporary records

Every record has its own unique value for business purposes and the record's value determines how long it will be kept. Record retention periods are established in accordance with NARA-approved records schedules, and records are only dispositioned after having been retained for the designated period of time.

Central to records management is the concept of recordkeeping requirements. Recordkeeping requirements originate in laws, regulations, and directives that provide for the creation, maintenance, and disposition of records. These requirements are established to ensure the availability of complete and accurate documentation to protect the legal and financial rights of the government and individuals directly affected by government activities; and to preserve historical information, thereby enabling DOE and DOE-contractor officials and their successors to make informed decisions.

These requirements seek to ensure that permanent records are preserved and that records no longer needed to conduct DOE business are promptly retired, transferred, or destroyed, as appropriate. Without recordkeeping requirements, organizations cannot ensure that they are creating and maintaining accurate and complete documentation.

To attain the objectives described in this guide, the DOE-OH Records Manager will rely on DOE-OH Records Coordinators who will be responsible for ensuring that a records management program is established for each site organization and their contractors. The DOE-OH Records Coordinator will be responsible for ensuring that all records have been inventoried, scheduled for disposition and maintained in a database-type format with search/retrieve capabilities. Additionally, Project and Functional Office managers should appoint Records Custodians to assist the DOE-OH Records Coordinator with implementing recordkeeping requirements within the individual offices.

Project Site Contractors are contractually responsible for the proper maintenance and disposition of federal records in their custody in accordance with applicable laws and regulations. DOE-OH's role, with respect to Records Management, is to ensure that Project Site Contractors properly disposition all federal records in their custody according to federal and DOE requirements. **DOE-OH will not inherit any abandoned records from the Project Site Contractors.** It is the responsibility of Project Site Contractors to ensure that all federal records in their custody are properly indexed, inventoried, transferred to appropriate storage facilities, and possess a disposition schedule so that a smooth transfer of custodial responsibility of Project Site federal records to DOE-OH can occur at or near closure of the Project Site.

A sampling of current estimates for the volume of records in the custody of DOE-OH and Project Site Contractors include:

- Ashtabula Project - approximately 1,285 ft<sup>3</sup> of active and inactive records. The current projected volume of records by site closure date is 2,000 ft<sup>3</sup>
- Columbus Project - approximately 500 ft<sup>3</sup> of active and inactive records. The current projected volume of records by site closure date is 1,500 ft<sup>3</sup>
- Miamisburg Project – approximately 22,185 ft<sup>3</sup> of active and inactive records, of which 19,556 ft<sup>3</sup> is being stored on-site and 2,629 ft<sup>3</sup> is being stored off-site in approved commercial storage. The current projected volume of records by site closure date is 38,823 ft<sup>3</sup>.
- Fernald Project – approximately 52,666 ft<sup>3</sup> of active and inactive records, of which 50,866 ft<sup>3</sup> is being stored on-site and 1,800 ft<sup>3</sup> is being stored off-site in the local NARA Federal Records Center. The current projected volume of records by site closure date is 51,800 ft<sup>3</sup>.
- West Valley Project – approximately 9,400 ft<sup>3</sup> of active and inactive records, of which approximately 2,100 ft<sup>3</sup> is being stored on-site and 7,300 ft<sup>3</sup> is being stored off-site in approved commercial storage.
- DOE-OH – approximately 1,500 ft<sup>3</sup> of active and inactive records, of which approximately 400 ft<sup>3</sup> is being stored on-site and 1,100 ft<sup>3</sup> is being stored off-site in the local NARA

Federal Records Center. The current projected volume of records by site closure date is 3,000 ft<sup>3</sup>.

These records, providing documentation of federal activities at the Project Sites, are the property of the federal government and are an important asset to be protected and managed appropriately.

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## Identifying Records, Nonrecords, Working Files and Personal Papers

### Records

As defined in 44 U.S.C. 3301, the term *Record* includes all documentary materials including letters, memorandums, completed forms, statistical and narrative reports, graphics, photographs, audio and video recordings, maps, architectural, engineering, and other drawings regardless of physical forms including photographic negatives and electronic records made or received by an agency of the U.S. Government under federal law or in connection with the transaction of public business, and preserved or appropriate for preservation as evidence of agency functions, organization, and activities or because of the value of the information they contain.

Simply stated, a record is any recorded information relating to the work of an office—regardless of who created it or how the information was recorded. Virtually all recorded information in the custody of the government (including information created by contractors on behalf of the government) regardless of its media (hard copy, machine-readable, microfilm, or electronic) is considered to be *government* records.

Records also consist of documents such as drafts, working files, notebooks, notes, calculations and other background materials that may contain information needed to supplement formal records and also support program policy development.

Determining whether a particular document is a record does not depend on whether it is an original or a copy. Multiple copies of the same document may each have record status if they serve a separate function and are controlled under different filing systems.

Documentary material is a *record* when it includes any of these characteristics:

- It is the original and contains the original signature or other indicator(s) that identify it as the original
- It requires action as indicated by specific instructions or a due date
- Supports other data, such as specific explanations of actions taken

*Nonrecords* are usually maintained for reference purposes and do not document the activities for which an organization has functional responsibility. Examples of nonrecords are:

- Extra copies of documents maintained for information only
- Stocks of publications or other processed documents that require no action and are not part of a case on which action is taken
- Library materials, books, etc.

### Working Files

Documents or files retained by individual employees used to perform the duties and responsibilities for which they were hired are *Working Files*. Working Files may include preliminary drafts, suspense files, job control files, and extra copies of documents. Working files

may be records based on their value and therefore, should be properly maintained in a structured filing system and identified in an organization's records inventory to ensure the Working Files are scheduled for appropriate disposition.

#### Personal Papers

*Personal Papers* are nonofficial, or private papers or files accumulated by an employee that are not used in the transaction of official government business, and relate solely to an individual's own affairs. Personal papers should be kept separately from the organization's records.

## **Records Creation, Maintenance and Use, and Records Disposition**

### **Records Creation**

Records creation is the first phase of the records life cycle in which records (paper, electronic, audio, photographs, etc.) are made or received by an office. A successful records management program begins with having good information management practices at the creation of the information and using those practices throughout the life cycle of the information. The requirements should contain details of which records are to be created and collected, maintenance and disposition information, prescribed storage media, as well as organizational and physical location.

A record should be created any time actions happen within an organization, which affects or has an impact on the organization. The record should provide evidence that the functions of an organization were properly and adequately performed. This includes people, places, things or matters regarding that information.

When a record has been created, immediate consideration should be made as to its value, filing arrangement and appropriate disposition. This is critical because the manner in which the records are created and information collected impacts upon its maintenance, use, and disposition.

### **Maintenance and Use**

Maintenance and use is the second phase of the life cycle of a record and involves establishing a filing system and the inventory, identification and scheduling of records for final disposition. Also included in this phase is the selection of personnel to properly maintain the records as well as the selection of filing equipment and supplies to properly maintain the records.

#### Recordkeeping Personnel

Each Project Office and Contractor organization should designate a Records Coordinator to ensure the organization's records are inventoried, scheduled for disposition and identified on a RIDS. The designation of Records Coordinators should be communicated to the DOE-OH Records Manager. Additionally, DOE-OH Functional and Contractor Program Offices should appoint a Records Custodian to maintain the records within their organization. The records custodian should be someone who is knowledgeable of the organization's records and activities. The names of appointed Records Custodians should be communicated to the designated Records Coordinators.

#### Setting Up a Filing System

Files should be organized so that active records are properly maintained and therefore can be found rapidly. The organization of the filing system should be such that the disposition of inactive records is accomplished promptly.

