

U.S. Department of Energy
Washington, D.C.

*Cancelled by
DOE 1324.5B
of 1-12-95*

ORDER 88

DOE 1324.2A

9-13-88

Change 1: 4-9-92

SUBJECT: RECORDS DISPOSITION

1. PURPOSE. To assign responsibilities and authorities and to prescribe policies, procedures, standards, and guidelines for the orderly disposition of records of the Department of Energy (DOE) and its management and operating contractors.
2. CANCELLATION. DOE 1324.2, RECORDS DISPOSITION, of 5-28-80.
3. SCOPE. The provisions of this Order apply to all Departmental Elements and contractors performing work for the Department as provided by law and/or contract and as implemented by the appropriate contracting officer.
4. APPLICABILITY. The provisions of this Order cover records of the Department and management and operating contractor records created and managed at the expense of the Department. For other contractors (see definition) the provisions cover records involving health and health related matters of their employees, who are/were involved in the performance of a contract with the Department.
5. REFERENCES. The references cited in DOE 1324.5, RECORDS MANAGEMENT PROGRAM, of 1-6-87, apply to this Order.
6. BACKGROUND. The introduction of technology and the rising costs of personnel, space, and equipment have made it necessary to review and revise the policies and procedures promulgated by DOE 1324.2, RECORDS DISPOSITION, of 5-28-80. This Order focuses on the procedures for disposition of records and attempts to provide a clear set of guidelines to assist Departmental and contractor managers for controlling and managing the records of the Department.
7. DEFINITIONS. Definitions are contained in Attachment 1.
8. POLICY.
 - a. Use of the General Records Schedules, published by the National Archives and Record Administration (NARA) is mandatory. Those schedules, along with internally generated, NARA approved schedules, will be used for disposition of Departmental records.
 - b. Managers are accountable for records management programs in their organizations.

Vertical line denotes change.

DISTRIBUTION:

All Departmental Elements

INITIATED BY:

Office of Information
Resources Management

c. Departmental Records shall be:

- (1) Created, maintained, and used in an effective, efficient and authorized manner; and
- (2) Routinely disposed of in accordance with procedures in this Order.

9. OBJECTIVES. The objectives of the Departmental records management program are to minimize the paperwork and recordkeeping burden in the Department and in the public sector; minimize the cost of records management activities; and, maximize the usefulness of Departmental records. Specific objectives pertaining to records disposition are to:

- a. Establish a system for inventorying, maintaining, and obtaining disposition authority for all Departmental records, including those created and maintained under contractual arrangements by managing and operating contractors and other contractors as specified in their contracts.
- b. Identify and plan for the preservation of records documenting the organization, functions, policies, decisions, procedures, and essential transactions, including records containing evidence or information necessary for the protection of the rights of the Government and individuals.
- c. Develop a planned approach to retire or transfer records no longer required for current activities to lower cost storage with a preference for use of Federal Records Centers over local records holding areas.
- d. Actively pursue the disposition of records on a regular basis including transfer to lower cost storage, or to the National Archives for permanent records, and timely destruction of records in accordance with authorized dispositions, and to consider the application of technologies such as microfilming in the reduction of records holdings.

10. RESPONSIBILITIES AND AUTHORITIES.

- a. Director of Administration and Human Resource Management (AD-1), through the Director of Information Resources Management (AD-20), as the designated "Single Agency Official" under the Paperwork Reduction Act of 1980, establishes and directs the Departmental records disposition program.
- b. Director of Information Resources Management through the Director of Information Resources Management Policy, Plans and Oversight (AD-24):
 - (1) Prescribes DOE-wide procedures for the implementation of the records disposition program.
 - (2) Provides staff guidance and assistance to the Office of Administrative Services (AD-60) and field elements in carrying out the records disposition program.

Vertical line denotes change

- (3) Reviews and coordinates recommendations for records retention standards.
- (4) Negotiates with the National Archives and Records Administration (NARA) and the General Accounting Office (GAO), as applicable, for approval of proposed disposition of records created by the Department and its M&O contractors under terms of their contracts.
- (5) Issues schedules to Headquarters and field elements.
- (6) Maintains liaison with other Federal agencies in connection with the scheduling, disposal, transfer, or preservation of records, exclusive of the liaison with Federal Records Centers in connection with the transfer, storage, retrieval, and disposal of records which is the responsibility of the Headquarters or field element records officer.

c. Director of Administrative Services (AD-60).

- (1) Prescribes procedures and directs the implementation of the records disposition program in Headquarters elements.
- (2) Provides staff guidance and assistance to Headquarters elements in their implementation of the records disposition program.
- (3) Maintains records holding area facilities for use by Headquarters elements.
- (4) Maintains liaison with the Washington National Records Center in connection with the transfer, storage, retrieval, and disposal of records of Headquarters elements.
- (5) Reviews and coordinates recommendations for new records retention standards, or changes to existing standards, originating in Headquarters elements. Submits such recommendations to the Office of Information Resources Management (IRM) (AD-20), Office of IRM Policy, Plans and Oversight (AD-24).
- (6) Submits consolidated DOE F 1324.6, "Report of Records Holdings" (Attachment 2) for Headquarters elements, through AD-20, to the Information Management Division (AD-242), Office of IRM Policy, Plans and Oversight, (AD-24), as required.
- (7) Submits HQ F 1324.8, "Records Transfer Form" (Attachment 3), to the Chief Historian (AD-35) for review, to assure that records of historical value have been scheduled for permanent retention.

d. Chief Historian (AD-35).

- (1) Determines that records of historic value have been scheduled for permanent retention in accordance with this Order by reviewing all Records Transfer Forms (HQ F 1324.8), and other forms used for transfer from office space to low-cost storage.

- (2) Recommends to the Director of Administration and Human Resource Management and field elements heads where necessary, records of historical value to be scheduled for permanent retention.
- (3) Accepts custody of records of historical value no longer requiring retention by the originating office, and services all requests for access to these records until they are offered to the National Archives.
- (4) Provides advice concerning appropriate disposition of personal papers, upon request.
- (5) Assists Headquarters and field elements in determining the historical value of records, upon request.

e. Heads of Headquarters Elements.

- (1) Designate a Records Officer in compliance with DOE 1324.5, RECORDS MANAGEMENT PROGRAM, of 1-6-87, page 5, paragraph 7b(3).
- (2) Prepare an annual records management plan providing for the following as a minimum:
 - (a) The inventory of records using DOE F 1324.10, "Records Inventory and Disposition Schedule," (Attachment 4); and
 - (b) The systematic disposition of records under their control and jurisdiction in accordance with approved disposition authorities.
- (3) Use low cost storage facilities for the storage of noncurrent records to the fullest extent practicable and compatible with security regulations, and Office of Administrative Services guidelines or agreement.
- (4) Assure that contractors, whose contracts are administered by Headquarters, comply with the policies, procedures, and standards prescribed in this Order and with provisions of their contracts.
- (5) Submit DOE F 1324.5, "Request for Records Disposition Authorization" (Attachment 5) to AD-1, Attention: Office of Administrative Services, to recommend new records retention standards, or changes to existing standards.
- (6) Review recommendations for new records retention standards, or changes to existing standards, upon request.
- (7) Submit the "Report of Records Holdings," DOE F 1324.6, to the Director of Administrative Services, as required.

f. Heads of Field Elements.

- (1) Designate a Records Officer in compliance with DOE 1324.5, RECORDS MANAGEMENT PROGRAM, of 1-6-87, page 5, paragraph 7b(3).
- (2) Prepare an annual records management plan providing for the following as a minimum:
 - (a) The inventory of records using DOE F 1324.10, "Records Inventory and Disposition Schedule," or an appropriate electronic form; and
 - (b) The systematic disposition of records under their control and jurisdiction in accordance with approved disposition authorities.
- (3) Utilize Federal Records Centers to the fullest extent practicable and compatible with security regulations.
- (4) Assure that M&O contractors and other subcontractors under their jurisdiction implement this program as required by the applicable records clause in their contracts.
- (5) Maintain local records holding areas where operationally necessary or economically feasible.
- (6) Submit DOE F 1324.5, "Request for Records Disposition Authorization" to AD-242, to recommend new records retention standards, or changes to existing standards.
- (7) Submit DOE F 1324.6, "Report of Records Holding," to AD-242, when requested.
- (8) Review recommended disposition for new records or changes thereto, submittal by other organizations, on request.
- (9) Send a copy of the form used to transfer records to records holding areas to AD-35 for review.

11. REQUIREMENTS AND PROCEDURES.

- a. The requirements and procedures for implementing this program are contained in the following Chapters of this Order:
 - (1) Chapter I, "Implementing Instructions";
 - (2) Chapter II, "Records Inventory and Disposition";
 - (3) Chapter III, "Appraisals";
 - (4) Chapter IV, "Transfer of Records"; and
 - (5) Chapter V, "Department of Energy Records Schedules (DOERS)."

- b. Records disposition authorities will be prescribed only in Orders in the standard subject classification of 1324. Orders outside this classification are to refer users to the appropriate Order in the 1324 series when discussing disposition of records.

BY ORDER OF THE SECRETARY OF ENERGY:



JOHN J. NETTLES, JR.
Director of Administration
and Human Resource Management

DEFINITIONS

1. ACCOUNTABLE OFFICERS ACCOUNTS. Specific documents prepared by accountable officers and required by the General Accounting Office (GAO) to be maintained for audit. Also known as site audit records.
2. APPRAISAL. The process of determining the value, and thus the disposition, of records based upon their administrative and other uses; their evidential, informational, or research value; their arrangement; and their relationship to other records.
3. AUTOMATIC DATA PROCESSING (ADP) RECORDS. See Machine-Readable Records.
4. CASE FILES. A folder or file series containing material relating to a specific action, event, person, place, project, or other subject. Sometimes referred to as a project file or a transaction file.
5. CLASSIFIED INFORMATION. Restricted Data, Formerly Restricted Data, and National Security Information as defined in DOE 5650.2A.
6. CONTRACTORS. Management and Operating (M&O) contractors (as described at 48 CFR subpart 17.6 and as designated by the Secretary) and other prime contractors and subcontractors provided that they are performing work, at least in part, on-site at a DOE-owned or -leased facility.
7. CORRESPONDENCE FILE. A collection of documents not possessing the uniform characteristics found in a filing series, arranged by subject and covering various types of transactions. Some of the component segments of a correspondence file may be a filing series, such as a folder of monthly activity reports or a subject file classification consisting of travel vouchers.
8. CURRENT FILES AREA. The office or laboratory space used for the maintenance of current records.
9. CURRENT FILES. Files referred to frequently in the conduct of current business and maintained in office space of the using organization.
10. DISPOSITION. An action taken to remove records from current files, including transfer to local records holding areas, to Federal Records Centers, to the National Archives for permanent retention, or for destruction.
11. ELECTRONIC RECORDS. Records created, stored, or transmitted using personal computers, word processors, and associated electronic office equipment.
12. FEDERAL RECORDS CENTER (FRC). A records storage facility operated by the National Archives and Records Administration for storage and servicing noncurrent records, see Chapter IV.
13. FILE CUTOFF. Termination of a file at periodic intervals to facilitate continuous disposal of the filing series in complete blocks, sometimes called "file break."

14. FILE ITEM. A single document or case file of a filing series such as an item of correspondence, a report, a completed form, a map, a drawing, or a bound volume. It may also be a case file such as a voucher with attached supporting papers or a personal history folder relating to an employee.
15. FILING SERIES. A series of identical or equivalent file items characterized by a consistent method of assembly and handling, a common arrangement of the component items, and uniform as to subject, type of information recorded, or kinds of transactions reflected. A filing series may also include related elements physically separated from it such as finding aids or bulky material.
16. GENERAL RECORDS SCHEDULES (GRS). Schedules issued by National Archives and Records Administration (NARA) that govern the mandatory disposition of specified recurring filing series common to several or all Federal agencies.
17. LOW-COST STORAGE. Facilities specially designed for storage of records. Includes records holding areas and Federal Records Centers.
18. MACHINE-READABLE RECORDS. Machine-readable records are records that require machine processing and decoding for conversion to human readable information. Examples of machine-readable records include magnetic tape, disc packs, floppy discs, tabulating cards, punched cards, paper tape, drums, and optical discs.
19. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). An independent Agency that succeeded National Archives Records Service (NARS). It is responsible for establishing policies and procedures for managing the records of the Federal Government. It exercises final authority for approving the disposition of Government records.
20. NONRECORD MATERIAL. Nonrecord material includes those classes of documentary or other material that may be disposed of without archival authority such as the following:
 - a. Library or museum material made or acquired for reference or exhibition purposes;
 - b. Extra copies of documents preserved only for convenience of reference on which no action is recorded or taken;
 - c. Stocks of publications or other processed documents that require no action and are not part of a case on which action is taken;
 - d. Routing slips and transmittal sheets adding no information to that contained in the transmitted material, i.e., concurrences, direction on how to proceed or implement; and
 - e. Papers of a private or nonofficial character that pertain to an individual's private affairs. (See Disposition of Federal records, Records Management Handbook, FSN 7610-01-055-8704).

21. PERMANENT RECORDS. Records that have been determined, by NARA, to have historical or other value warranting permanent preservation. Such determinations are reflected in the AUTHORIZED DISPOSITION columns of the GRS and DOE Records Schedules, as appropriate. Normally, permanent records are offered to NARA when they are 25 years old.
22. PERSONAL PAPERS. Papers of a private or nonofficial character which pertain only to an individual's personal affairs and are kept in the office of a DOE or contractor official. They must be clearly designated by the official as nonofficial and will at all times be filed separately from official records.
23. RECORD MATERIAL. Those classes of documentary materials which may be disposed of only after archival authority is obtained. The statutory definition of "records" (44 U.S.C. 3301) is "...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 the data in them." This definition applies to all Departmental records including those created, received, and maintained by contractors pursuant to their contracts. Virtually all recorded information in the custody of the Government (including information held by contractors which is considered by contract to be Government information) regardless of its media (hard copy, machine-readable, microfilm) is considered "Government records."
24. RECORDS HOLDING AREA. A local low-cost records storage facility, often staffed on a part-time basis, for the economical storage of noncurrent records pending their destruction or transfer to a Federal Records Center.
25. RECORDS INVENTORY AND DISPOSITION SCHEDULE (DOE F 1324.10). The Departmental form used to both inventory records and indicate the appropriate authorized disposition and other instructions regarding their disposition. Commonly referred to as "RIDS." This purpose and contents of the form may be placed in electronic media as long as all requirements of the form are met.
26. RECORDS MANAGEMENT. The planning, controlling, directing, organizing training, promoting and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition.
27. RECORDS SCHEDULES. These are the means by which the disposition standards for records are published. The General Records Schedules, issued by NARA, includes records relating to civilian personnel, fiscal functions, accounting, procurement, communications, printing, and common or housekeeping functions, and certain nontextual records. The Department of Energy Records Schedules, issued by the Department, pertain to unique records not covered by the GRS, for which the Department has obtained NARA approval for their disposition. It is estimated that the GRS covers about one third of the records of the Department. The Department is responsible for preparing and revising separate schedules for all the records the GRS does not cover.