When practical, file stations should be centralized to provide ready access to those personnel who use them most often.

#### Equipment and Supplies

The selection of filing equipment and supplies should be standardized to accommodate the type of documents most often filed in an organization. Consideration should be given to reliability, cost and ability to satisfy all aspects of the intent of a file system. Scanners, microfiche readers, film, and electronic databases are just some of the current methods that can be used to assist with capturing, storing, searching, and retrieving an organization's records.

Requests for filing supplies and equipment should be made through normal supply channels, and should be coordinated with the Records Coordinator. Requests for non-standard supplies and equipment should include a justification for need and use, including savings or benefits that may result. Such requests should have prior approval of the Records Coordinator before procurement.

#### Arranging and Filing Records

The most common arrangements used in setting up a filing system are chronological, alphabetical, numerical and subject. When filing by subject, file codes may be used to further facilitate access and retrieval, and assigned according to where the user would look for the information.

Another arrangement used in filing systems is *Case Files* (also known as project files). Case files relate to a specific action, event, person, organization, location, product or item. The records within a case file may cover one or many subjects concerning a case or project, but will always be filed by a name or a number. Case files should be maintained separately from other filing arrangements whenever there is a sufficient number of file folders to make separating them useful.

The arrangement of records used in a filing system provides the ability to identify and retrieve information when needed. Records series are the individual file units or documents arranged within a filing system, and are generally handled as a unit for disposition purposes.

Files should be cutoff at regular intervals, usually at the close of a fiscal or calendar year. For correspondence files, cutoffs permit the establishment of new files and facilitate their disposal or transfer in complete blocks. This also helps to control the volume of records in active office space and filing equipment and makes possible the appropriate disposition of records in uniform, chronological blocks.

The application of retention periods usually begins with the cutoff, not with the creation or receipt, of the records. Nonrecord materials do not normally require cutoffs but should be purged periodically, at least annually.

At a minimum, separate file folders should be used to separate each fiscal year of files that have collected for each record series.

#### Inventorying and Scheduling Records

A successful records management program is founded on knowing what information is available and where it is located. In records management, an inventory is a descriptive listing of each record series or system by title, together with an indication of location, inclusive dates, and other pertinent data. It is not a listing of each document or each folder but rather of each series or system.

Inventorying involves distinguishing records from nonrecord materials and personal papers and gathering information about the records themselves. During the inventory process, records are evaluated for disposition by determining their use and analyzing their values. An objective of the evaluation performed during the inventory is to determine specific retention periods for an organization's records. A records value is based on understanding why the record was created, the media the record was created on, the filing arrangement of the record, and any special characteristic of the record.

When completed, the inventory will have included a review all record and all nonrecord materials including paper, electronic, audiovisual, microform, etc., in all offices.

All records, regardless of media, fall into one of two categories for disposition purposes. The first category is temporary records, or records that are not permanent and have NARA-approved retention schedules for disposal, either immediately after a specific period of time or after an event. The time may range from a few days or months to longer periods, such as 20, 40, or even 100 years. Approximately 95 percent of all federal records are temporary.

The second category that records fall into for disposition purposes is permanent records. Permanent records are any federal records determined by NARA to have sufficient value to warrant their preservation in the National Archives. Permanent records are retained by the Department for as long as needed and legal custody is then transferred to the National Archives.

Scheduling records is the process of developing a document that provides mandatory instructions for what to do with records (and nonrecord material) that is no longer needed for government business. Most records series or systems of an organization can be scheduled for disposition by referencing NARA-approved records schedules. Records schedules approved for use to disposition DOE records are accessible at the DOE Records Management web page at Appendix F.

In some instances, it is possible that an organization's records series or systems are not covered by existing NARA-approved records disposition schedules. In those circumstances, the designated Records Coordinator will assist with the completion of the DOE F 243.1, U.S. Department of Energy Records Schedule Worksheet and the Standard Form 115 (SF115), Request for Records Disposition Authority. The DOE F 243.1 and SF 115 will be provided to the DOE-OH Records Manager for submission to the DOE-HQ Records Officer to obtain NARA approval. NARA is solely responsible for appraising federal records and approving their final disposition, including their designation as either temporary or permanent. Unscheduled records are listed on the RIDS and properly maintained pending approval of disposition instructions.

The information collected during the inventory is used to complete a RIDS form for the organization. The RIDS is developed after a careful analysis of the organization's documentary materials, and provides mandatory instructions for the retention and disposition of each record series or system and of nonrecord material. The RIDS identifies the appropriate disposition authority, disposition instructions, and transfer instructions.

Records custodians are responsible for preparing at least one RIDS for each organization and obtaining the appropriate Records Coordinator and manager's signature verifying the inventory. Additionally, records custodians should maintain a count of the total cubic feet of active records that are listed on the RIDS.

Upon approval by the organizational manager and respective Records Coordinator, the resulting RIDS form authorizes the systematic removal from offices of unneeded records even as new ones are being created. Managers are responsible for the records listed on the RIDS, ensuring that all record material, working papers, and nonrecord material is inventoried and properly identified.

At least annually, records custodians should review their RIDS, re-inventorying their record holdings as necessary, make changes as appropriate and forward the revised RIDS to the appropriate Records Coordinator as applicable for review and approval. A copy of each approved RIDS should be provided to the DOE-OH Records Manager.

The RIDS form can be obtained from the designated Records Coordinators or Records Program Office.

#### Moratoria on the Destruction of Records

The routine disposition of records created and maintained by the DOE-OH and its Contractors may be suspended by the DOE-OH Manager, DOE-OH Chief Counsel, or DOE-OH Project Site Manager through issuance of a Moratorium. A Moratorium may be required to:

- Suspend the routine disposition of Departmental and Contractor records to support an investigation
- Preserve records for research
- Provide evidence for a legal action

The DOE-OH has an obligation to inform the Contractors when a moratorium is placed or removed from federal records. Notification of a Moratorium will be made formally through the issuance of a letter. Contractors should determine if a moratorium exists prior to the disposition of records.

#### **Records Disposition**

Records Disposition is the third and final stage of the life cycle of records. The disposition of an organization's records is conducted according to the instructions shown on the organization's approved RIDS form. The term disposition refers to those actions taken regarding records and nonrecords after they are no longer needed to conduct current business.

These actions include:

- Transfer of records to a NARA approved records storage facility pending the expiration of their retention period
- Transfer of permanent records to the National Archives
- Destruction of records that have met their retention period

Each DOE-OH Project and Contractor Organization should develop and implement processes to execute records disposition actions. The processes developed to execute records disposition actions should be approved by the DOE-OH Records Manager.

#### Records Transfer and Storage

In both centralized and decentralized filing systems, inactive temporary records that are no longer needed to conduct current business should be transferred to a NARA approved records storage facility pending their final disposition. Only those records that have been inventoried and scheduled for disposition on an approved RIDS form may be transferred. Transferring records to a NARA approved records storage facility will ensure that inactive records are kept

for the duration of their retention period as prescribed by NARA-approved records schedules, provide a system for storing, locating and retrieving inactive records, and preserve records that have permanent retention due to their historical value.

Although on-site record storage of inactive records may occur at DOE-OH Project Sites, this arrangement is considered temporary and these records should be transferred to a NARA approved records storage facility to ensure proper protection, preservation and safeguard. Eligible records should be systematically and promptly transferred to approved storage facilities.