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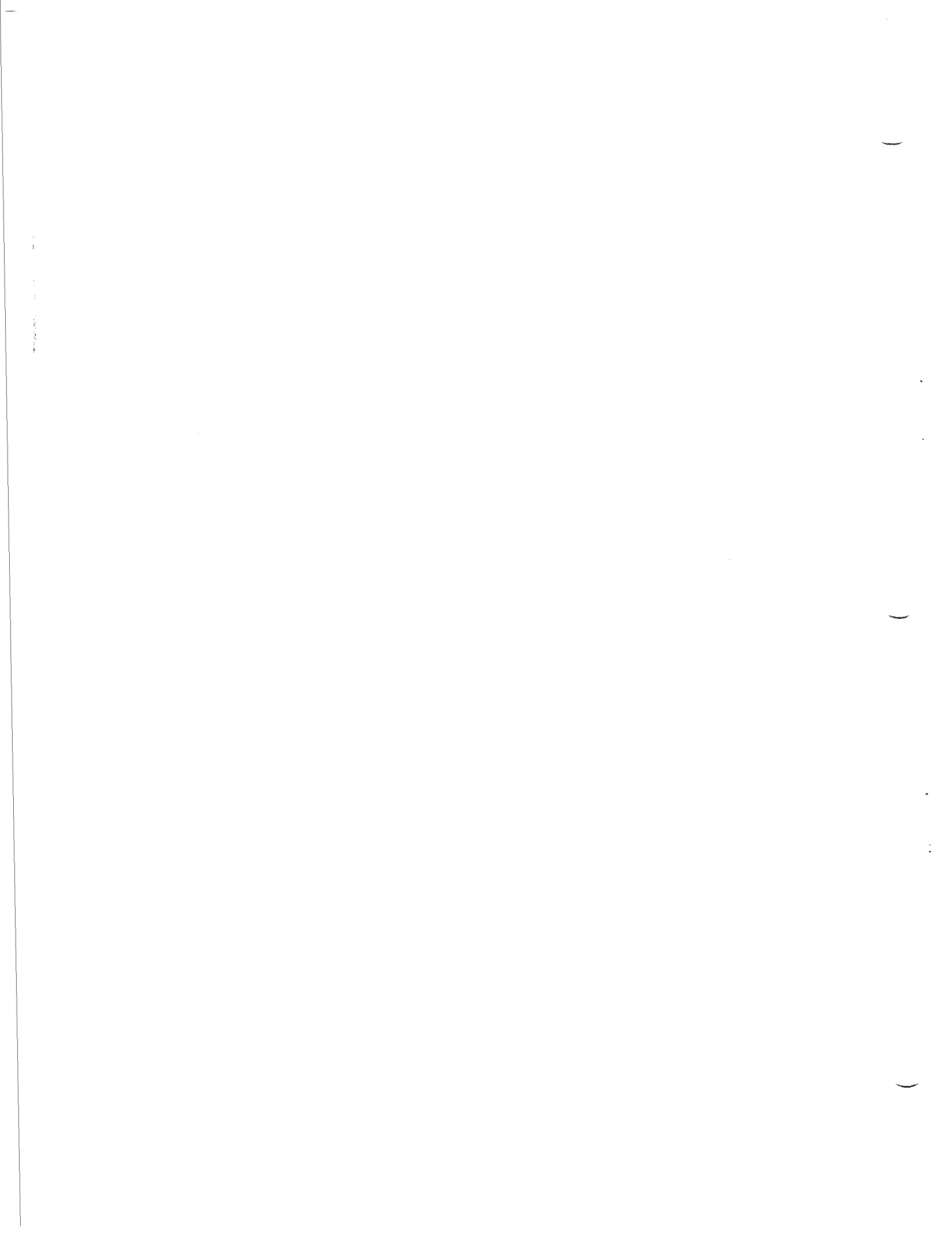
REPORT OF RECORDS HOLDINGS

DOE F 1324.2 (2-85)
(Replace edition of 11-83 when it becomes available.)

SEE INSTRUCTIONS ON REVERSE BEFORE COMPLETING FORM

<p align="center">U.S. DEPARTMENT OF ENERGY REPORT OF RECORDS HOLDINGS</p>		<p>APPROVED OMB NO. 1010-1120</p>		
		<p>1. REPORTING YEAR ENDING: FY-1986</p>		
<p>2. TO: Information Management Division AD-242 DOE/HQ: FORS</p>		<p>3. FROM (Organization reporting): DOE Field Office</p>		
<p>SUMMARY OF RECORDS HOLDINGS (Complete all items. Do not leave blanks.)</p>				
<p align="center">STATUS</p>		DOE	CONTRACTOR	TOTAL
<p>4. VOLUME OF RECORDS (CU. FT.) ON HAND, END OF REPORTING YEAR IN:</p>				
<p>(a) CURRENT FILE ROOMS, LABORATORIES AND OFFICES</p>		9,417	142,768	152,185
<p>(1) AUDIOVISUAL RECORDS INCLUDED IN 4(a) above</p>		8,117	142,768	150,881
<p>(b) STAGING, HOLDING AND OTHER TEMP. STORAGE AREAS</p>			60,906	60,906
<p>(1) AUDIOVISUAL RECORDS INCLUDED IN 4(b) above</p>				
<p>(c) TOTAL (Lines 4a + 4b)</p>				
<p>5. VOLUME OF RECORDS TRANSFERRED OUTSIDE REPORTING ORGANIZATION DURING THE REPORTING YEAR:</p>				
<p>(a) TO FEDERAL RECORDS AGENCIES</p>		404	426	826
<p>(b) OTHER (Describe the records and identify recipients in Remarks Section below)</p>		484	40-	484
<p>6. VOLUME OF RECORDS DESTROYED (CU. FT.):</p> <p>RECORDS DESTROYED IN OFFICES OR HOLDING AREAS UNDER AUTHORITY OF APPROVED RECORDS SCHEDULES</p>				
<p>7. CERTIFICATION:</p> <p>THE RECORDS HOLDINGS REPORTED ON THIS FORM ARE COVERED ADEQUATELY BY CURRENT AUTHORIZED DOE AND DOE-CONTRACTOR RECORDS SCHEDULES AS PROVIDED IN THE EFFECTIVE EDITION OF DOE ORDER 1324.2, RECORDS DISPOSITION.</p> <p><input checked="" type="checkbox"/> YES <input type="checkbox"/> NO (If "no", please attach explanation)</p>				
<p>8. ORGANIZATIONS SUPPORTED BY FIELD ELEMENT (See instructions on reverse. Attach additional sheets, if necessary.)</p> <p align="center">Martin Marietta Energy Systems Inc; Westinghouse Materials Co. of Ohio; Office of Scientific and Technical Information: ORAU; Rust Engineering Co.; Science Applications, Inc. and; RMI Company</p>				
<p>9. REMARKS (Indicate the reasons for significant increases/decreases in holdings; any plans for cleanout campaigns; information on transfers reported in Item 5(b) above; other significant records disposition matters. Attach additional sheets, if necessary.)</p> <p align="center">Martin Marietta carried out a very successful destruction effort.</p>				
<p>10. NAME OF RECORDS OFFICER OR OTHER PERSON WITH WHOM TO CONFER</p> <p align="center">John Doe</p>		<p>11. TITLE</p> <p align="center">Records Manager</p>	<p>12. PHONE NUMBER</p> <p align="center">ETS</p>	
<p>13. DATE PREPARED</p> <p align="center">10-7-86</p>	<p>14. NAME AND TITLE OF SIGNING OFFICIAL</p> <p align="center">MEC Record Records Manager</p>	<p>15. SIGNATURE</p> <p align="center">M.E.C. Record</p>		

Vertical line denotes change.



RECORDS TRANSFER

HO F 1324 B
(3-83)

U.S. DEPARTMENT OF ENERGY
RECORDS TRANSFER

- Send:
 - 1 Complete copies plus
 - 2 Copies of first page to:
Records Holding Area

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

DOE LOCATION (For Records Holding Area Use)	
DOE JOB NUMBER	
FRC LOCATION	FRC ACCESSION NUMBER

1. ORGANIZATION INITIATING TRANSFER (Division, Office, Branch, Section) Office of Information Resources Management, Office of IRM Policy, Plans & Oversight, Information Management Division		Date of Transfer
2. AUTHORIZING OFFICIAL (Signature) A. Green <i>A. Green</i>		(Title) Chief of Records
3. BRIEF DESCRIPTION OF RECORDS (Include Group or Series Title or Other Identification) Records involving management of DOE records		

(For Records Holding Area Use) BOX NO.	4 INVENTORY (Give complete information for each item listed)			5. DISPOSITION (In col. a, cite Disposition Authority)	
	FOLDER OR ITEM TITLE	Inclusive Dates or Records (Mo. Yr.)	CLASSIFICATION	a. DISPOSAL AUTHORITY	b. RETENTION PERIOD
	1324 RECORDS MANAGEMENT	10-85	UNCL.	GRS 16, 11	6 Years
	1324-A FILES MANAGEMENT	thru			
	1324-B MICROGRAPHICS MANAGEMENT	10-86			
	1324-C ELECTRONIC RECORDKEEPING				
	1324-C.1 PRE-COORDINATING COMMENTS ON ELECTRONIC RECORDS				
	1324-D VITAL RECORDERKEEPING				
	1324-E RECORDS DISPOSITION ORDER 1324.2A				

EXAMPLE

6. MAY THESE RECORDS BE DESTROYED AS SCHEDULED WITHOUT FURTHER DIVISION OR OFFICE CONCURRENCE? YES NO

DATE ELIGIBLE FOR RETIREMENT TO FRC	(FOR RECORDS HOLDING AREA USE) DATE TRANSFERRED TO FRC	CERTIFICATION The boxes listed under item 4 have been received in the Headquarters Records Holding Area.
DATE ELIGIBLE FOR DESTRUCTION	DATE DESTROYED	

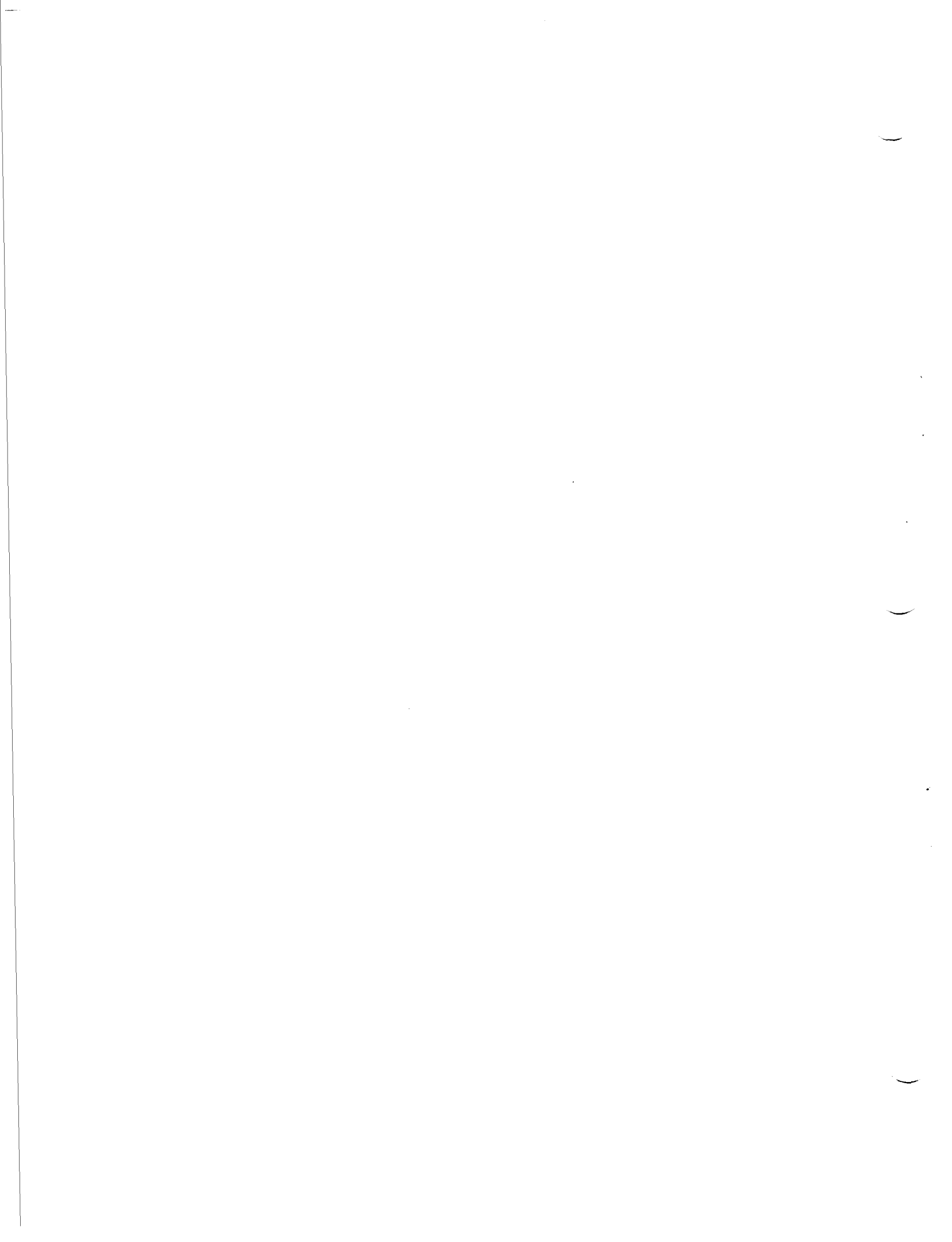
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RECORDS INVENTORY AND DISPOSITION SCHEDULE