Inactive, temporary records may be transferred to a NARA Federal Records Center (FRC) or, with approval of the DOE-OH Records Manager, a commercial records storage facility provided that the facility meets the requirements prescribed in DOE and NARA directives. As sites approach closure, contractors should be prepared to make arrangements for DOE records to be transferred to an FRC pending further guidance from DOE-HQ. The FRC maintains adequate staffing to accommodate transfer and retrieval requests and will ensure the preservation of records that are pending their final retention period or permanent retention. FRCs are located in close proximity to DOE-OH Project Offices, and operate on a fee-based system to store and provide reference service for federal records.

Permanent records require special attention and should be scheduled for transfer to the legal custody of the National Archives as soon as the organization no longer needs them for current operations. They should be created on archival quality media and kept properly and in good order. To prevent their loss or destruction, Records Coordinators should keep a current list of permanent records and provide a copy of the listing to the DOE-OH Records Manager. The list should identify them by schedule number and show locations, custodians, and any transfer instructions.

At least annually, Records Custodians should review their organization's RIDS form to determine which records series can be transferred to a records storage facility. Transfer of records should only occur after review and approval of the respective organizational manager and Records Coordinator.

Transfer of records to an FRC is accomplished by completion of Standard Form 135, *Records Transmittal and Receipt*, as prescribed by NARA. Within DOE-OH, the signature of the DOE-OH Records Manager will be required as the Transferring Agency Official and the designated Records Coordinator will sign as the Transferring Agency Liaison Official. DOE-OH Contractor organizations should establish similar signature authorities for their respective organizations.

Records Custodians are responsible for preparing records for transfer, including boxing the records, preparing a box list for the contents of each box, and providing the pertinent records data on the appropriate transfer form for the series of records for each box to be transferred.

#### Records Destruction

In both centralized and decentralized filing systems, Records Custodians should examine their organization's RIDS forms annually to identify those records series that have met their required retention and can be destroyed. The organizational manager and the designated Records Coordinator must concur on the destruction of temporary records identified for destruction.

Organizational Managers and the designated Records Coordinator should review the records series identified for destruction to confirm the temporary records are not subject to a litigation

action or destruction moratorium, and provide the records custodian with signature approval as verification the temporary records are eligible for destruction. In addition, the DOE-OH Chief Counsel must concur on the destruction of records series identified for destruction that are or have been part of an ongoing or completed litigation action or destruction moratorium.

Destruction and/or disposition of nonrecords do not require prior review and approval by a Records Coordinator. However, the designated Records Coordinator should be contacted for guidance concerning record/nonrecord determination when questions exist.

Temporary records should be disposed of promptly in accordance with NARA-approved records schedules. If temporary records are stored in an FRC when their retention periods expire, they are destroyed according to procedures set forth in NARA regulations including notification by NARA to the transferring agency 90 days prior to scheduled destruction. If there is no objection from the agency during that period, the records will be destroyed as scheduled.

Methods of destruction include sale or salvage of the records medium, or burning, pulping, shredding, macerating, or discarding with other waste material. Any sale contract for unrestricted records must prohibit their resale as records or documents. All sales must comply with the procedures for the sale or surplus of personal property, as stipulated in federal property management regulations.

Security-classified or otherwise restricted records require special destruction procedures. Specific laws, including the Privacy Act, and regulations govern the destruction of other restricted records.

#### Reporting Requirements

DOE-OH will track its total records holdings annually to promote economy and efficiency in the execution of the records management program. To meet the requirement, Project Office and Contractor organization Records Custodians should report to their designated Records Coordinator the volume data (in cubic feet) on records holdings, disposals, and transfers taking place since the last reporting period. The information reported should distinguish between transfers of eligible records to NARA approved storage facilities and transfers of permanent records to the National Archives. The report should also distinguish paper-based records from electronic, audiovisual, and other special records.

DOE-OH must report to DOE-HQ and NARA any instances of unauthorized disposition of federal records because such unauthorized action is illegal (44 U.S.C. 3106) and may lead to fines and imprisonment (18 U.S.C. 2071). Reporting requirements are set forth in 36 CFR 1228.

### **Special Categories of Records**

Special categories of records are records that, in addition to standard recordkeeping requirements, are subject to additional criteria regarding their identification, maintenance, use, storage or disposition. The categories of records discussed below are not inclusive of all special categories of records within DOE-OH, and will be revised as other categories requiring attention are identified.

#### Abandoned Records

Abandoned records, regardless of media, are those records for which a program custodian or custodial organization responsible for their management and disposition can no longer be identified. Abandoned records may be created by unplanned layoffs, employee transfers, improper storage of records, and building closures. The tasks of characterizing records and applying appropriate records schedules is difficult and time consuming in the absence of knowledgeable records custodians and can affect the path for site closure.

As project sites approach closure and fewer employees are retained to complete cleanup activities, the potential for abandoned records will increase. Each project office and contractor organization should implement controls to ensure that a current inventory exists for records under the control and direction for each departing employee, including computer hard drives, network files, and floppy discs. Controls should include the proper transfer of the referenced records to a custodian designated by the departing employee's manager. Controls should also establish safeguards against the unauthorized removal or destruction of federal records.

#### CERCLA Administrative Record

The US Environmental Protection Agency (EPA) requires that an Administrative Record be established at facilities undergoing response actions under Sections 113(k) of the Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA). An Administrative Record is the complete body of documents that form the basis for selecting a CERCLA response action, (i.e., documents considered or relied upon in selecting a remedy).

The documents that typically form the CERCLA Administrative Record include an index of all documents found in the Record, general and site-specific guidance documents, final reports generated by the DOE or other lead agency (e.g., the remedial investigation/feasibility study, the record of decision, etc.), technical and site-specific information, and information or comments submitted by interested parties/public during public comment periods, including the lead agency's responses to the comments. To the extent they are relied upon in the selection of the remedy, primary and secondary documents, as specified in the federal facility agreement, should be in the Administrative Record.

Under CERCLA, the lead agency (DOE) is required to establish and maintain the Administrative Record. DOE must keep a copy of the CERCLA Administrative Record at or near the facility where the response action is occurring. The Project Site Contractors at the Fernald Project and the Miamisburg Project are maintaining a CERCLA Administrative Record for the respective Projects. Presently, approximately 2,500 ft<sup>3</sup> of records currently comprise the Fernald Project CERCLA Administrative Record, and approximately 1,569 ft<sup>3</sup> of records currently comprise the Miamisburg Project CERCLA Administrative Record.

#### Classified Records

Classified documents are also records. Classification requirements must be followed regarding any aspect of the creation, maintenance, or disposition of classified records. Security

requirements and procedures affecting classified records are described in DOE O 471.2, Information Security Program and DOE M 471.2-1, Manual for Classified Matter Protection.

Records maintained to control and account for classified matter, including those reflecting receipt, dispatch, and destruction, should be retained in accordance with the NARA-approved records schedules.

#### Contaminated Records

Contaminated records are records containing external impurities that render the media on which the records are stored unsafe for human handling without special precautions. The principal concern with contaminated records is the potential for spreading the contamination to employees and the public, record storage areas, and other records. In addition to creating unwanted health and safety risks, control and cleanup of contaminated records can be a very expensive challenge. The goals are to eliminate contaminated records from Project Sites, to prevent future exposure of personnel and the public to contaminated records, and to ensure no additional records become contaminated.

#### Contractors Own Records (CORs)

Contractors Own Records are records that are specifically identified under contract as the property of DOE contractors. For example, Department of Energy Acquisition Regulation (DEAR) 970.5204-79, "Access to and Ownership of Records" sets forth certain categories of records which may be considered to be the property of the contractor. The categories of records should be identified by series to be included in the clause. The records remain subject to inspection, copying, and audit by DOE, and copies of CORs shall be delivered to DOE or its designee upon request.