DOE F 1324 10 (5-87)		RECORDS INVENTORY AND DISPOSITION SCHEDULE		OMB Control No 1810-1700	<input checked="" type="checkbox"/> DOE Contractor	1. Page <u>1</u> of <u>1</u>
2a. Organizational Unit (Creating or Custodial Unit) Error Control Division, Inspection Office, Assistant Secretary for Zero-Defects				2b. Routing Symbol AD-79	3. Date 8-26-87	
4. Signatures (of appropriate personnel)						
<u>I. M. Filer</u> Prepared by		<u>I. M. Doe</u> Records Liaison Officer		<u>9-7-87</u> Date		
<u>I. M. Reviewer</u> Approved By		<u>I. M. Wright</u> Records Officer Approval		<u>9-7-87</u> Date		
5. Item No.	6. Filing Series Title, Description, and Location of File, and Inclusive Dates	7. Disposition Authority	8. Authorized Disposition Instructions	9. Transfer Instructions		
1.	<u>Flexitime Attendance Records.</u> Supplemental time time and attendance records such as sign in / sign out sheets and work reports, used for time accounting under Flexitime supervisors. (Central file, current)	GRS-2,3,b	Destroy after GAO audit or when 3 years old, whichever is sooner.	Hold in current files 1 year then transfer to RHA.		
2.	<u>Travel Files.</u> Obligation copies of vouchers, transportation requests and records reimbursing individual travelers; i.e., travel orders, per diem vouchers, and receipts. Arranged by DOE Classification System. (Central files, current)	GRS-9,3.b	Until funds are obligated. Destroy in office.	EXAMPLE		
3.	<u>Reference Material.</u>					
	a. Pamphlets, reports, leaflets, file manuals, or other published or processed documents, relating to management projects. Reference material filed in bookcase. (Exclusive of official records.)	Nonrecord	Screen periodically. Destroy in office.			
	b. Files consist of journals, books, technical reports, studies, articles, special compilation of statistics, and data not part of the official file (Exclusive of master copies). Arranged on bookcase shelves.	Nonrecord	Screen periodically. Send journals and books to library. Destroy other material in office.			
4.	b. Analytical Logbooks recording analysis of samples in separation operations activities for quality control purposes.	DOE-2,9.b	Destroy when 3 years old.			



REQUEST FOR RECORDS DISPOSITION AUTHORIZATION

DOE F 1324.2 (5-87)		U.S. DEPARTMENT OF ENERGY REQUEST FOR RECORDS DISPOSITION AUTHORIZATION		OMB Control No. 1010-1700	
				1. Control Number	
2a. Organizational Unit and Routing Symbol Office of Fossil Energy, Deputy Assistant Secretary, Central Technology; Director			2b. Departmental Organization <input checked="" type="checkbox"/> KX Contractor Organization <input type="checkbox"/>		
3. Volume (Cu. Ft.) <u>Coal Combustion and Control Systems/</u>			4. Record Dates (From/To) January 1978 to December 1986		
5. Identification of Filing Unit (Include type of record, function performed, security classification, and other descriptive facts)					
<p>Case files of applicants for Coal Loan Guarantees, under the Coal Loan Guarantees Program. Records consist of applications for loan guarantees to finance underground coal mine project; financial statements and other data relevant-to-the project; financial, technical, and environmental analyses; correspondence and memoranda.</p> <p><input type="checkbox"/> See Continuation Page</p>					
6. Appraisal (Include justification for retention period in current files, low cost storage, and final disposition - destruction or transfer to Archives)					
<p>Authority for the Coal Loan Guarantee Program is contained in PL 94-163, sec. 102; as amended by PL 94-385, sec. 164, and PL 95-620, sec. 802. The program was suspended by the Secretary of DOE effective August 8, 1986, notice having been published in the Federal Register on July 9, 1986.</p> <p>Retention for 10 years is recommended because the program could be reactivated at sometime in the future. However, if at the end of that period the program is still inactive, it is unlikely that it will ever be resumed.</p> <p>Recommend files be transferred to Federal Records Center upon approval of their disposition.</p> <p style="text-align: center; font-size: 2em; font-weight: bold; opacity: 0.5;">EXAMPLE</p> <p><input type="checkbox"/> See Continuation Page</p>					
7. Recommended Disposition					
Retain 10 years					
8. Concurrence Signatures*					
		Title	Organization	Date	
a.	H. Coal	Director, Coal	FF-99	6-19-87	
b.	S. Coal	Deputy of Control	FE-9	6-20-87	
c.	L. Coke	Record Liaison	FE-92	6-20-87	
d.					
e.					
*Program, Legal, Historical Organization, and Others, as required by local policy					
9. Name, Signature, and Organization of Requestor					Date
L. Coke, Records Liaison <i>L. Coke</i>					6-21-87
10. Records Officer Concurrence				Date	
I.M. Smart				HQS <input type="checkbox"/> Field <input type="checkbox"/>	6-23-87

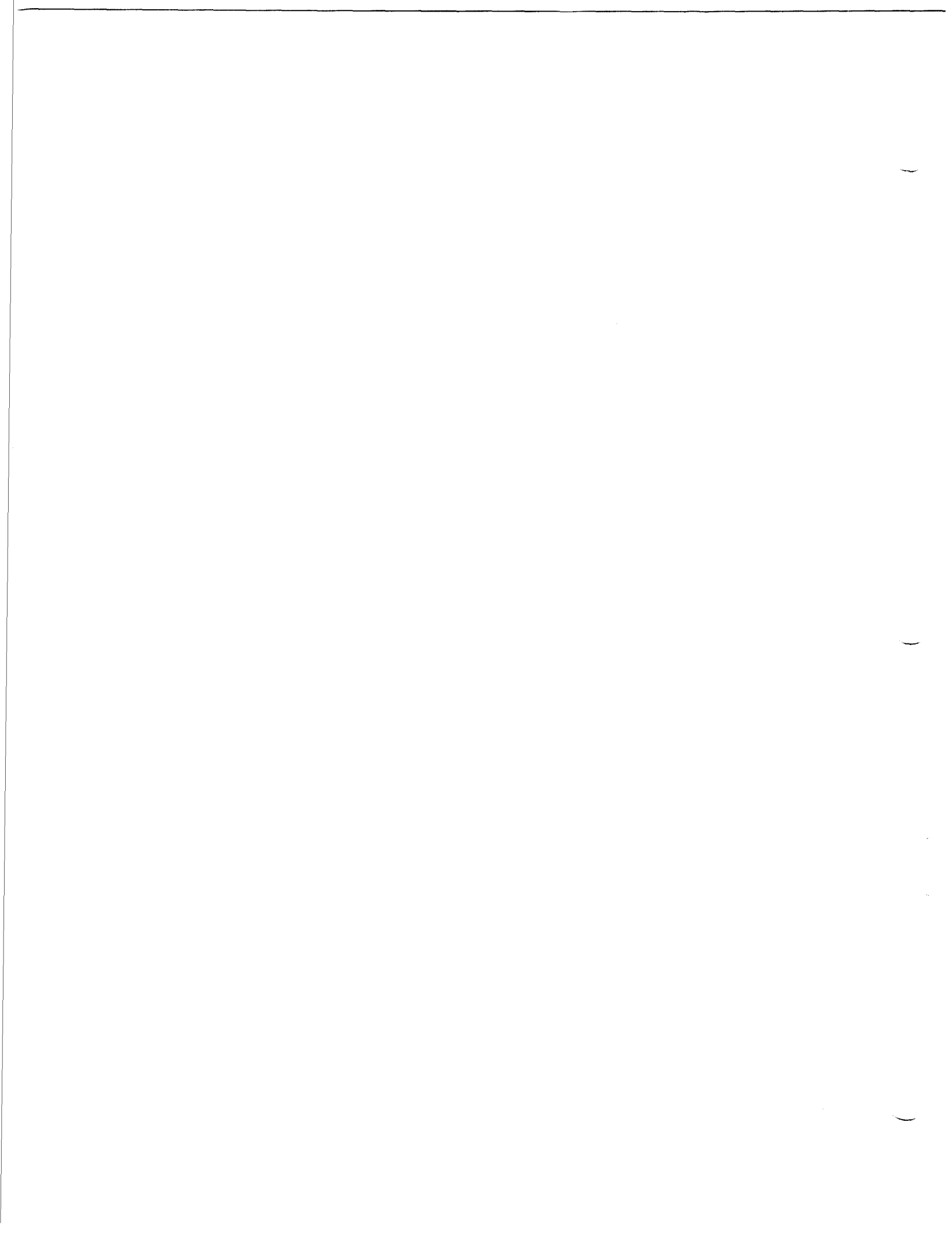


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CHAPTER I

IMPLEMENTING INSTRUCTIONS

1. BACKGROUND. The four basic steps in the disposition process are:
 - a. Inventory files;
 - b. Identify the authorized disposition for the records;
 - c. Plan the disposition actions on a regular basis; and
 - d. Carry out the plan.
2. INVENTORY FILES.
 - a. The first step in the disposition process is to inventory the files (both record and nonrecord) in the organization. This inventory provides the foundation for the next three steps and includes the following:
 - (1) A description of the filing series;
 - (2) Location;
 - (3) Identification of the organization holding the files;
 - (4) Their arrangement or filing scheme (alphabetical, by year, month, by number);
 - (5) The existence of filing plans, indexes, or other finding aids;
 - (6) Restrictions on access and use; and
 - (7) The media in which the record is maintained. (Hard copy, microform, and machine-readable records are inventoried separately to allow for showing their specific disposition.)
 - b. DOE F 1324.10, "Records Inventory and Disposition Schedule," is used to document the inventory. Care must be taken to describe the records as they are. The blocks on the form pertaining to disposition are completed later.
3. IDENTIFY OR OBTAIN DISPOSITION AUTHORITY. The completed inventory is reviewed to determine the proper disposition authority for each filing series. The files described will fall into one of the following categories:
 - a. Nonrecord material. This is disposed of when no longer needed.
 - b. Record material covered by the GRS or Department of Energy Records Schedule (DOERS). Filing series descriptions are compared to the item descriptions in the schedules. Where they match closely enough to determine coverage, the schedule and item number, are indicated in block 7 of DOE F 1324.10.

- c. Record material not covered by existing schedules.
- (1) Two situations are possible:
 - (a) The filing series description simply cannot be matched against any of the descriptions in the schedules, or
 - (b) They can be matched but the creator or holder of the records does not agree with the authorized disposition of those schedules.
 - (2) In either case, DOE F 1324.5, "Request for Records Disposition Authorization," must be completed and submitted through the appropriate records officers to AD-242.
4. MANAGEMENT PLANS. Information on DOE F 1324.10 is necessary for planning the systematic, regular disposition of records; this cannot be done without the initial inventory process. DOE and contractor organizations must assure all their records are inventoried and the inventories are kept current. Planning for disposition must not be delayed waiting for completion of the inventory of all records, however. The annual records management plan has to balance inventory and disposition efforts to maximize benefits. For example, it would be more beneficial to inventory, obtain disposition authority, and dispose of 10,000 cubic feet of discontinued files than to spend all the available time inventorying 50,000 cubic feet of records. A model management plan is under development and will be included as part of DOE 1324.5, RECORDS MANAGEMENT PROGRAM.
5. DISPOSITION ACTIONS. Disposition actions include removing noncurrent files from high-cost office space to local records holding areas and/or direct to the servicing Federal Records Center; destroying records authorized under appropriate schedules; or transferring them to the National Archives for permanent retention. The transfer of records is a local decision the timing of which is established during the inventory process. If office files are infrequently used after a certain amount of time (1, 2 or 3 years, for example), they are to be transferred at that time. This information is used in making up the disposition portion of the annual records management plan. (See Chapter IV, which discusses transfer of records to the Federal Records Centers.)
6. OTHER CONSIDERATIONS.
- a. Automatic Data Processing (ADP)/Electronic Records. ADP/electronic, machine-readable information is included in the statutory definition of records. Such records are described separately from hard copy records. This is done by entering a separate subitem on the DOE F 1324.10 to show the filing series is also in an electronic media (e.g., tape or disc). As long as they generally duplicate hard copy records, they have the same disposition. However, they are inventoried separately and their disposition is to be shown.

- b. Micrographics. This includes those means of reducing the size of hard copy records, such as microfiche and microfilm. There are instances when reducing records by these means is a sound course of action. Each such project of significant size requires a cost-benefit study to assure the project is clearly to the advantage of the Government when purchase of a micrographic system is contemplated. These copies have to be adequate substitutes for the hard copies they are replacing, and be readable and usable for the approved retention period of those hard copy records. Note that approval of NARA is required if the project involves microfilming of permanent records. Local approval is permitted for temporary records. Once quality control checks are completed on the films, the hard copy records should be disposed of.

- c. Classified Records Disposal. Classified documents (records) are scheduled just like unclassified records. While accountability for Secret and Top Secret records is required, the protection of all classified records (including Confidential records) involves high costs in manpower, space, and filing equipment. The disposition of accountable documents involves special effort because of security requirements. Vigorous efforts are to be made to assure compliance with disposition authorities. Nonrecord and extra copies of classified documents are promptly disposed of when no longer needed. DOE 5635.1A, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 2-12-88, contains the security requirements and procedures for these documents. Classification of the records is to be indicated on the DOE F 1324.10 to aid in complying with the procedures in DOE 5635.1A.

- d. Unclassified, Sensitive Information. This category of records includes Unclassified Controlled Nuclear Information (UCNI), Naval Nuclear Propulsion Information (under the cognizance of NE-60), Export Controlled Information, Official Use Only Information, and a variety of other sensitive information on which controls are placed by organizations. No attempt will be made to comply with the numerous requirements for the handling, including special markings, of these records in records holding areas or in Federal Records Centers. However, where these types of records are recalled by their custodial office or organization it is incumbent on that office to comply with the requirements in Departmental regulations or directives, such as DOE 5635.4, PROTECTION OF UNCLASSIFIED CONTROLLED NUCLEAR INFORMATION, of 2-3-88. No action on these records will be taken by records personnel.