Contractor organizational managers are responsible for ensuring any CORs within their area of responsibility are identified and communicating their findings to the Contractor Records Coordinator. Contractor records custodians are responsible for ensuring the COR status is reflected in the descriptive information about the series on the organization's RIDS form to facilitate compliance.

#### Epidemiological (EPI) Records

Health related information contained in EPI records is aimed at discovering relationships among the various factors determining the frequency and distribution of diseases, if any, related to employment, occupational, or environmental hazards. The occupations targeted are in contractor organizations and federal activities having the possibility of exposing employees to radiation or other toxic substances.

EPI records are those records that provide information about safety management, medical and health, operational records for health units, fire units, biological laboratories, individual case files of employees exposed to hazardous or toxic substances or radioactivity, and records of DOE-controlled activities reflecting the protection provided to employees, the public, property, and the environment during the conduct of an activity. EPI records also document information about people who worked at a DOE or contractor site, when they worked there and what they did, what health hazards they were exposed to, and what kinds of health problems they may have had during or after their employment. Also, EPI records may document site administrative organization and management, environmental and area hazard monitoring, process and material controls, health and safety procedures, work assignments, procedures, conditions, locations, and structural design and location.

In 1991, DOE placed an agency wide moratorium on the destruction of records useful to epidemiology studies. The moratorium includes both DOE and DOE contractor records, is applied by record disposition schedules, and defines appropriate record series. DOE-OH affirms its commitment to the preservation of epidemiology records and of their availability to health researchers.

The DOE-HQ Office of Environment, Safety, and Health (DOE-EH) has established the Office of Health Studies to take the lead on epidemiology issues related to the moratorium. These offices coordinate site visits of health researchers undertaking epidemiology studies and determine whether specific site records are included under the moratorium or can be removed from the requirements of the moratorium.

A list of records disposition schedules determined to be related to EPI records is available from the DOE-HQ Records Office. Records that have been scheduled for disposition using one the schedules determined to be related to EPI records cannot be destroyed without coordination of the DOE-OH Records Manager, DOE-HQ Office of Health Studies, and the approval of the DOE-HQ Records Officer.

Managers are responsible for ensuring EPI records within their area of responsibility are identified. Records custodians are responsible for ensuring the *EPI* status is reflected in the descriptive information about the series on the RIDS so that compliance will be facilitated.

#### Freedom of Information Act (FOIA) Records

The Freedom of Information Act (FOIA) provides access to all Department records (or portions of those records), except for those records that are protected from disclosure by specific exemptions and exclusions (reasons for which the Department may withhold records from a requester).

All records within the Department are subject to FOIA access approval, however, the *FOIA* status does not need to be annotated in the descriptive information about the series on the RIDS.

#### Privacy Act Records

The Privacy Act of 1974, as amended, restricts access by unauthorized individuals to certain categories of records created and managed by the DOE. The purpose of the Act is to:

- Protect the privacy of individuals working within the Department by restricting the general release of certain types of information
- Ensure that the collection, maintenance, use and dissemination of information by the federal government is consistent with applicable laws relating to confidentiality, including the Privacy Act

Privacy Act records impose requirements on the Department regarding the collection and dissemination of information about individuals when the information is retrievable by name or other personal identifier, such as a social security, license, badge, or other number or identifier assigned to particular individuals.

Managers are responsible for ensuring records series subject to the Privacy Act are identified. Records custodians are responsible for ensuring that the *PA* status is reflected in the descriptive information about the series on the RIDS so that compliance with the Act will be facilitated.

In the event of violations of the Act, a civil action may be brought against the organization and criminal penalties may be imposed upon the officers and employees of the organization.

#### Quality Assurance (QA) Records

QA records are generated as a result of those planned and systematic actions that are necessary to provide adequate confidence that a facility, structure, system, or component will perform satisfactorily in service. It is necessary to note that NQA-1 requirements include the terms “lifetime” and “nonpermanent” while NARA requirements include the terms “permanent” and “temporary”, respectively. This guide will apply the terms identified by NARA while recognizing the requirements for compliance with NQA-1 for QA records.

Managers are responsible for ensuring QA records within their area of responsibility are identified. Records custodians are responsible for ensuring that the QA status is reflected in the descriptive information about the series on the RIDS so that compliance will be facilitated.

#### Resource Conservation and Recovery Act (RCRA) Records

Enacted in 1976, The Act established a national policy to reduce or eliminate hazardous waste and conduct treatment, storage, or disposal to minimize its threat. RCRA address three programs – solid waste, hazardous waste, and underground storage tanks. Detailed permits must be obtained from the EPA to describe how regulatory standards will be met for actions taken for the treatment, storage, and disposal of hazardous waste.

The public participation requirements allow the permitting agency to require a permit applicant to set up an information repository at any time after submittal of the permit application and during the life of the permit. The repository will hold all information and documents that the permitting agency decides are necessary to adequately inform and educate the public.

#### Scientific and Technical Information

Scientific and Technical Information (STI) is information in any format or medium that is derived from scientific and technical studies, work, or investigations that relate to research, development, demonstration, and other specialized areas such as environmental and health protection and waste management. STI originates primarily from research and other activities performed by DOE employees or contractors in the course of management, operation, or integration of DOE-owned/leased facilities and direct DOE-executed prime procurements.

Scientific and technical information may be unclassified, unclassified sensitive, classified, or declassified. Before an STI product is released for availability, it is marked with any appropriate notices, restrictive legends, and distribution statements. Selection of the necessary markings is based on the DOE or contractor review of the STI, as described in DOE G 241.1-1.

The Office of Scientific and Technical Information (OSTI) is the DOE office charged with the responsibility of coordinating the Department’s Scientific and Technical Information Program (STIP) activities. The objective of the STIP is to ensure that STI is identified, processed, disseminated, and preserved in a manner that enables the scientific community and the public to locate and use the unclassified and unlimited STI resulting from DOE’s research and related endeavors.

Organizations must make available to OSTI useful STI products (including scientific and technical computer software) resulting from scientific and technical endeavors. This requirement includes STI funded by DOE or developed under work for others and cooperative

agreements (unless specifically excluded in the agreement under which the work is done), whether unclassified, sensitive, or classified. OSTI is interested in receiving R&D reports, conference papers/proceedings and preprints of journal article submissions. COs are directed to ensure that technical information deliverables are received by the Department prior to closing the award.

In the performance of contracted obligations, each contractor is required to manage STI created or obtained under the contract as a direct and integral part of the work and to ensure its broad availability to all customer segments. In addition, the type, frequency, and content of scientific and technical reports to be produced under each procurement action are stipulated in the respective contract checklists, and should be transmitted to DOE in electronic format that complies with the requirements of DOE G 241.1-1 and DOE Form 241.1.

Completion of DOE F 241.1 is required for each STI product transmitted to OSTI. OSTI will accept an electronic DOE F 241.1 and a paper copy of any STI product/document not previously sent to OSTI. Additional guidance for processing STI products is available from OSTI's Home Page and DOE Energy Link referenced in Appendix F.

#### Unclassified Controlled Nuclear Information (UCNI)

Dissemination of Unclassified Controlled Nuclear Information (UCNI) is prohibited under Section 148 of the *Atomic Energy Act of 1954*, as amended. UCNI is identified and controlled as directed in DOE Order 471.1, *Identification and Protection of Unclassified Controlled Nuclear Information*, and in Title 10, Code of Federal Regulations, Part 1017, *Identification and Protection of Unclassified Controlled Nuclear Information*. Products containing information designated as UCNI shall clearly display the markings prescribed in DOE Order 471.1, *Identification and Protection of Unclassified Controlled Nuclear Information*.