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CHAPTER II
RECORDS INVENTORY AND DISPOSITION SCHEDULES

1. SUMMARY.

- a. Work Steps and Processes. The preparation and application of comprehensive Records Inventory and Disposition Schedules (RIDS) involve the following work steps and processes:
- (1) Selection of appropriate subordinate units within the overall organization to be covered by separate RIDS (one RIDS per file station);
 - (2) Inventory of all record and nonrecord material;
 - (3) Analysis of the inventory to identify (a) filing series covered by approved records schedules, (b) nonrecord material, and (c) filing series not covered by approved records schedules;
 - (4) Appraisal of filing series not covered by approved records schedules (see Chapter III);
 - (5) Development of cutoff instructions and retirement periods;
 - (6) Coordination to obtain local approvals for the RIDS;
 - (7) Initial application of the schedule by disposing of records for which the retention periods have expired, disposing of unneeded nonrecord material, and retiring eligible records; and
 - (8) Periodic reviews of RIDS, to keep the RIDS current, as part of the annual records management plan.
- b. Procedures. The procedures summarized in paragraph 1a, above, involve the use of these forms:
- (1) DOE F 1324.10 (or its equivalent), is used in connection with subparagraphs (2), (3) and (5) through (8) above.
 - (2) DOE F 1324.5 used in connection with subparagraph (4) above.

2. PREPARATION AND APPLICATION OF RECORDS INVENTORY AND DISPOSITION SCHEDULE (RIDS).

- a. Inventory. The first step is to inventory the files of the organizational unit which has custody of records. This unit is identified by being a file station and by having a correspondence symbol in Departmental organizations. The management and operating contractor should use an appropriate designation. The schedule is the key to the disposition program. A complete and accurate records inventory is important and is treated in some detail as follows:

- (1) Characteristics of a Records Inventory.
 - (a) It must cover all records in the organizational unit.
 - (b) Nonrecord material must be included.
 - (c) Filing series descriptions must be clear.
 - (d) Records must be listed by filing series (not document by document or folder by folder).
 - (e) Location, access restrictions, file indices are placed on DOE F 1324.10.
- (2) Organizational Unit Designation.
 - (a) Separate RIDS are prepared for each file station. For example, in an office services branch consisting of a mail section, a word processing section, a records management section, and a graphics section, each section has its own set of files constituting four separate file stations which require four separate RIDS, one for each file station.
 - (b) Responsibility for files maintenance and disposition actions must be assigned to an appropriate staff member.
- (3) Scope. The inventory covers all files of each file station and it includes the following:
 - (a) Record and nonrecord material;
 - (b) Classified, controlled, and unclassified papers;
 - (c) Machine-readable and microfilm records;
 - (d) Audiovisual records;
 - (e) Filing series and correspondence files;
 - (f) Permanent as well as temporary records; and
 - (g) Reference material (pamphlets, reports, handbooks, reading files, and extra copy files) maintained in filing equipment.
- (4) Inventory Items.
 - (a) Inventory items should be descriptive of filing series, not separate forms, reports, file folders, or other papers which do not constitute filing series. For example, applications for employment are not inventory items if they are filed in personnel files along with job descriptions, change of status forms, and other data about individual employees. The inventory item (filing series) is the official personnel folder. Applications for employment are filing series only if they are

filed separately. Some examples of filing series are as follows:

- 1 An entire voucher file, arranged numerically by voucher number, consisting of copies of paid vouchers together with attached supporting papers such as purchase orders, receiving reports, invoices, bills of lading, and related correspondence. Each individual voucher, together with its supporting papers is a file item.
- 2 Solar energy research project case files reflecting the history of the projects completed under grant programs. Case folders include all information relevant to each project, such as: project proposal, review memoranda and comments; project authorization and directives; copies of unpublished manuscripts, journal articles and papers; progress reports; correspondence influencing the direction of the project; and listing of final publications and films. Project case files are filed chronologically according to proposed dates. Each separate project case folder is a file item.
- 3 A purchase order file, arranged numerically by purchase order number or alphabetically by name of vendor, consisting of copies of all purchase orders issued or received by an organization. Each separate purchase order is a file item.

- (b) Inventory items should be limited to filing series, wherever possible. They should not be expanded to include all of the records of an activity unless all of the separate items are interfiled. For example, a contractor engineering file of 100 cubic foot volume, and consisting of six or seven distinct filing series, with different retention values, one filing series of which is field notebooks, should not be inventoried as a single item. If the field notebooks comprise 40 cubic feet and are filed separately in one series, they are a separate inventory item.

(5) Description of Records.

- (a) It is essential that the records in the inventory be described in terms that will be meaningful to the person who will apply the schedule. Inventory items are described as they exist in the organizational files - generally accepted titles in normal day-to-day use - not as they are, or may be, described somewhere else.
- (b) The use of the descriptions comes later in the process of matching the inventory items to the standards contained in these attachments. The completed RIDS will be used by files custodians to dispose of records or retire them in accordance with the retention and retirement periods on the RIDS. Therefore, the item descriptions should be accurate portrayals of the files so that the disposal and retirement periods can be applied without error by the custodians of the files.

- (c) A proper description of an inventory item consists of the name or title of each filing series. The title of a single form may be used if it applies to an entire filing series (e.g., bills of lading, payroll checks, vouchers, and purchase orders). Form numbers or titles should not be used when case files are being described. Such files often consist of numerous forms. (Examples of case files: intelligence files, docket files, contract files, individual personnel files, loan files, and project files.) Indicate whether the files consist of original records, or copies.
 - (d) Descriptive data in the inventory items should indicate the filing arrangement (as alphabetic, chronological, numerical), since the arrangement can affect disposition actions. For example, procurement files arranged alphabetically by vendor names or general files arranged by subject must be artificially broken or "cut off" periodically to permit disposal or retirement. The filing arrangement can also be a factor in identifying records to be preserved, retired, or destroyed. For example, some procurement organizations maintain both numerical and alphabetic files of purchase orders; the main distinction between them is the filing arrangement. It is likely that the alphabetical file is a finding aid and may be designated as nonrecord material.
 - (e) Exact location of file station by room/area numbers.
- (6) General Correspondence Files.
- (a) It is more difficult to inventory and schedule general correspondence files than it is for specific filing series such as foreman's time cards, purchase orders, and vouchers. General correspondence files are usually arranged by subject and consists of correspondence, completed forms, and reports. The entire file is seldom a filing series, but portions of the file are. Therefore, in the inventory and scheduling process, general correspondence files should be reviewed and analyzed in some detail to identify and evaluate the filing series. Since typical general correspondence files consist of both record and nonrecord material, a main purpose of the review is to identify nonrecord material, which can be disposed of as soon as it has served its purpose. All nonrecord material often can be identified as a single filing series; inventory of the record material is facilitated by these procedures.
 - (b) Filing series in general correspondence files should not be broken down too finely. Often, a breakdown at the primary subject level is sufficient. Breakdown into detailed subdivisions, such as secondary and tertiary classifications, is discouraged.

- (c) For the reasons stated in the above subparagraphs, establishing general correspondence files should be limited. It is preferable to have correspondence filed in the program or project case files to which it pertains. This resolves many of the issues brought about by general correspondence files.
- (d) It is recommended that a record and a reference set of these files be set up to reduce the need for screening files for extra copies and nonrecord materials when disposition actions are taken.

b. Scheduling Records.

(1) Review of Inventory.

- (a) The completed inventory is reviewed to determine the proper disposition of the items described thereon. Normally, the items will fall into the following three categories:
 - 1 Record items covered by records schedules (GRS or DOERS);
 - 2 Nonrecord items; and
 - 3 Record items not covered by records schedules
- (b) Record items in the inventory, which are covered by existing records schedules, are identified by matching the items on the inventory with appropriate records descriptions in the GRS or the DOERS (Chapter V of this Order).

(2) Use of Approved Schedules. The GRS and DOERS to records in the custody of M&O contractors and the Department. DOERS contain NARA approved disposition authorizations on records unique to DOE. When records are created which are not described in the GRS or the DOERS, their creator is responsible for initiating action to obtain their authorization for disposition. Using these schedules will be facilitated by use of their index; however, the appropriate records officer should be contacted when any doubt arises on their use.

(3) Use of Broad Standards. Records are described in many of the schedules in general terms, instead of in specific terms, to describe individual filing series. Since filing series are described on the RIDS in terminology familiar to the organization for which the RIDS are prepared, often the descriptions will not coincide exactly with the descriptions in the authorized schedules. Judgment is required in finding appropriate standards for comparable records. Personnel who prepare the RIDS should contact their records officer when it is not clear which standards apply. Records officers will review RIDS to assure there is agreement, on request, and on assistance visits.

(4) Record Material.

- (a) The periods stated in the authorized disposition column are the minimum periods of time which records must be retained. Records may not be destroyed until after the elapse of the periods specified, or in some cases, until the occurrence of a specified event. Care must be taken to assure disposition action is taken in the year following the event or the passage of the minimum retention period requirements specified in the schedules.
- (b) Occasionally, it may be necessary to establish longer or shorter periods than prescribed in the records schedules. If the criteria on which the disposition was originally based have changed, a DOE F 1324.5 should be prepared giving the reason for the change. The form is forwarded by the Headquarters or field element Records Officer (or person serving in that capacity) to the Information Management Division (AD-242), Office of IRM Policy, Plans and Oversight (AD-24) after proper coordination at the local level.
- (c) AD-242 will obtain the necessary NARA and other approvals. If a local situation requires that records be temporarily retained for 1 year or less beyond the authorized retention period, Headquarters or NARA approvals are not required. Extensions of over 1 year require Headquarters and NARA approvals. Such data is to be part of the management plan.
- (d) If Federal or State laws, or regulations issued thereunder, require specific retention periods those periods are entered on the RIDS. This requirement shall not be construed as directing the extension of records retention standards to coincide with statutes of limitations in the various States. Statutes of limitations are not necessarily controlling factors in the establishment of retention periods.

(5) Identifying and Evaluating Nonrecord Material.

- (a) The definition of nonrecord material in Attachment I includes examples of nonrecord items. These examples should be used as guides in identifying nonrecord filing series described on RIDS. Each nonrecord filing series is designated on RIDS by entering "nonrecord" in column 7, "Disposition Authority." If the determination of nonrecord is based on physical duplication, also indicate the office responsible for keeping the record copy.
- (b) Nonrecord items are evaluated to determine appropriate disposal times. Short periods (less than 2 years and often not more than 1) should be established for nonrecord filing series since they are usually duplicated elsewhere in the organization, and are retained for convenience of reference only. The disposal dates are posted in column 8 of RIDS.

Vertical line denotes change.

Nonrecord material may be disposed of without NARA or other authority. Disposal periods are construed as maximum, rather than minimum, periods for nonrecord material; the disposal date is used to assure disposal action not later than that date, but disposal may occur anytime up to that date.

- (6) Filing Series Not Covered by Approved Schedules. A third category consists of "record" filing series for which disposition standards have not been established. For these filing series, new records retention standards need to be developed. Because several months are usually required for obtaining new authorizations, the entry "to be obtained is posted in column 7 of RIDS and "to be developed" in column 8. In this way the RIDS can be completed and disposition actions for other records and those established for nonrecord material, can be immediately applied. The guide for appraising the deferred or open items, and the procedures for obtaining approval of disposition standards for new records are contained in Chapters I and III.
- (7) Cutoff Instructions and Retirement Periods. The completed RIDS includes a timetable for the removal of noncurrent records from office space and equipment and transfer to lower cost storage DOE facilities. This timetable provides instructions for file cutoff, retirement, transfer, or destruction. Retirement and transfer periods are developed only after the disposition is determined, since usually a significant part of each collection of records can be destroyed in the organization responsible for them. The instructions for file cutoff, retirement, transfer, or destruction are posted in column 9 of the RIDS, after which the RIDS is ready for preparation in final form, approval, and application.

c. Final Preparation, Coordination, and Distribution of RIDS.

- (1) In preparing RIDS for approvals, it may be desirable to rearrange the sequence of the filing series from the way they appear on the preliminary draft, especially if a large number of filing series are involved. Discontinued filing series, for example, should be listed on a separate continuation sheet for removal from the RIDS when all of the discontinued records have been disposed of. Likewise deferred or open items (ones for which new disposal authorizations are needed) may be listed on a separate sheet since that part of the RIDS is not subject to immediate application.
- | (2) The Office of Administrative Services (AD-60) prescribes the procedures for approval of RIDS at Headquarters.
- | (3) Each field element and each contractor prescribes procedures for approval of RIDS within their own organization.
- | (4) Approvals required should be limited to organizations having a legitimate interest in the records. Approval by the Information Management Division (AD-242), Office of IRM Policy, Plans and

Vertical line denotes change.

Oversight (AD-24), is not required. RIDS should be prepared in at least two copies for distribution and use as follows:

- (a) The originals should be given to the files custodian(s) responsible for applying the RIDS.
- (b) One copy should be maintained by the local records officer, or other official responsible for the records disposition program of the organization. The RIDS is a key document in the records management plan.

d. Using RIDS.

- (1) The approved RIDS is the basic document in the management plan. They are to be reviewed, analyzed, and compiled at records officer level, i.e., each Departmental and M&O contractor records officer will have a plan for their records management activities, based on the RIDS.
- (2) Some considerations in using RIDS are as follows:
 - (a) Records are to be disposed of no later than 1 year from their authorized disposal dates (records material disposal dates are stated as the minimum periods of time which records must be retained).
 - (b) Nonrecord material should be disposed of prior to but no later than the scheduled disposal date (nonrecord material disposal dates are construed as maximum, rather than minimum, periods).
 - (c) Disposal and transfer of inactive records are accomplished on a regular basis; coordination with the servicing FRC is required prior to transfers of such records;
 - (d) An expedited timetable is necessary if records accumulate rapidly; and
 - (e) Given careful planning, actions under the management plan are scheduled as much as possible so as not to interfere with current operations.

e. Disposal.