#### Unscheduled Records

Unscheduled records are records series or systems of an organization that are not identified in a NARA-approved records schedule or site-specific schedule and for which an approved disposition schedule does not meet the individual requirements of a records series or system.

The requesting organization is responsible for completing a DOE F 243.1, U.S. Department of Energy Records Schedule Worksheet and a SF 115, Request for Records Disposition Authority, and recommending the appropriate disposition authority. If more than one organization maintains the same type of unscheduled record(s), an appropriate retention must be developed that meets the needs of all the organizations involved.

The completed DOE F 243.1 and SF 115 form should be coordinated for submittal to the DOE-OH Records Manager through the designated Records Coordinator. Upon review and approval, the DOE-OH Records Manager will forward the request to DOE-HQ for further review and submittal to NARA.

Unscheduled records will be identified on a RIDS as *unscheduled* and properly maintained until disposition approval has been obtained.

#### Vital Records

Vital records are records essential to the continued functioning or reconstitution of an organization under national security emergencies or during and after an emergency or disaster conditions (emergency operating records), or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records).

Emergency Operating Records and Legal and Financial Rights Records are collectively referred to as *vital records*. The types of vital records are explained below:

#### *Emergency Operating Records*

Emergency operating records are the type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical operations, as well as related policy or procedural records that assist staff in conducting operations under emergency conditions and for resuming normal operations after an emergency.

#### *Legal and Financial Rights Records*

Legal and financial rights records are that type of vital records essential to protect the legal and financial rights of the government and of the individuals directly affected by its activities. These records include accounts receivable records and social security records. Other records include, payroll, leave, retirement, and insurance; records of significant amounts of money owed to the Department or to contractors and, if needed, supporting records such as periodic summaries of financial status; and valuable research records.

Managers are responsible for ensuring vital records within their area of responsibility are identified. Records custodians are responsible for ensuring that the *Vital Records* status is reflected in the descriptive information about the series on the RIDS so that compliance will be facilitated.

Vital records must be available as needed at or in the vicinity of Emergency Operations Centers (EOCs). Additional records included are: General Management Records, Lists of Key Personnel, Emergency Mission Records, and Industrial Records.

Records schedules approved by NARA govern the disposition of original vital records. Original records that are not scheduled may not be destroyed or deleted. For further information on administering the Vital Records Program, refer to 36 CFR 1236, Management of Vital Records.

#### X-ray Records

During the course of operations at DOE-OH Project Sites, Medical X-rays were taken and developed on-site by medical staff as part of required employee physicals. Commercially available acetate and polyester films of various types were used, including film that has proven to be dimensionally unstable. As the film ages, it deteriorates emitting a vinegary odor derived from vapors of acetic acid. Once deterioration begins, the chemical process becomes autocatalytic. As the base shrinks, the emulsions start to separate from the base in the form of cracks and channels, and the film becomes brittle and eventually shrivels or buckles beyond use.

Currently available data indicates storage conditions significantly influence rates of deterioration. While the film base does play a role with respect to the useful life of X-ray film, good storage conditions can prolong a film's life. Storage recommendations for *acetate* film include placing the film in conditions with temperatures from 35° to 55°F and 50% Relative Humidity. These conditions exceed the requirements for long-term storage of *polyester* film, and thus may be used for the long-term storage of *polyester* film as well. Action is not required to manage the acetate and polyester film separately from each other, since an individual's X-ray file may contain both acetate and polyester film.

Caution should be exercised when handling X-ray film, since older X-ray films become embrittled and break easily. Physical handling of X-ray film is extremely detrimental, and should be done using cotton lint-free gloves. Storage for long-term retention of acetate and polyester film should include storing film in individual lignin-free, buffered paper envelopes, or use of enclosures specified in ANSI standards IT9.2 and IT9.16. In addition, films should be placed in heavy-duty cartons marked "X-ray Files - Store Vertically."

Because of the epidemiological value of the records and the relationship of the collection to the pre-medical and post-medical examination conditions of current and past employees, it is important to implement controls to preserve the collection until the end of its scheduled life. Presently at the Fernald Project Site, approximately 240,000 X-rays, active and inactive, are stored on site and in the local FRC. Presently at the Miamisburg Project Site, approximately 110,500 X-rays, active and inactive, are being stored on site.

The ft<sup>3</sup> volumes of X-rays being stored at DOE-OH Projects are of sufficient quantities that acetate film in poor condition will emit obnoxious gases, primarily vapors of acetic acid, that may be harmful to persons when ingested or inhaled. Ventilation or air exchange is needed for acetate films unless the films are stored below freezing where chemical activity and aging is slowed.

X-ray films must be scheduled for disposition and are frequently scheduled for very long retention periods, often as long as 75 years, though rarely appraised as permanent records. Unidentified X-ray films and those in advanced stages of decomposition that can neither be interpreted nor copied should be identified through third-party independent review and recommended to the DOE-OH Records Manager for destruction. Since acetate in advanced stages of decomposition can damage nearby records in good condition, these records may be approved for destruction and subsequently reported to the Archivist of the United States. (36 CFR 1228.92(b))

DOE-OH Project Site Contractors should establish a plan of action to ensure that compliance with the recommended storage and environmental conditions are achieved for all X-ray film in their custody, and communicate the plan of action with the DOE-OH Records Manager. Incorporation of DOE-HQ guidance on the proper storage and handling of x-rays, reference DOE-HQ Memorandum RM 93-2, Proper Storage and Handling of X-rays and Audio/Visual Records, should be included. DOE-OH will work with DOE-HQ and NARA to locate a facility with adequate storage space and environmental controls to accommodate the long-term storage of the collection. Where it is economically feasible, Contractor organizations should endeavor to recover the silver content from disposable film (41 CFR 101-45.10).

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## Electronic Records

An electronic record is any information that is stored in a form that only a computer can read or process and that satisfies the definition of a federal record. Electronic records include numeric, graphic, and text information, which may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. This includes, but is not limited to, magnetic media, such as tapes and disks, and optical disks. Unless otherwise noted, these requirements apply to all electronic information systems, whether on microcomputers, minicomputers, or main-frame computers, regardless of storage media, in network or stand-alone configurations.

Creation of electronic records is dependent on the software application, hardware, operating system, media, and file formats that make up the computer system in use. The methods used to create the records and the documentation of the system that created the record is critical to ensure the ability to retrieve, read, and use the records in the future.

The types of common electronic records are:

- Electronic Systems
- E-mail Messages
- Electronic Indexes/Databases

Each individual on a computer network or a stand-alone computer who exercises control over electronic messages and documents must assess these items for record status and take appropriate action to ensure that the electronic documents that are records are properly maintained.

Electronic records serve the same functions as paper records and must be evaluated for the appropriate retention requirements. Electronic records, like paper records, must be inventoried, identified on a RIDS and scheduled for disposition in accordance with DOE and NARA requirements.

Inventoried electronic records involves distinguishing records from nonrecords and gathering information about the system's records and documentation of the system. During the inventory process, records are evaluated for disposition by determining their use and analyzing their values. A records value is based on understanding why the record was created, the media the record was created on, the arrangement of the filing system of the records, and any special characteristic of the record.

In order to assure the long-term viability of electronic records created by computer software, the computer system documentation will need to be available to anyone that might need to read or recreate the record. In addition, imaging systems that use optical disk media for records storage and contain permanent records accessioning into NARA should conform to NARA standards for data portability. NARA standards are accessible at the NARA web page at Appendix F.