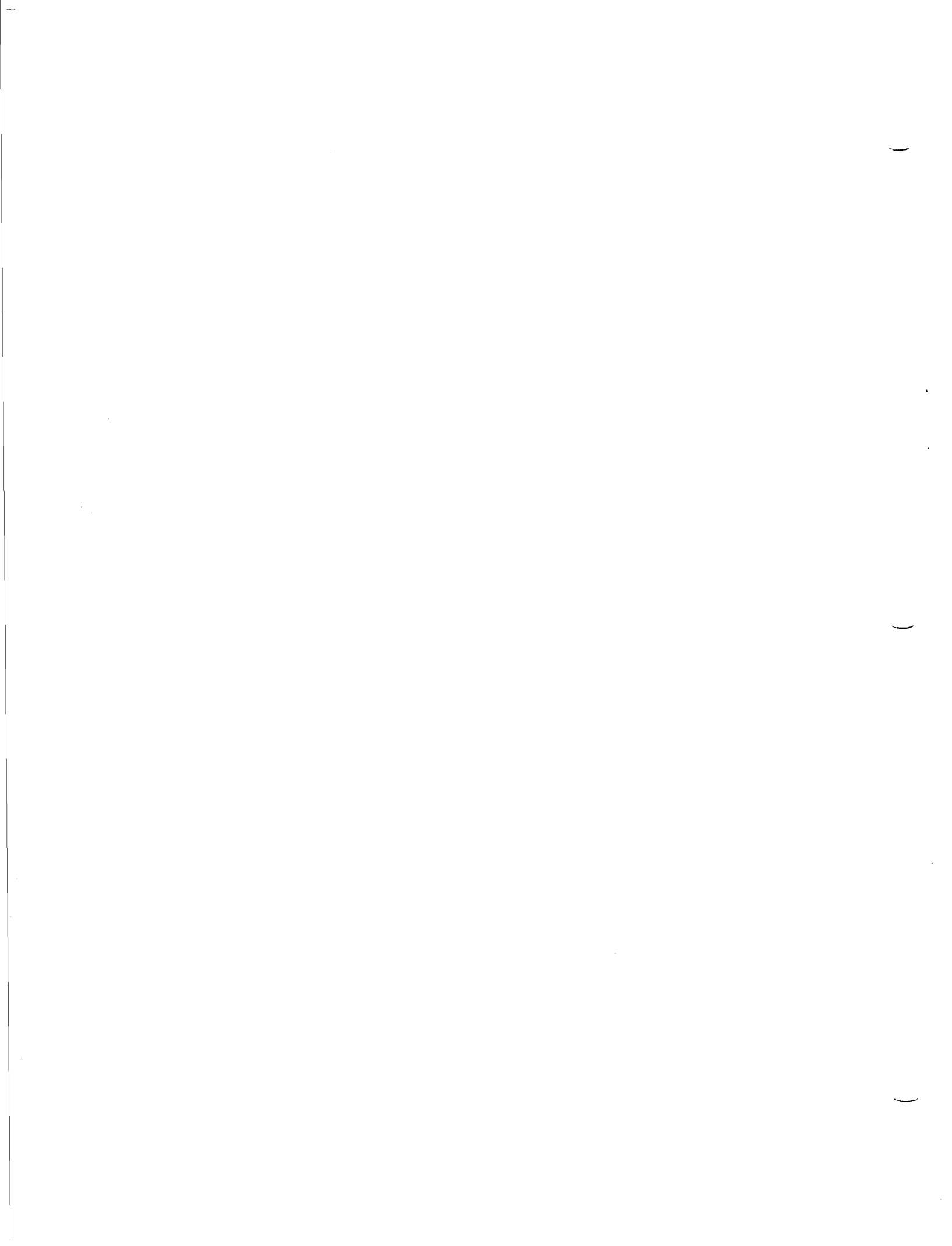
(1) Method.

- (a) Unclassified records are disposed of by maceration, shredding, landfill, burial or by sale as waste paper. Privileged records shall be shredded, macerated, or otherwise rendered illegible. Contracts for the sale of records as waste paper shall contain a provision prohibiting their resale or use as records or documents.

(b) All classified and controlled records shall be disposed of in accordance with security regulations.

(2) Responsibility. The responsibility for authorizing the physical disposal of records belongs to the original office of custody which is notified by the local records holding area or the Federal Records Center, where the records are stored, when they are eligible for disposal. At this time the original office of custody authorizes their disposal or, through the appropriate DOE Records Officer, Justifies deferral. This may require a change to the schedule. Note that if the original office of custody does not respond within 90 days of its notification, authorization for disposal will be assumed.

f. Deferred Disposals. Records pertaining to current or pending litigation and investigations, pending Freedom of Information (FOI) matters, or to exceptions taken by the General Accounting Office, shall be retained until the litigation is settled, the FOI matter resolved, or the GAO exception is cleared. If such cases exist, and involve records otherwise eligible for disposal, the specific records should be removed from the filing series and retained in a suspense file until the matters in controversy are settled. RIDS should then be applied to the remaining items. Original offices of custody should make certain that there are no such cases pending before authorizing the disposal of the records.



CHAPTER III

APPRAISALS

1. APPRAISAL PROCEDURES. Appraisal is the evaluation of filing series to determine whether they have permanent or temporary values and, if temporary, how long they should be retained. Through the appraisal process disposition authorizations are developed for unscheduled filing series. In appraising filing series, consideration is given to existing schedules, and to the administrative, financial, legal, scientific, research, and historical value to the Government, or to the public.
2. EXISTING STANDARDS. The GRS and DOE Schedules often provide practical guidance in developing disposition authorizations for similar or related records. They should be used in the appraisal process to maintain consistency.
3. ADMINISTRATIVE VALUE. Records have this value if they help an organization to carry out its responsibilities. The time during which the value exists may be long or short. The frequency and purpose of reference normally indicate administrative value and for many filing units provide sufficient appraisal data for establishing their disposition. Some filing units possess continuing administrative values and should be designated for long-term or even permanent retention, even though reference to them is infrequent. In this group are those records which document the development of DOE policies, programs, and procedures, and those reflecting the organization of DOE and its components. The master set of directives at DOE Headquarters, for example, is designated for permanent retention.
4. FINANCIAL VALUE. Financial records include budget records which show how expenditures were planned. Included also may be accounting voucher or expenditure filing series of several kinds which document the purposes for which DOE funds were spent. Most financial records are transaction files which have temporary value (6 years or less). Financial records relating to the development of financial policy may have long-term or even permanent value.
 - a. An important consideration in assessing the financial value of records is their need for audit purposes. A 3-year retention standard for such records will usually suffice.
 - b. Proposed disposition for records created by contractors are submitted to the General Accounting Office (GAO) for concurrence. GAO approval also is obtained for the following DOE filing series if their recommended disposition is shorter than those prescribed in the General Records Schedules:

- (1) Payroll and pay administration;
 - (2) Procurement and supply;
 - (3) Property disposal;
 - (4) Budget preparation, presentation, and apportionment;
 - (5) Accountable officers' accounts;
 - (6) Expenditure accounting;
 - (7) Stores, plant, and cost accounting;
 - (8) Travel and transportation;
 - (9) Motor vehicle maintenance and operation; and
 - (10) All program records whose proposed disposition is 3 years or less. GAO will not approve or disapprove proposed disposition for program records which are longer than 3 years, but it will occasionally suggest shorter disposition consonant with good records management practices.
- c. Note that all GRS dispositions are mandatory unless NARA approves an SF 115 for individual deviations.

5. LEGAL VALUE.

- a. Records have legal value if they contain evidence of legally enforceable rights or obligations of the Government. Among those obligations are the legal rights of persons to make claims against the Government. Records having legal value include but are not limited to the following:
 - (1) Legal decisions and opinions;
 - (2) Documents involving legal agreements, such as deeds, leases, titles, and contracts; and
 - (3) Evidence of actions in particular cases such as claim papers and legal dockets.
- b. In assessing the legal value of records, the probability of the records in question being needed as evidence is to be considered. Statutes of limitation are not necessarily controlling factors in the establishment of retention periods. For example, paid payroll checks are disposable after 3 years even though in most jurisdictions the applicable statute of limitations is 6 years. In this instance, experience shows that controversies and claims over the payment of wages and salaries arise in a matter of hours or days, not years. The cost of storing the records for 6 years would clearly exceed any benefits to the Government.

6. **HISTORICAL VALUE.** Records have historical value if they preserve a reasonable portrait of significant past events. Historical records include those reflecting significant decisions or events in energy development, regulation, and management. Of special value are records related to events that aroused extensive public interest or controversy. Records may be of historical value if they describe the origin, organization, procedures, and functions of major DOE programs. Records of historical value are often found in files containing Presidential or White House correspondence; with Members of Congress, congressional committees, Cabinet Secretaries, heads of agencies, and prominent citizens; internal correspondence with Heads of Departmental Elements, and other key DOE officials; background material in significant policy or operational studies; office diaries and logs; notes or records of meetings or telephone conversations by Heads of Departmental Elements; memoirs and transcripts of interviews. NARA makes the final determination about the historical value of all Federal records.

7. **VOLUME.** While volume has nothing to do with the administrative, financial, Legal, or other criteria used in the appraisal process, volume should be taken into account when establishing disposition for filing series which accumulate at a rapid rate and occupy considerable filing and storage space. Cost reduction or cost avoidance in maintaining and storing records is an important objective of the records disposition program. In establishing retention standards for high volume records, the cost of retaining them should be weighed against potential benefits derived therefrom. If such costs significantly outweigh potential benefits, an element of calculated risk should be considered in establishing their disposition. It is not necessary for records to be completely valueless in order for them to be disposed of. NARA is authorized to approve standards for records that apparently will not, after the elapse of the period specified, have sufficient administrative, legal, research, or other value to warrant their further preservation by the Government.

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CHAPTER IV

TRANSFERS OF RECORDS

1. GENERAL. This chapter pertains to the transfer of records from the office which created or holds them to the local records holding areas, and to the National Archives and Records Administration (NARA), its Federal Records Centers (FRC), and donations.
2. TRANSFER TO FEDERAL RECORDS CENTERS.
 - a. Departmental approval is not required for transferring noncurrent DOE records to FRC.
 - b. Requests for reference service directed to a FRC should be made by a specific individual or designee authorized to do so by the Director of Administrative Services, or Heads of Field Elements, as appropriate. Routine requests are made in writing using Optional Form 11, "Reference Request - Federal Records Centers." Priority or requests may be made by telephone or teletype. Requests must provide information such as the Records Group Number, FRC Accession Number, date(s), and descriptions of the desired records, to facilitate retrieval.
 - c. Record Group (RG) numbers are assigned to Federal agencies by the Assistant Archivist for the National Archives, to be used for identification and control purposes in transferring concurrent records to Federal Records Centers. The appropriate RG number must be shown in Column 6(a) of the Standard Form 135 covering each transfer of records to an FRC.
 - d. The Assistant Archivist for the National Archives has prescribed the following RG numbers to be used by DOE, some of which will be used only until the disposition of all of the records transferred from the predecessor organizations has been accomplished. Others will have continuing use by DOE. RG numbers to be used by DOE and their used are explained in figure IV-1, below.
 - e. Coordination will be made with the appropriate FRC to schedule those transfers.

<u>Record Group Number</u>	<u>To Be Used For</u>
RG 201	Records of the Western Area Power Administration.
RG 434	General Records of the Department of Energy, and records generated by the former Federal Energy Administration.
RG 305	Records of the Bonneville Power Administration.
RG 387	Records of the Southwestern Power Administration.
RG 388	Records of the Southeastern Power Administration.
RG 447	Records of the Alaska Power Administration.
RG 326	Records of the former Atomic Energy Commission.
RG 430	Records of the former Energy Research and Development Administration.
RG 48	Records transferred from the former Office of Coal Research, dated prior to 1-19-75.
RG 412	Records transferred from the Environmental Protection Agency, dated prior to 1-19-75.
RG 70	Records transferred from the Bureau of Mines, dated prior to 1-19-75.
RG 307	Records transferred from the National Science Foundation, dated prior to 1-19-75.

Figure IV-1
Record Groups

3. TRANSFER TO LOCAL RECORDS HOLDING AREAS. Headquarters and Field Records Officers establish and implement transfer procedures to local records holding areas under their control. Such policies and procedures, which are also part of the records management plan generally follow the procedures for transferring records to FRCs. Local priorities and needs are to be considered.
4. TRANSFER TO THE NATIONAL ARCHIVES. This transfer pertains only to permanent records, and is documented in Standard Form 258. If such transfers are under consideration, the Departmental Records Officer must be contacted for assistance and approvals.
5. TRANSFER OR DONATIONS TO FEDERAL AND NON-FEDERAL AGENCIES. If these are under consideration, the Departmental Records Office will be contacted where necessary approvals will be sought.

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CHAPTER V

DEPARTMENT OF ENERGY RECORDS SCHEDULES

1. GENERAL. The records covered by the attached schedules are unique to the Department and its M&O contractors. An index of the schedules showing the categories of these records is provided to facilitate their use.
2. CITATIONS OF AUTHORIZED DISPOSITIONS. In disposition actions regarding these records, cite DOE and the schedule and item number as follows; DOE 1,1 to reflect the authorized disposition under DOE schedule 1, item 1. The GRS is cited the same way.
3. CHANGES. Changes to these schedules will be made by Page Change in accordance with DOE 1321.1B, DEPARTMENTAL DIRECTIVES SYSTEM, of 4-7-83.

DEPARTMENT OF ENERGY RECORDS SCHEDULES

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DOE RECORDS SCHEDULE 1

MEDICAL, HEALTH, AND SAFETY RECORDS

Records covered by this schedule include the following classes of records: (a) safety management; (b) medical and health research; (c) operational records for health units fire units, and biological laboratories; (d) individual case files of employees exposed to hazardous or toxic substances, or radioactivity; and (e) records of DOE-controlled activities reflecting the protection provided to employees, the public, property, and the environment during the conduct of the activity.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. SAFETY MANAGEMENT RECORDS.

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| a. Occurrence (as defined by the Assistant Secretary for Environment, Safety, and Health or predecessor). | |
| (1) Report files maintained by the Office of the Deputy Assistant Secretary for Safety and Quality Assurance. | |
| (a) Files on occurrences which were of widespread public and congressional interest. | Permanent. Offer to NARA 25 years after case is closed. <u>NC 326-75-2</u> |
| (b) Files on all other occurrences. | Destroy when 80 years old. <u>NC 326-75-2</u> |
| (2) Files maintained by field organizations, including a copy of the report, related correspondence, technical data, statements of witnesses and employees, other relevant information and data. | Destroy when 15 years old. <u>NC 326-75-2</u> |
| b. Correspondence files of organizational units responsible for facility safety program, consisting of reports, statistics, memoranda, and correspondence relative to traffic and property damage accidents, including records and statistics relative to summaries of industrial personal injury accidents, (exclusive of cases involving personal injuries which are retained permanently). | Destroy when 10 years old. <u>II NNA-1023(2)</u> |
| c. Records of reports of routine safety inspections, including evidence of action taken. | Destroy when 1 year old. <u>II NNA-310(6)</u> |
| d. Reports, statistics, and correspondence relative to traffic and property damage accidents, including records relative to summaries of industrial personal injury accidents, exclusive of cases involving personal injury. | Destroy when 10 years old. <u>II NNA-1023(3)</u> |

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	e. Prescriptions for safety glasses.	Destroy when 6 months old. <u>II NNA-409(25)</u>
2.	<u>FIRE UNIT RECORDS.</u>	
	a. Alarm, investigation, and incident reports relating to various types of fire alarms and investigations of fires, including source data concerning fires in which fatalities may result or when arson is suspected.	Destroy when 10 years old. <u>NC 430-76-2(3)</u>
	b. Fire extinguisher history records and fire hose records.	Destroy 1 year after removal of equipment from service. <u>II NNA-1858(1B)</u>
	c. Fire extinguisher inspection records showing description of extinguishers, recharging data, and names of inspectors.	Destroy when 1 year old. <u>II NNA-2939</u>
	d. Fire station operating logs.	Destroy when 6 years old. <u>II NNA-1858(1C)</u>
	e. Ambulance service reports.	Destroy when 3 years old. <u>II NNA-1858(E)</u>
	f. Fire alarm system tests, radio communications reports on inside and outside fire drills, daily force reports, and building inspections.	Destroy when 1 year old. <u>II NNA-1858(1F)</u>
	g. Auxiliary brigade attendance and training records.	Destroy when 1 year old.
3.	<u>MEDICAL OR HEALTH RESEARCH PROJECT CASE FILES</u> reflecting the history of the research project from initiation to completion, including research, development, design, and test results. Included are records such as: project proposal; review memoranda and comments; project authorizations and directives; copies of unpublished manuscripts, journal articles, and conference papers; progress reports; correspondence influencing the direction of the project; and lists of publications and films resulting from the project. Also included are the records of any subsequent studies resulting from the research.	Permanent. Offer to NARA 25 years after project is completed. <u>NCI-430-76-9(2)</u>

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DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
4.	<u>RECORDS CONCERNING PERSONNEL EXPOSURE TO HAZARDOUS CONCENTRATIONS OF TOXIC CHEMICALS AND OTHER MATERIALS.</u> Records (includes correspondence) prepared in the normal course of business concerning or documenting the exposure of personnel to hazardous concentrations of toxic chemicals and other materials, <u>excluding</u> radionuclides and individual employee files.	
a.	Standards, operating guides, and procedures, including revisions and background records which establish or relate to establishing operating practices.	Permanent. Offer to NARA in 25 years. <u>NCI-430-76-9(5)</u>
b.	Operating plans for specific jobs within the scope of the above-established operating practices.	Destroy when purpose is served or when 1 year old, whichever is earlier.
c.	Records and investigations establishing the extent of employee exposure to toxic chemicals and materials. These records should be filed in the Health Hazard case file (item 6, below), wherever possible.	Destroy when 75 years old. <u>NCI-430-76-9(5)</u>
d.	Industrial hygiene logsheets recording surveys for industrial hazards other than radiation and contamination.	
	(1) Surveys indicating no industrial hazard.	Destroy when 75 years old. <u>NCI-430-76-9(5)</u>
	(2) Surveys indicating a potential industrial hazard.	Until related facility is dismantled. <u>NCI-430-76-9(5)</u>
5.	<u>RADIATION-CONTAMINATION CONTROL PROGRAM RECORDS</u> (includes correspondence) concerning or documenting accurate, quantitative description of the exposure of personnel to external radiation and internally deposited radionuclides, including development of appropriate regulations and procedures used as a basis for the radiation-contamination control program; excludes individual employee files.	

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
a.	<u>Personnel Exposure Dose Record</u> concerning or documenting radiation exposure dose to the individual due to alpha, beta, gamma, and neutron radiation as determined by personnel radiation monitors or by estimates based on other radiation dose instruments.	
(1)	Results of equipment calibration establishing the authenticity of the above dose results.	Destroy when 75 years old. <u>NCI-430-76-9(4)</u>
(2)	Automatic data processing system programs, codes, instruction tapes, and discs if used for retrieval of item a, above.	Destroy when 75 years old. <u>NCI-430-76-9(4)</u>
(3)	Worksheets, requests for analysis, chart records recording information which must be interpreted or further modified before use, automatic data processing system input records, other information used in interim calculations or to verify that recorded data is correct (such as checksheets), film badges, and statistical summaries duplicating the above exposure data.	Until exposure record above has been verified and approved, or one year, whichever is earlier. <u>NCI-430-76-9(4)</u>
b.	<u>Technical Standards, Operating Guides, Laboratory, Operating, and Radiation-Contamination Control Procedures</u> describing the technical and administrative basis for the radiation-contamination protection program.	
(1)	Historical file of standards, guides, and procedures, including revisions, and back-ground records defining philosophy in development, methods of evaluation, and mode and scope of radiation-contamination protection efforts.	Permanent. Offer to NARA when 25 years old. <u>NCI-430-76-9(4)</u>
(2)	Detail plans for specific jobs performed within the scope of the above procedures and similar records relating to routine daily operations.	Until purpose is served or 1 year, whichever is earlier. <u>NCI-430-76-9(4)</u>

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	<u>Logbooks</u> (chronological history) which provide a concise summary of shift and daily activities, including unusual incidents, radiation and contamination problems, release of radionuclides to work areas or public zones, interpretation of unusual chart recordings, and similar items.	Destroy when 75 years old. <u>NCI-430-76-9(4)</u>
d.	<u>Routine Radiation and Contamination Surveys</u> and air sample logs, including resulting laboratory analyses and equipment calibrations, indicating no unusual health or safety problems.	Destroy when 75 years old. <u>NCI-430-76-9(4)</u>
e.	<u>Recorder Chart Records</u> of radiation and contamination detected by air activity monitors (gaseous and particulate) and ionization chambers.	Destroy when purpose is served or when 3 months old, whichever is earlier.
	(1) Records directly applicable to the workplace.	Reserved
	(2) Other records.	Until purpose is served or 3 months, whichever is earlier.
f.	Reports and Engineering Studies of unusual radiation or contamination problems.	Destroy when 100 years old. <u>NCI-430-76-9(4)</u>
6.	<u>INDIVIDUAL EMPLOYEE HEALTH HAZARD CASE FILE.</u> Individual employee radiation exposure history file (both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both <u>negative and positive results</u> , and shall include:	Destroy when 75 years old. <u>NCI-430-76-9(4)</u> <u>ALL</u>
a.	Records of skin and nasal contamination incidents, including decontamination details.	
b.	Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used.	

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	Results of direct measurement of radiation from the chest, specific organs, or whole body.	<u>NCI-430-76-9(4)</u> <u>(Con't) ALL</u>
d.	Investigations of the following types: (1) Assimilations of radioactive materials in excess of standards and control guides. (2) Missing or unusual data concerning exposure of personnel to radiation. (3) Radiation exposures exceeding quarterly to yearly exposure guides and standards.	
e.	Records of bioassay data. (1) Positive laboratory results on bioassay samples (urine, feces, blood) used to determine internal assimilation by an individual of a radionuclide. (2) Laboratory results indicating no assimilation of radioactive materials.	
7.	<u>PLANT RECORDS.</u>	
a.	<u>Radiation Detection Instrument Calibration Records</u> relating to the calibration and inspection of instruments used in the detection and recording of radiation, against sources of known radioactive emission or dose rate. (1) History of procedures indicating criteria for selection and methods used, and schedules giving frequency of calibration and maintenance of radiation detection instruments and equipment. (2) Report instrument and equipment distribution, decontamination, performance, inventories, statistical data, physical status, operating condition, and any related data.	Destroy when 75 years old. <u>NCI-430-76-9(1)</u> Destroy when purpose is served or when 1 year old, whichever is earlier. <u>NCI-430-76-9(1)</u>

DOE RECORDS SCHEDULE 1

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

b. Radiation Detection Charts used with alarm systems to record radiation in excess of established guides in production plant areas, provided unusual radiation data are posted to other records which are retained. (See item 6a, this schedule.)

Destroy when 1 year old. NCI-430-76-9(7)

8. ENVIRONMENTAL CONTAMINATION MEASUREMENT RECORDS indicating presence and amount of contaminating materials (including radioactive materials) in samples of air, water, earth, biological (animal and vegetation) and special materials from onsite and offsite locations.

a. Procedures which detail the methods used and frequency of analysis of environmental samples. Includes records or correspondence which give the philosophy and scope of sampling, provide interpretations of results, and detail the plans for sampling and analysis of environmental samples.

(1) General procedures.

Permanent. Offer to NARA in 25 years.
NCI-430-76-9(3)

(2) Specific procedures.

Destroy when analytical results are verified, accepted, and summarized, or when 5 years old, whichever is earlier.
NCI-430-76-9(3)

b. Analytical Summaries of results of analyses, including results on standards or other calibrations used to establish the validity of analytical results.

Destroy when analytical results are verified, accepted, and summarized, or when 5 years old, whichever is earlier.
NCI-430-76-9(3)

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	<u>Logbooks</u> containing pertinent sampling or analytical calculations, observations, and old interpretations of results.	Destroy when analytical results are verified, accepted, and summarized, or when 5 years old, whichever is earlier. <u>NCI-430-76-9(3)</u>
d.	<u>Worksheets</u> , recorder charts, laboratory analysis requests, radio-autograph film, dosimeter data, and other interim records or devices used in determining the basic data from which results in item b, above, are obtained.	Destroy when analytical results are verified, accepted, and summarized, or when 5 years old, whichever is earlier. <u>NCI-430-76-9(3)</u>
e.	<u>Notebooks</u> of laboratory technicians and field inspectors concerned with earth sciences.	Destroy when analytical results are verified, accepted, and summarized, or when 5 years old, whichever is earlier. <u>NCI-430-76-9(3)</u>
f.	Data gathered to measure residual contamination of soil and ground water with long-lived radioactive or toxic substances at or near DOE sites.	Permanent. Offer to NARA when no longer needed by the Department. <u>NCI-430-76-9(3)</u>
g.	<u>Environmental Monitoring Reports</u> and topical reports defining the extent and levels of radioactive contamination in soil or real estate.	Permanent. Offer to NARA when no longer needed by the Department. <u>NCI-430-76-9(3)</u>
9.	<u>RADIOACTIVE WASTE DISPOSAL OR UNPLANNED DEPOSITION RECORDS.</u>	
a.	Regulations governing radioactive waste shipments and burials, including DOE orders, Federal regulations and guidelines, and other pertinent standards, guides, and procedures.	Permanent. Offer to National Archives when no longer needed. <u>NCI-430-76-9(6)</u>

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Records which indicate type of waste (solid, liquid, or gaseous), degree of radioactivity; and for solid waste: date of burial, volume buried, activity level, and storage location.	Permanent. Offer to National Archives when no longer needed. <u>NCI-430-76-9(6)</u>
c.	Miscellaneous worksheets, checklists, or other data sheets from which pertinent data has been transcribed to item b, above.	Destroy when purpose is served or when 1 year old, whichever is earlier. <u>NCI-430-76-9(6)</u>
d.	Unplanned deposition records (spills or leaks) or radioactivity.	Permanent. Offer to National Archives when no longer needed. <u>NCI-430-76-9(6)</u>
e.	Records of radioactive gaseous wastes discharged to atmosphere and radioactive liquid wastes discharged to surface ground or water.	Permanent. Offer to National Archives when no longer needed. <u>NCI-430-76-9(6)</u>
f.	Miscellaneous waste disposal records including transfers from operating building or between tanks, boiloff rates, and intank solidification information provided pertinent data have been transcribed to records which are retained.	Destroy when 1 year old. <u>NCI-430-76-9(6)</u>
10.	<u>BIOLOGICAL LABORATORY RECORDS</u> documenting programs under which data concerning the effect of radiation on animal and aquatic life are accumulated, evaluated, and reported.	
a.	<u>Researcher's Biology Notebooks</u> containing all notes pertinent to laboratory experiments, including observations and calculations, and all other data pertinent to the experiment, including discussions by the researcher and conclusions.	
(1)	Research notebooks deemed by the DOE, contractor, and the National Archives to have exceptional value because of the highly significant nature of the research involved or uniqueness of the research.	Permanent. Offer to NARA within 25 years. <u>NCI-430-76-4(1)</u>

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(2) All other notebooks.	Destroy when 15 years old. <u>NCI-430-76-4(1)</u>
b.	<u>Periodic Reports</u> relating to activity and progress prepared weekly, monthly, and annually from data recorded in biology notebooks described in item a, above.	Destroy when 6 years old. <u>NCI-430-76-4(1)</u>
c.	<u>Machine-Readable Data</u> taken from worksheets (see item n, below) pertaining to radiological analysis or beta analysis of animal or aquatic life, used for organization of data for entry in biology notebooks.	Retain until entered in biology notebook. <u>NCI-430-76-4(1)</u>
d.	<u>Necropsy Protocols</u> recording data collected during autopsies performed on animals, including pathologic diagnosis of various organs and glands. Provides source data for animal case histories (see item e, below) and is pertinent to the evaluation of experimental results.	Destroy when 15 years old. <u>NCI-430-76-4(1)</u>
e.	<u>Animal Case Histories</u> recording such facts as: data from lambing records, treatment records, genealogical records, gestation periods, lambing dates, numbers, sex, and weight that are important in the evaluation of experimental results and as a source of entries to biology notebooks.	Destroy when 20 years old. <u>NCI-430-76-4(1)</u>
f.	<u>Thyroid Count Records</u> consisting of tabulating cards listing data taken from animal thyroid count worksheets (see item n, below). Records provide source of data entered in biology notebooks.	Destroy when 15 years old. <u>NCI-430-76-4(1)</u>
g.	<u>Radio Analysis Sample Data</u> describing collected samples, counted samples, and listing the beta count, decay factor, analysis factor, and remarks. This record is useful to accumulate data for transferring to keypunch cards, and is useful during retention period for checking errors on such cards (related to item e, above).	Destroy when 2 years old. <u>NCI-430-76-4(g)</u>