All electronic and e-mail records of departing employees must be collected along with their paper files. These records should be collected and retained in electronic formats, if possible. A partnership between the designated Records Coordinator, Records Custodian, information technology staff, and the departing employee's manager will ensure that federal records are retained and appropriately scheduled for disposition.

Capture and storage of these records may be accomplished using one of the following options (in order of preference). The actual method chosen depends on the computer hardware and software configurations available:

- Stored on the Project Site's LAN in a separate directory
- Copied to portable media (CDs or Diskette)
- Printed and filed as paper records

The software necessary to read these records must also be retained if it is not a commonly available program at the Project Site.

The designated Records Coordinator and Records Custodian should review these records with the originator to remove duplicates and files that are not records from the collection. It is not usually necessary to retain both a paper copy of a record as well as an electronic copy as long as the identifying information such as date and distribution information is available on the paper copy.

The following tips are provided for management of electronic records:

- Use the same filing structure and naming convention for the electronic files as that used for paper files
- When storing records on diskettes or tapes, store logically related records with like retention periods together

## **Self Assessments**

Project Offices and Contractor organizations should conduct internal reviews at least every 3 years to evaluate their records management activities for compliance with relevant laws and regulations, the requirements identified in this guidance document, and for effectiveness.

Recordkeeping practices should be reviewed as they relate to records creation, maintenance and use of records, and records disposition. These evaluations should include periodic monitoring of staff determinations of the record status of documentary materials, including electronic records, and implementation of these decisions. These evaluations will determine compliance with NARA regulations and assess the effectiveness of the organization's records management activities.

The results of the self assessment should be reported to the DOE-OH Records Manager.

Guidance for the conduct of internal reviews is available from NARA, and includes *Records Management Self-Evaluation Guide*, and *Checklist for Evaluating Recordkeeping Practices in Your Office*.

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## Training

Proper training and instruction to ensure compliance with implementing regulations for Records Management is essential to a cost-effective program that seeks to promote economy and efficiency.

Training is also required to achieve the purpose of DOE-OH Records Management, which is to provide for adequate and proper documentation of the policies and transactions of the DOE-OH, and to ensure effective and economic management of DOE-OH records activities.

Records training should address awareness and understanding of records maintenance and disposition requirements, as well as the elements of an effective records management program as a whole. Specialized training in records management may include instruction on records creation and use, filing systems, storage and retrieval, records appraisal, retention, protection, disposition, equipment, supplies, and technology.

A Records Management Awareness Program should be implemented at each DOE-OH Project Site to provide all DOE and Contractor personnel with a common understanding of their responsibility for proper maintenance and disposition of federal records.

DOE-OH Project and Contractor organization managers should ensure designated Records Coordinators and Records Custodians receive records management training and communicate to all employees specific recordkeeping requirements associated with the work performed.

Specific Records Management training is provided by NARA through regional FRCs and includes:

- Advanced Records Operations
- Basic Records Operations: Files Improvement and Records Disposition
- Disaster Preparedness and Response for Records Managers
- Electronic Records Issues
- Federal Records Management: Principles and Practices
- Information Technology Management
- Records Transfer and Reference Services
- Risk Management and Benefit/Cost Analysis for Records Managers
- Scheduling Records

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## Post-Closure

It is the intent of DOE-OH that as project sites complete clean-up activities all records will be inventoried, identified and dispositioned to off-site storage facilities in concert with site closure. DOE-OH will not inherit any abandoned records from the project site contractors.

Project site contractors are contractually responsible for the proper maintenance and disposition of federal records in their custody. It is the responsibility of project site contractors to ensure that all federal records in their custody are properly indexed, inventoried, transferred to appropriate storage facilities, and possess a disposition schedule so that a smooth transfer of custodial responsibility of project site federal records to DOE-OH can occur at or near closure of the project site.

Many of the records series pertaining to site cleanup prescribe lengthy retention periods beyond the closure of project sites and DOE-OH. While the physical records will likely reside at FRCs until the records have met their designated retention periods, ownership of the holdings will transfer from DOE-OH to another DOE organization to be designated by DOE-HQ. DOE-OH will continue to work with DOE-HQ and related DOE Program Offices to fully resolve post-closure responsibilities within DOE.

Further, management plans for post-closure must include determinations needed on the extent of access and controls needed for records such as long-term stewardship, health effects analysis, and lawsuits. Clear and effective mechanisms for identification, access controls, and storage are necessary to ensure that information is available to meet the future needs of DOE and its stakeholders.

DOE-OH and contractor personnel, including records management personnel, are participating in planning activities coordinated by DOE-HQ to address the challenging and complex issues of records management as a facet of post-closure stewardship. This guide will be revised to include these determinations as management and planning guidance is developed.

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## **Appendix A**

### **10 Commandments of Records Management**

Records management responsibilities, as defined in statutes, regulations, and Agency policy, can be distilled down to the following ten tasks. All managers and personnel involved in recordkeeping activities must:

1. Identify the functions and activities for which each program is responsible and determine what records are needed to document those activities and functions.
2. Create sufficient records to document those activities and functions.
3. Maintain those records in a way that allows all persons who need access to find and retrieve what they need.
4. Remove or destroy records only with authorization; do not retain records authorized for destruction.
5. Keep records separate from non-record material.
6. Make someone responsible for the records program.
7. Transfer records to approved storage facilities as required.
8. Protect vital records appropriate to their value.
9. Protect records that contain security classified, confidential business, or other types of sensitive information with appropriate safeguards.
10. Do all of this in a manner that is as cost effective as possible.

The purpose of the 10 commandments is to focus on what is really important and to simplify the message. Records management is an important management concept. It can be distilled down to a few basic ideas, but like any other resources management, there is regular repetitive work that has to be done, just as regular property inventories, regular employee evaluations, and regular financial accounting is needed.

Good records management practices will:

- Reduce paperwork duplication
- Provide access to information
- Safeguard privacy act information and classified records
- Protect the legal and financial rights of DOE and the persons affected by its actions
- Ensure a responsive and responsible government
- Preserve historical accomplishments
- Save resources, such as space, money and time

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## Appendix B References

National Archives and Records Administration - 44 United States Code (U.S.C.) Chapter 21  
<http://www.nara.gov/nara/nara.html>

Records Management by the Archivist of the United States and by the Administrator of General Services - 44 U.S.C. Chapter 29  
<http://www.nara.gov/nara/recmgmt.html>

Federal Records Act - 44 U.S.C. Chapter 31 - Records Management by Federal Agencies  
<http://www.nara.gov/nara/fedag.html>

Disposal of Records - 44 U.S.C. Chapter 33  
<http://www.nara.gov/nara/disrec.html>

Criminal Penalties, 18 U.S.C. Chapter 101, Records and Reports, § 2071  
<http://uscode.house.gov/usc.htm>

Coordination of Federal Information Policy - 44 U.S.C. Chapter 35  
<http://www.nara.gov/nara/infopol.html>

Paperwork Reduction Act - 44 U.S.C. Chapter 3501 to 3520  
<http://www.law.cornell.edu/uscode/44/ch35.html>

Information Technology Management Reform Act (ITMRA) - Clinger-Cohen Act, February 10, 1996, 40 U.S.C. § § 1401 to 1503  
[http://www.cio.gov/docs/s1124\\_en.htm](http://www.cio.gov/docs/s1124_en.htm)

The Freedom of Information Act - § 552. Public information; agency rules, opinions, orders, records, and proceedings - As Amended By Public Law No. 104-231, 110 Stat. 2422  
<http://www.nara.gov/nara/foia.html>

The Privacy Act - § 552a. Records maintained on individuals  
<http://www.nara.gov/nara/privact.html>

Office of Management and Budget (OMB) Circular No. A-123 - Management Accountability and Control  
<http://www2.whitehouse.gov/omb/circulars/a123/a123.html>

OMB Circular No. A-130 - Management of Federal Information Resources  
<http://www2.whitehouse.gov/omb/circulars/a130/a130.html>

36 Code of Federal Regulations (CFR), Chapter XII, Subchapter B National Archives and Records Administration  
<http://www.access.gpo.gov/nara/cfr>

41 CFR, Chapter 201, Subchapter A, General, and Subchapter B, Management and Use of Information and Records  
<http://www.access.gpo.gov/nara/cfr>

DOE Order 151.1, Emergency Management Program

DOE Order 200.1, Information Management Program

DOE Order 241.1A, Scientific and Technical Information Management

DOE O 243.X (draft), Records Management Program

DOE Order 414.1A, Quality Assurance

DOE Order 471.1, Identification and Protection of Unclassified Controlled Nuclear Information

DOE Order 471.2, Information Security Program

DOE Guide 241.1-1, Guide to the Management of Scientific and Technical Information

DOE Guide 1324.5B, Records Maintenance and Disposition, Implementation Guide for use with 36 CFR Chapter XII - Subchapter B Records Management.

DOE Manual 471.2-1, Manual for Classified Matter Protection & Control

ASME NQA-1-1989, Quality Assurance Program Requirements for Nuclear Facilities

Managing Electronic Records - National Archives and Records Administration - An Instructional Guide

Electronic Records Management Guide – US Department of Energy – December 6, 1996  
<http://cio.doe.gov/Records/poliguide.htm>

DOE Administrative Records Schedule  
<http://cio.doe.gov/Records/disschedule.htm>

DOE Environmental Records Schedule  
<http://cio.doe.gov/Records/disschedule.htm>

DOE-HQ Memorandum RM 93-2, Proper Storage and Handling of X-rays and Audio/Visual Records  
<http://cio.doe.gov/Records/poliguide.htm>

DOE-HQ Memorandum RM 96-30, Records Management Guidance for Downsizing and Terminating Programs  
<http://cio.doe.gov/Records/poliguide.htm>

DOE-HQ Records Management Strategic and Tactical Plan  
<http://cio.doe.gov/Records/stratplan.htm>

## Appendix C Definitions

- 1) Abandoned Records - Records for which a program custodian or custodial organization responsible for their management and disposition can no longer be identified.
- 2) Active Records - Records needed to conduct the current business of an organization and which are generally maintained in office space and equipment. Generally speaking, records that are referenced more than once a month.
- 3) Adequacy of Documentation - A record of the conduct of the U.S. Government that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities.
- 4) Administrative Record – A file, kept and maintained at or near the site, containing all information used to select a CERCLA response action.

Administrative Records also describe those records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures, and communications; the expenditure of funds, including budget records; day-to-day administration of office personnel including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. They may also include copies of internal activity and workload reports (including work progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as unique documentation of the programs of the office.

- 5) Administrative Value - The usefulness of records in conducting an agency's current business. Includes fiscal value and legal value, which are analyzed separately when records are evaluated for disposition.
- 6) Appraisal - The process by which the National Archives and Records Administration (NARA) determines the value and thus the final disposition of federal records, making them either temporary or permanent.
- 7) Archives - The non-current records of an organization, preserved because of their continuing value. They are typically stored in a low cost storage facility such as a federal records center.
- 8) Audiovisual Records - Records in pictorial or aural form that include still and motion pictures, graphic materials, sound and video recordings, and combinations of media, such as slide-tape productions and meet the definition of a federal record.
- 9) Authentication - The act of attesting that the information contained in a record is legible, complete, and an accurate representation of work performed.
- 10) Backup - A copy of a computer file to be used if the original is lost, damaged, or destroyed.

- 11) Case Files - Records, regardless of media, which document a specific action, event, person, place, project, or other matter. Some examples of types of case files are personnel, project, litigation or transaction files.
- 12) Contractor Records – Those records which are not identified as federal records (such as company proprietary information, records unrelated to the work performed under DOE Contract and other similar records) and thus belong to the Contractor. Contractor records are normally explicitly defined in the contract.
- 13) Copy - A reproduction of an original document. Copies may serve the following functions: information, action, reference, official file or record, chronological, suspense or stock. In electronic records, the result or action of reading electronic data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source.
- 14) Cutoff - The ending of 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.
- 15) Database - In electronic records, a set of data, consisting of at least one file or a group of files, usually stored in one location and which may be made available to several users at the same time for various applications.
- 16) Data File - An organized collection of related data, usually arranged in logical records that are stored together and treated as a unit; related numeric, textual, or graphic information that is organized in a strictly prescribed form and format.
- 17) Discoverable - Recorded information that may be obtained by litigation opponent(s).
- 18) Disposition - The actions taken regarding records no longer needed in current office space to conduct regular, current business of the agency. 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. (Also see Title 44 U.S.C. 2901(5))
- 19) Disposition Authority - Legal approval empowering an agency to transfer permanent records to NARA or carry out the disposal of temporary records. Disposition authority must be obtained from NARA and for certain records from GAO.
- 20) Disposition Instructions - Directions for cutting off records and carrying out their disposition in accordance with NARA's regulations. Also, directions for screening nonrecord materials and carrying out their disposal when no longer needed by the agency.
- 21) Documentary materials - A collective term for records and nonrecord materials that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of recording (36 CFR 1220.14).
- 22) Electronic Records - Any information that is stored in a form that only a computer can read or process and that satisfies the definition of a federal record. Electronic records include numeric, graphic, and text information, which may be recorded on any medium capable of being read by a computer and which satisfy the definition of a record. This includes, but is not limited

to, magnetic media, such as tapes and disks, and optical disks. Unless otherwise noted, these requirements apply to all electronic information systems, whether on microcomputers, minicomputers, or mainframe computers, regardless of storage media, in network or stand-alone configurations (36 CFR 1234.1).

23) Electronic information system - a system that contains and provides access to computerized federal records and other information (36 CFR 1234.2).

24) E-mail Record - A message sent or received via an electronic mail system with its transmission/receipt data and attachments that meets the criteria of a federal record.

25) Emergency Operating Records - Records considered to be vital to the essential functions of the federal government for the duration of an emergency resulting from an industrial accident, natural disaster, attack on the country, terrorism, or employee sabotage. Emergency Operating records include: records necessary for military effort; the mobilization and protection of material and manpower resources, of service, and systems; the maintenance of public health, safety, and order and conduct of essential civil defense activities; general management records, key personnel lists; emergency mission records; and industrial records. (See Vital Records.)

26) Epidemiological Records (EPI) - Those records that provide information about safety management, medical and health, operational records for health units, fire units, biological laboratories, individual case files of employees exposed to hazardous or toxic substances or radioactivity, and records of DOE-controlled activities reflecting the protection provided to employees, the public, property, and the environment during the conduct of an activity. EPI records also document information about people who worked at a DOE or contractor site, when they worked there and what they did, what health hazards they were exposed to, and what kinds of health problems they may have had during or after their employment. Also, they may document site administrative organization and management, environmental and area hazard monitoring, process and material controls, health and safety procedures, work assignments, procedures, conditions, and locations, and structural design and location. (See Health-Related Records.)