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
h.	<u>Aquatic Biology Data Analysis</u> showing type of sample, location or source, counting information, laboratory correction factors, and related data.	Destroy when 2 years old. <u>II-NNA-1595(h)</u>
i.	<u>Decay Curve Data Sheets</u> used to identify and verify characteristics of radioactive samples tested under laboratory conditions.	Destroy when 2 years old. <u>II-NNA-1595(i)</u>
j.	<u>Absorption Curve Data Sheets</u> listing sample number, sample designation, data sampled and related facts, observed laboratory reactions, and corrected entries.	Destroy when 2 years old. <u>II-NNA-1595(j)</u>
k.	<u>Daily Counter Background Reports</u> listing counting instruments and summarizing all the background data recorded on radiation counters on a daily basis. Reports are transcribed to results of all requests for analysis, such as items g and h, above.	Destroy when 2 years old. <u>II-NNA-1595(k)</u>
l.	<u>Analytical Requests</u> describing samples for which laboratory analysis is desired, including results of the analysis and related facts pertinent to special or to alpha-beta-tritium counting requests. Information from this record is abstracted to biology notebooks (item a, above) for correlation and evaluation.	Destroy when 2 years old. <u>II-NNA-1595(l)</u>
m.	<u>Photomicrographic Requests</u> and requests for related photographic work, including instruction and justification.	Destroy when 2 years old. <u>II-NNA-1595(m)</u>
n.	<u>Laboratory Worksheets</u> recording data pertaining to animal birth records, animal weight, animal treatment, habit patterns, thyroid counts, and related data compiled in animal case histories and useful in evaluation of experimental results.	Destroy when 5 years old. <u>NCI-430-76-4(n)</u>
o.	<u>Animal Tissue Preparation Request</u> listing tissues to be prepared, fix to be used in laboratory, thickness of section, stain to be used, special instructions, and schedule of completion.	Destroy when 2 years old. <u>II-NNA-1595(o)</u>

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	p. <u>Radiation Counter Control Data</u> used to maintain correct operating conditions for radiation detection instruments.	Destroy when 1 year old. <u>II-NNA-1595(p)</u>
	q. <u>Radiation Counter Plateaus</u> listing equipment number, tube number, date, time, mica window thickness, voltage, lights and total counts; used to determine and list the operating condition of radiation counters.	Destroy when 1 year old. <u>II-NNA-1595(q)</u>
	r. <u>Source Data Card Files</u> used to check accuracy of radiation counters against the known calibration standards published by the U.S. Bureau of Standards.	Destroy when 1 year old. <u>II-NNA-1595</u>
11.	<u>PERSONAL INJURY FILES.</u> Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.	<u>Reserved</u>
12.	<u>SYNOPTIC METEOROLOGY RECORDS</u> accumulated to evaluate, interpret, and determine meteorological and climatological conditions bearing on engineering and contamination problems.	<u>II-NNA-2144</u> <u>(ALL)</u>
	a. <u>Wind logs</u> recording wind speed and direction at hourly intervals and at various levels.	Destroy when 10 years old.
	b. <u>Summary sheets</u> recording actual and average wind speeds and direction.	Destroy when 10 years old.
	c. <u>Reports of Synoptic Wind Observations</u> listing wind velocities and direction at every half hour intervals in each project area.	Destroy when 10 years old.
	d. <u>Soil and Air Temperature Logs</u> , recording temperatures at every half hour intervals at various levels below and above surface.	Destroy when 10 years old.

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS.</u>	<u>AUTHORIZED DISPOSITION</u>
e.	<u>Solar Radiation Logs</u> recording hourly averages and daily totals of solar radiation, direct and indirect, received on a horizontal surface.	Destroy when 10 years old.
f.	<u>Psychometric Computations</u> figured from wet and dry bulb readings, dew point, relative humidity, and adjustment figures taken from other records.	Destroy when 10 years old.
g.	<u>Pressure Logs</u> listing hourly barograph readings and corrections, station pressures, and temperatures.	Destroy when 10 years old.
h.	<u>Surface Weather Observation Data</u> listing sky and ceiling; visibility; sea level pressure; temperature; dew point; direction, speed, and character of winds, and total sky cover.	Destroy when 10 years old.
i.	<u>Summary Records</u> concerning pressure, sky cover, humidity, frost, fog, and miscellaneous weather phenomena, including data and readings on frontal passage and chinook inversions.	Destroy when 10 years old.
j.	<u>Precipitation Measurements</u> and summaries, listing water in rain gauge, snow, sleet or ice on the ground, water equivalent, and unmelted amounts, together with observer's remarks.	Destroy when 10 years old.
k.	<u>Meteorological Recorder Charts</u> recording velocity and direction, temperature, solar radiation, thermograph and hydrograph readings, and atmospheric pressure over 24-hour periods.	Destroy when 5 years old.
l.	<u>Pilot Balloon</u> ascension reports, indicating elevation of balloon at minute intervals, azimuth, distance, speed, temperature, and observer's remarks.	Destroy when 2 years old.

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS.</u>	<u>AUTHORIZED DISPOSITION</u>
m.	<u>Weather Maps and Charts</u> on which are plotted weather information received by teletype, including pseudoadiabatic charts, U.S.W.B. plotting charts, U.S.W.B. plotting charts, and upper air charts.	Destroy when 2 years old.
n.	<u>Background Recording Charts</u> and monitor logs measuring miscellaneous background readings of air contamination.	Destroy when 1 year old.

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DOE RECORDS SCHEDULE 2
INDUSTRIAL FACILITY RECORDS

This schedule covers records pertaining to the management and operation of DOE industrial facilities. Such facilities include, but are not restricted to, Naval, test, and production reactors; production facilities; laboratories; and separation plants.

The records consist of a wide variety of facility management records such as progress, production, and status reports; quality control data files; equipment history and control records; special material accountability files; and product output summaries.

Records accumulated in the operation of the facility would include such documents as logbooks; instrument monitoring charts; industrial X-rays and radiographs; equipment inspection and servicing records; work permits; and many other documents that are generated in the operation, monitoring, production, and maintenance of the plant and its equipment.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| 1. <u>MANAGEMENT OF PRODUCTION RECORDS.</u> Production control files developed in coordinating work programs in the production of components and equipment, consisting of minutes of meetings of production personnel to work out production schedules and to adjust difficulties arising in production program. | Destroy 2 years after completion of individual production program.
<u>II NNA-1837</u> |
| 2. <u>WORK PERMIT (WORK ORDERS) RECORDS.</u> | |
| a. Log sheets pertaining to special work permits in operating activities, together with work order reason sheets. | Destroy when 1 year old.
<u>II NNA-2257(19)</u> |
| b. Work permits authorizing electrical work in processing plants, including related switching instructions. | Destroy 1 year after completion of work.
<u>II NNA-1598(4)</u> |
| c. Photographer's work permits, reflecting data regarding instruction in safety rules, use of safety equipment and protective clothing, and accompaniment in hazardous areas. | Destroy when 1 year old.
<u>II NNA-2984(5)</u> |

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>PROGRESS REPORTS.</u>	
a.	Progress reports of production departments and product testing laboratories.	
(1)	Weekly reports covering progress in substantive work program.	Destroy when 5 years old. <u>II NNA-1941(1A)</u>
(2)	Weekly reports covering administrative housekeeping matters.	Destroy when 2 years or old. <u>II NNA-1941(1B)</u>
(3)	Daily output reports.	Destroy when 1 year old. <u>II NNA-1941(1C)</u>
b.	Administrative, progress, production, and quality control reports and records, providing detail and summary data pertaining to production and quality of products such as cost; recovery; alloy variables; quantity of items produced, inspected, accepted, or rejected; and related information, exclusive of management production reports and monthly quality control progress reports.	Destroy when 1 year old. <u>II NNA-2838(1)</u>
4.	<u>PRODUCT MANAGEMENT RECORDS.</u>	
a.	<u>Project History Files</u> consisting of records accumulated during the course of specific production projects, such as laboratory sample reports, film slides, graphs, drawings, and related papers and correspondence.	Destroy when 5 years old. <u>II NNA-1941(2)</u>
b.	<u>Run Books</u> providing process history of product through series of fabrication phases.	Retain until finished product is transferred to DOE. <u>II NNA-2536(2)</u>
c.	<u>Deviation Files</u> consisting of records approving and accepting or rejecting products which deviate from drawings, or specifications, together with revised drawings or specifications, serving as basis for inspection, reacceptance, and reconversion of material.	Destroy 10 years after date of issue. <u>II NNA-2064</u>

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
d.	<u>Quality Control Records.</u>	
(1)	Technical data files consisting of reports records documenting the quality characteristics of each product produced, and providing detailed information pertaining to composition, casting extrusion, machining, canning, testing, and inspections.	Destroy when 5 years and old. <u>II NNA-2838(3)</u>
(2)	Data reflecting impurities of product metal rolled at specified temperatures.	Destroy when 2 years old. <u>II NNA-1527(2)</u>
(3)	Lot fabrication and inspection records developed in quality control activities at material processing plants, of reference value only during short life of metal slug product.	Destroy when 1 year old. <u>II NNA-2536(1)</u>
e.	<u>X-Ray Film.</u> Industrial inspection X-ray files, consisting of X-ray film made to determine physical status of products utilized in operating plants, exclusive of radiographs of equipment and materials used in nuclear systems (see item 7b).	Destroy when 1 year old. <u>II NNA-675(4)</u>
f.	<u>Seal Files.</u> Seal status report files consisting of daily and weekly summaries showing numbers of seals built each day; type of seal; and number transferred, issued, or used in processing operation.	Destroy when 1 year old. <u>II NNA-1554(5)</u>
5.	<u>INDUSTRIAL METHODS RECORDS.</u>	
a.	<u>Procedures</u> of operating activities covering phases of operation and consisting of calibration books and makeup sheets.	Destroy when superseded. <u>II NNA-2257(13)</u>
b.	<u>Process Work Reports</u> pertaining to improvements in handling, operating, processing, and material quality.	Destroy when 3 years old. <u>II NNA-2260(2A)</u>

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	<u>Work Simplification Records</u> consisting of case files containing detailed descriptions of plans for simplification of work or improvement in nonprocess operation.	Destroy when 2 years old. <u>II NNA-2252(1)</u>
d.	<u>Industrial Engineering Reports</u> pertaining to potential cost reductions or improvements in nonprocess work or separation operations.	Destroy 1 year after proposal is adopted or rejected. <u>II NNA-2252(2)</u>
e.	<u>Sampling Checklists</u> made out by supervisors observing sampling techniques of operators taking process samples, to determine compliance with established procedures.	Destroy when 1 year old. <u>II NNA-962(4)</u>
6.	<u>PRODUCTION EQUIPMENT INVENTORY CONTROL RECORDS.</u>	
a.	<u>Production Equipment Inventory Listings.</u>	Destroy when 2 years old. <u>II NNA-310(7)</u>
b.	<u>Reserved</u>	
c.	<u>Reserved</u>	
7.	<u>EQUIPMENT MAINTENANCE RECORDS.</u> Maintenance records include testing, inspection, servicing, and repair records.	
a.	<u>Life of the Equipment Records.</u> Service life of the equipment history and radiograph records.	
(1)	Seal history sheets and related logbooks reflecting work performed on specific seal from time of installation until seal is not longer used, together with test sheet data reflecting facts concerning test made on individual seals.	Destroy 1 year after seal is removed from service. <u>II NNA-1554(2&4)</u>
(2)	Pump history files consisting of maintenance records, including descriptions of repair work performed and material used from installation of pump until its removal from service.	Destroy 1 year after pump is removed from service. <u>II NNA-1554(3)</u>

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(3) Radiographs of reactor system welds, including coolant systems, and reactor vessels.	Destroy when equipment is removed from service. <u>NN 170-57(1)</u>
b.	<u>Monitored Equipment Records</u> . Inspection, service, maintenance, and repair records reflecting unresolved monitored problems.	Reserved.
c.	<u>Equipment Records</u> . Inspection, service, maintenance, and repair records reflecting performance.	
	(1) Pressure vessel inspection reports reflecting data concerning periodic hydrostatic tests of pressure vessels, and serving as checklists to assure compliance with specified test intervals.	Destroy after subsequent test of vessel concerned. <u>II NNA-2808(2)</u>
	(2) Gamma distribution files consisting of recorded calculations of expected gamma ray activity in reactor shields, based upon measurement data taken experimentally.	Destroy when 3 years old. <u>II NNA-1527(3)</u>
	(3) Reports of preliminary tests of equipment systems in production plants indicating readiness for operations.	Destroy 3 years after action. <u>II NNA-2143</u>
	(4) Routine monitoring records of inspection, maintenance, or repair which reflect satisfactory performance.	
(a)	Logs or supporting records recording equipment test results for:	Destroy when 1 year old.
	1. Converter status (daily reports);	<u>II NNA-1554(10)</u>
	2. Cylinder pipe leaks;	<u>II NNA-1554(9)</u>
	3. Individual tube (gamma tests);	<u>II NNA-1554(11)</u>
	4. Valves;	<u>II NNA-1554(8)</u>

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	5. Valve equipment; and	<u>II NNA-1554(8)</u>
	6. Industrial inspection X-ray files consisting of X-ray film, to determine status of equipment used in operating plants. (See radiographs of reactor system welds in item 7b(3), above.)	<u>II NNA-675(4)</u>
	(b) Operators' reports of equipment failure, reflecting equipment data, failure characteristics, and circumstances leading up to interruption of operations.	Destroy when 1 year old. <u>II NNA-1601(5)</u>
8.	<u>REACTOR OPERATIONS RECORDS</u> reflecting equipment-operations data. (See operators' reports of equipment failure, item 7d(4)(b), above.)	
	a. Control room logs recording operating conditions and procedures on each shift.	Destroy when 6 years old. <u>II NNA-3002(1)</u>
	b. Shift supervisors' logbooks recording significant incidents and actions taken.	Destroy when 6 years old. <u>II NNA-3002(2)</u>
	c. Daily operations summary reports.	Destroy when 6 years old. <u>II NNA-3002(3)</u>
	d. Reactor Temperature Control Records.	
	(1) Graphite data sheets listing graphite temperature inside reactors.	Destroy when 5 years old. <u>II NNA-2088(2A)</u>
	(2) Temperature and flow maps reflecting reactor power levels and providing outlet water temperatures and flow data of reactor tubes.	Destroy when 3 years old or until expended core examinations have been completed and final inspection reports issued, whichever is later. <u>NN 170-57(3)</u>