27) Federal agency - Defined in 44 U.S.C. 2901(14), as any "executive agency or any establishment in the legislative or judicial branch of the government (except the Supreme Court, the Senate, the House of Representatives, and the Architect of the Capitol and any activities under the direction of the Architect of the Capitol)."

28) Federal records - Defined in 44 U.S.C. 3301 as "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. Library or museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included."

29) File - An arrangement of records. The term is used to denote papers, photographs, photographic copies, maps, machine-readable information, or other recorded information

regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or machine-readable media, or on shelves, and occupying office or storage space.

30) File Classification System - A comprehensive outline of filing subjects with a series of alpha and/or numeric characters assigned to records to identify the record's subject classification in a concise manner. Also called a file code system.

31) File Plan – A plan identifying the specific types of records maintained, the organizational element(s) having custodial responsibility, series description and disposition authority.

32) File Series – A group of identical or related records that are normally used and filed as a unit and that permit evaluation as a unit for retention scheduling purposes. The categories or classes of files that may include case files, case working files, correspondence, reading, transitory, convenience, and technical reference files, as well as vital records and other special records. Filing series are usually a subset of a major filing group. (See Series)

33) File Station - An organizational unit where records are maintained for current use.

34) Filing System – A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition; sometimes called recordkeeping system.

35) Final Disposition - The end of the records life cycle in which temporary records are disposed of and permanent records are transferred to NARA.

36) Health-Related Records - Records that contain information useful in determining the magnitude of exposures or health-impacts (radiological or chemical) to workers or the public. This information can be related to the equipment, materials, and process used on site; and includes measurements of contaminants in the workplace, at release points, or the environment; work and medical histories of workers; and meteorological and other information helpful in determining the fate of contaminants released into the environment. (See Epidemiological Records.)

37) Inactive Record - Records referenced less than once a month, no longer needed to conduct current business, and ready for disposition.

38) Information System - A discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures.

39) Inventory - A descriptive listing of each record and nonrecord series or system by title, together with an indication of location, inclusive dates, and other pertinent data. A survey of agency records and nonrecord materials conducted primarily to develop records schedules, and also to identify various records management problems.

40) Media - The physical forms of recorded information. This includes paper, film, computer disks, computer tapes, and any other materials on which information can be recorded.

41) Metadata - Data describing stored data; that is, data describing the structure, data elements, interrelationships, and other characteristics of electronic records; record profile data.

42) Nonrecord - Federally owned informational materials that do not meet the statutory definition of "records" or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

43) Permanent Record - Any federal record determined by NARA to have sufficient value to warrant its preservation in the National Archives. Permanent records include all records accessioned by NARA's Office of the National Archives and later increments of the same records, and those for which the disposition is permanent on Standard Form 115, *Request for Records Disposition Authority*, approved by NARA on or after May 14, 1973 (36 CFR 1220.14).

44) Personal files - Those documentary materials maintained in federal offices that belong to an individual because they relate solely to an individual's own affairs or are used exclusively for that individual's convenience and were not used in the transaction of government business.

45) Record - 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. (44 U.S.C. 3301) The office maintaining the record has the responsibility of obtaining the NARA approval for records disposition and maintaining the record for the specified retention period.

46) Recordkeeping - The act or process of managing records from their creation, or receipt, through their processing, distribution, organization, storage, and retrieval to their ultimate disposition.

47) Records Management Program - The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the federal government and effective and economical management of agency operations.

48) Records Coordinator – The individual responsible for ensuring an organization's records are inventoried, scheduled for disposition and identified on a RIDS.

49) Records Custodian - The individual responsible for the establishment, maintenance, and operation of file stations within their organizational units. Also referred to as "recordkeeper."

50) Records Inventory and Disposition Schedule (RIDS) – A form used to inventory records and nonrecord material on which to indicate the appropriate authorized disposition instructions.

51) Records Schedule - A document that provides mandatory instructions for what to do with records (and nonrecord material) that is no longer needed for government business. A NARA-approved document providing authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records control schedule, and records retention schedule.

52) Scientific and Technical Information (STI) - Information in any format or medium that is derived from scientific and technical studies, work, or investigations that relate to research, development, demonstration, and other specialized areas such as environmental and health protection and waste management. Scientific and technical information may be unclassified, unclassified sensitive, classified, or declassified

53) Series - File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use; also called a records series. Generally handled as a unit for disposition purposes. (36 CFR 1220.14) (See File Series)

54) Temporary Record - Records that have NARA-approved retention schedules for disposal, either immediately after a specific period of time or after an event. The time range may range from a few days or months to longer periods, such as 20, 40, or even 100 years. Approximately 95 percent of all federal records are temporary. Also called non-permanent records.

55) Unscheduled Records - Records for which final disposition has not been approved by NARA.

56) Vital Records – Records essential to the continued functioning or reconstitution of an organization under national security emergencies or during and after an emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records). Sometimes called essential records. Vital records considerations are part of the DOE's emergency management program.

57) Working Files – Documents or files retained by individual employees used to perform the duties and responsibilities for which they were hired. Working Files may include personal papers, drafts, suspense files, job control files, and extra copies of documents. Working files may be records based on their value and therefore, should be properly maintained in a structured filing system and identified in an organization's records inventory to ensure the Working Files are scheduled for appropriate disposition.

## **Appendix D Forms List**

DOE Form 243.1 (DOE F 243.1), U.S. Department of Energy Records Schedule Worksheet  
<http://cio.doe.gov/Records/disschedule.htm>

DOE F 241.1, Announcement of Department of Energy (DOE) Scientific and Technical Information  
<http://www.explorer.doe.gov:1776/htmls/0000.html>

DOE F 1324.10, Records Inventory and Disposition Schedule (RIDS)  
<http://www.explorer.doe.gov:1776/htmls/0000.html>

Standard Form 115 (SF115), Request for Records Disposition Authority.  
<http://cio.doe.gov/Records/disschedule.htm>

SF 135, Records Transmittal and Receipt  
<http://fillform.gsa.gov/>

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**Appendix E  
Acronyms**

AEMP	Ashtabula Environmental Management Project
CEMP	Columbus Environmental Management Project
CERCLA	Comprehensive Environmental Response, Compensation and Liability Act
CFR	Code of Federal Regulations
COR	Contractors Own Records
DEAR	Department of Energy Acquisition Regulation
DOE	Department of Energy
DOE-HQ	Department of Energy, Headquarters
DOE-OH	Department of Energy, Ohio Field Office
EOC	Emergency Operations Center
EPA	Environmental Protection Agency
EPI	Epidemiological
FEMP	Fernald Environmental Management Project
FOIA	Freedom of Information Act
FRC	Federal Records Center
GAO	Government Accounting Office
GSA	General Services Administration
MEMP	Miamisburg Environmental Management Project
NARA	National Archives and Records Administration
OMB	Office of Management and Budget
OS	Ohio Support Office
OSTI	Office of Scientific and Technical Information
PA	Privacy Act
QA	Quality Assurance

RCRA	Resource Conservation and Recovery Act
RIDS	Records Inventory and Disposition Schedule
RM	Records Manager
SF	Standard Form
STI	Scientific and Technical Information
UCNI	Unclassified Controlled Nuclear Information
USC	United States Code
WVDP	West Valley Demonstration Project

## Appendix F Access to Records Management Resources

<http://www.ohio.doe.gov/>

DOE Ohio Field Office

<http://cio.doe.gov/Records/index.htm>

DOE Records Management

<http://www.nara.gov/records/>

National Archives and Records  
Administration

<http://www.osti.gov>

Office of Scientific and Technical  
Information (OSTI)

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