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	(3) Temperature cards and tapes recording at set levels the temperature readings of individual tubes in reactors.	Destroy when 3 years old. <u>II NNA-1527(1)</u>
e.	Source records used to accumulate information summarized in items a through e, above, including checklists and logs reflecting source data recorded in connection with the operation of various reactor and associated equipment.	Production reactors, destroy 1 year after FY involved. All other reactors, destroy when 3 years old. <u>NN 170-57(5)</u>
f.	Generator sheet files recording operating characteristics of fluorine or other generators, reflecting such data as voltages, temperatures, pressures, and weights.	Destroy when 2 years old. <u>II NNA-1521(5)</u>
g.	Reserved	
h.	Recorder charts which record temperature, pressure, flow, power fluctuation, and other data in connection with testing and control operations, exclusive of radiation detection charts; provided pertinent data is transcribed to logbooks, reports, or other records.	Destroy when 1 month old. <u>NN 163-145</u>
9.	<u>MATERIALS PROCESSING RECORDS.</u>	
a.	<u>Control Records Pertaining to Work Performed in Analytical Laboratories.</u>	<u>II NNA-2256</u>
(1)	Laboratory manuals, standards, and procedures.	Destroy when superseded. <u>II NNA-2256(1)</u>
(2)	Laboratory logbooks describing analyses daily activities of the laboratory.	Destroy when 5 years and old. <u>II NNA-2256(2)</u>
(3)	Sample receiving logs.	Destroy when 2 years old. <u>II NNA-2256(3)</u>
(4)	Special nuclear material accountability logs, provided official accountability record is retained.	Destroy when 2 years old. <u>II NNA-2256(4)</u>

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
(5)	Spectrograph film logs supporting analysis work.	Destroy when 2 years old. <u>II NNA-2256(6)</u>
(6)	Spectral slides used in spectrographic analysis of samples.	Destroy when 1 year old.
(7)	Analysis requests.	Destroy when 1 year old. <u>II NNA-2256(7)</u>
(8)	Analytical assay records listing results of analysis, provided pertinent data are retained in other records.	Destroy when 1 year old. <u>II NNA-2256(8)</u>
(9)	Quality control monthly reports.	Destroy when 1 year old. <u>II NNA-2256(9)</u>
(10)	Supervisor's shift logbooks.	Destroy when 1 year old. <u>II NNA-2256(10)</u>
(11)	Essential materials analysis reports.	Destroy when 1 year old. <u>II NNA-2256(11)</u>
(12)	Investigations of high hand scores, provided significant data pertaining to individuals are retained in other records.	Destroy when 1 year old. <u>II NNA-2256(12)</u>
(13)	Comparative analysis logs pertaining to samples analyzed by two different methods for the same test.	Destroy when 1 year old. <u>II NNA-2256(13)</u>
(14)	Daily sample report.	Destroy when 1 year old. <u>II NNA-2256(14)</u>
b.	<u>Analytical Logbooks</u> recording analyses of samples in separation operations activities for quality control purposes.	Destroy when 3 years old. <u>II NNA-2258(1)</u>
c.	<u>Sample Analysis Data</u> accumulated by work laboratories in production materials for quality or other control purposes.	Destroy when 2 years old. <u>II NNA-2063</u>

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DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
d.	<u>Batch Information</u> consisting of technical, analytical, or statistical data pertinent to chemical makeup or process batches, provided information pertinent to product history is transcribed to records which are retained.	Destroy when 1 year old. <u>II NNA-1521(2)</u>
e.	<u>Sample Reports</u> on chemical solutions, used for control of process variables.	Destroy when 1 year old. <u>II NNA-2258(10)</u>
f.	<u>Process Transfer Records</u> of metals, solids, or solutions used for operational control purposes.	Destroy when 1 year old. <u>II NNA-2258</u>
g.	<u>Slug Storage Records.</u> Slug storage basin records listing quantities and types of slugs awaiting processing.	Destroy when 1 year old. <u>II NNA-2258(9)</u>
h.	<u>Sample History Sheets</u> recording history of uranium sample.	Destroy when 1 year old. <u>II NNA-1554(12)</u>
10.	<u>BARRIER RECORDS.</u>	
a.	<u>Barrier Retubing Inventories</u> consisting of reports compiled daily showing amount of barrier material received and transferred, usage made, amount on hand, and scrap inventory of broken or rejected tubes.	Destroy when 2 years old. <u>II NNA-1554(6)</u>
b.	<u>Inventory and Transfer Files</u> serving as accountability records for barrier materials.	Destroy when 1 year old. <u>II NNA-1554(13)</u>
c.	<u>Barrier Progress and Usage Reports Files</u> pertaining to maintenance of barrier material in processing operations, reflecting type, length, and number of barrier tubes installed; number broken and rejected; and the number of plugs in each converter.	Destroy when 1 year old. <u>II NNA-1554(7)</u>
11.	<u>SPECIAL RESEARCH AND REACTOR MATERIALS ALLOCATIONS FILES</u> consisting of records concerning estimated requirement of Beryllium, Zirconium, Hafnium, Heavy Water, and Graphite.	

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
a.	<u>Files of offices with authority to make allocations, together with related correspondence.</u>	Destroy when 3 years old. <u>II NNA-1735(3A)</u>
b.	<u>Files of operations offices, consisting of estimates submitted by contractors projecting special material needs over a 3 year period.</u>	Destroy when 2 years old. <u>II NNA-1735(3B)</u>
c.	<u>Files of requesting agencies, consisting of retained copies of Form AEC-272, "Special Materials Allocation Request and Projected Requirement Information," or equivalent form, together with pertinent correspondence.</u>	Destroy when 2 years old. <u>II NNA-1735(3C)</u>
d.	<u>Files of approved allocations in area offices which handle the supplying of special materials.</u>	Destroy when 2 years old. <u>II NNA-1735(3D)</u>
e.	<u>Essential Material Reports of operating activities, showing beginning and ending inventories, receipts, disbursements, and consumption.</u>	Destroy when 5 years old. <u>II NNA-2257(9)</u>
f.	<u>Accountability Reports showing uranium transfer between operating activities for ready reference by supervisors. (This data is also recorded in morning reports and log books which are retained indefinitely.)</u>	Destroy when 1 year old. <u>II NNA-2257(15)</u>
g.	<u>Essential (non-SS) Materials Accountability Files documenting the receipt, transfer, and shipment of essential materials (other than SF materials) and consisting of worksheets, inventories, ledgers, reports, and other source records providing detail for reconciliations and accounting audits.</u>	Destroy when 2 years old. <u>II NNA-2838(2)</u>
h.	<u>SS Material Accountability and Transfer Files (inter and intraplant transfers) consisting of records utilized within an SS station to account for transfers from one unit to another within plant or facility or between such plants.</u>	Destroy when 1 year old providing Departmental audit has been completed. <u>NN 165-90</u>

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
i.	<u>Daily Line Operations Reports.</u> Reports or logs prepared daily primarily for line operations including operating and maintenance information, shift and status, essential material and chemical tank inventories, and technical, analytical, or statistical data pertinent to chemical or process materials or solutions.	Destroy when 1 year old. <u>II NNA-962(3)</u>
j.	<u>Feed and Waste Reports Files</u> consisting of records which reflect physical inventory of material on hand at beginning of each day, depleted feeds, waste withdrawals, and other processing data used in measuring daily performance and to assist in locating foreign material.	Destroy when 5 years old. <u>II NNA-1598(2)</u>
k.	<u>Product Withdrawal Sheets</u> reflecting gross, tare, and net weights of product withdrawn from each cylinder in processing plants.	Destroy when 2 years old. <u>NN 170-21</u>
l.	<u>SS Material Shipping Form Files</u> consisting of DOE/NRC Form 741 or equivalent, used in the transfer of source and special nuclear materials or other materials controlled by the SS materials accountability system.	
	(1) Copies filed in DOE offices	Destroy when 3 years old. <u>II NNA-3225(1)</u>
	(2) Copies filed in shipping and receiving contractor installations.	Destroy after audit by DOE accountability survey teams.
m.	<u>Reports of Shipper-Receiver Measurement Differences</u> filed in shipping and receiving installations, pertaining to transfers of SS material between installations under the same or under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences.	<u>II NNA-1735(7)</u>

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
(1)	Copies forwarded to staff division administering SF accountability system.	Destroy when 3 years old.
(2)	Copies filed in operations offices and in shipping and receiving installations.	Destroy when 2 years old.

DOE RECORDS SCHEDULE 3

NUCLEAR WEAPON RECORDS

This schedule covers nuclear weapon records and reports for design agencies (laboratory facilities) and production agencies (manufacturing facilities). Files consist of design and production drawings for weapons, components, and related equipment. Included in this schedule are records reflecting data concerning testing, inspection, assembly, quality assurance, and production.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. DRAWING SYSTEM RECORDS.

NCI 430-78-2
(ALL)

a. Design Drawings for weapon components, assemblies, and ancillary equipment.

(1) Latest issue.

Retain until superseded.

(2) Superseded issues.

Destroy 6 months after retirement of the weapon system from stockpile. Record copies are retained by the design agency from which drawings for a representative sample of weapons are to be offered to the National Archives as permanent records. Upon acceptance destroy remaining drawings.

b. Production Fabrication Drawings for weapon components, assemblies, and ancillary equipment.

Destroy 6 months after retirement of the weapon system from stockpile.

c. Production Tool and Gage Drawings.

Destroy 6 months after retirement of the weapon system from stockpile.

DOE RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	d. <u>Acceptance Equipment Drawings.</u> (Record copy maintained by design or production agency assigning drawing numbers.)	Destroy 6 months after retirement of the weapon system from stock pile.
	e. <u>Engineering Releases</u> which change the product definition permanently or for specific units of weapon material, ancillary, or acceptance equipment. (Record copy maintained by design agency.)	Destroy 6 months after retirement of the weapon system from stock pile.
2.	<u>TEST AND INSPECTION DATA AND ANALYSIS RECORDS.</u>	
	a. Evaluation, quality control, process, and inspection data required by the design agency in the Drawing System and sent to the design agency. (Record copy maintained by design agency.)	Destroy 6 months after retirement of the weapon system from stock pile.
	b. Evaluation, quality control, process, and inspection data required by the design agency in the Drawing System generated and retained by the production agency. (Record copy maintained by design agency.)	Destroy 6 months after retirement of the weapon system from stock pile.
	c. Production bulk raw material records.	Destroy when 5 years old.
3.	<u>WEAPON ASSEMBLY AND DISASSEMBLY RECORDS</u> required by the design agency. (Record copy maintained by design agency.)	Destroy 6 months after retirement of the weapon system from stock pile.
4.	<u>QUALITY ASSURANCE RECORDS.</u>	
	a. <u>Weapons Test and Inspection Data</u> , e.g., New Material Laboratory Test data, and Stockpile Laboratory Test data. (Record copy maintained by design or production agency performing test or inspection.)	Destroy 6 months after retirement of the weapon system from stock pile.
	b. <u>Quality Audit Reports</u> and related corrective action recommendation reports. (Record copy maintained by auditing agency.)	Destroy when 3 years old.

DOE RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	c. <u>Certificates of Inspection.</u> (Record copy maintained by DOE Quality Assurance Inspection Agency.)	Destroy when 3 years old.
5.	<u>REPORTS.</u>	
	a. Design or production agency audit reports and related corrective action recommendation reports.	Destroy when 3 years old.
	b. Weapon information reports prepared by the military to report the results of inspection, modification, alteration, or component changes on major assemblies. (Record copy maintained by design agency.)	Destroy 6 months after retirement of the weapon system from stock pile.
6.	<u>MAJOR ASSEMBLY RELEASES</u> prepared to establish the stockpile status of weapon material. (Record copy maintained by design agency.)	Destroy 6 months after retirement of the weapon system from stock pile.

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DOE RECORDS SCHEDULE 4

FACILITY RECORDS

This schedule applies to those records accumulated by contractor offices in the management, maintenance, and general upkeep of facilities such as buildings, structures, plants, laboratories, utilities, and houses, exclusive of design and construction drawings and related records covered by DOERS 14 and those Industrial Facility Records covered by DOERS 2. This schedule includes records documenting maintenance and repair of fixture-type equipment such as boilers, heating and ventilating systems, and equipment requiring the use of design and construction drawings to make repairs. (For other equipment see DOERS 6).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>FACILITY INVENTORY RECORDS.</u> Files accumulated by contractors acting as agents for DOE in connection with the execution of leases for the operation of commercial or other facilities, or other uses of Government property under lease.	
	a. <u>Inventory Lists.</u>	Destroy 6 years after close of fiscal year in which inventory is superseded. <u>II NNA-2067(1)</u>
	b. <u>Reserved</u>	
	c. <u>Reserved</u>	
2.	<u>FACILITY MAINTENANCE RECORDS,</u> including inspection, servicing, and repair records.	
	a. <u>Reserved</u>	
	b. <u>Reserved</u>	
	(1) <u>Reserved</u>	
	(2) <u>Reserved</u>	
	(a) <u>Boilers, electric motors, and unfired pressure vessels.</u>	Destroy after 5 years. <u>NC 430-76-2</u>
	(b) <u>Others.</u>	Destroy 3 fiscal years after close of fiscal year in which work is done. <u>NN 167-124</u>

DOE RECORDS SCHEDULE 4

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
3.	<u>MANAGEMENT RECORDS.</u>	
a.	<u>Reserved</u>	
b.	<u>Power and Utility Plant Operational Source Records, including checklists, logs, inspection sheets, and other forms and records used to record the procedural steps followed by the operators; and instrument recorder charts, tapes, and graphs reflecting source data recorded in connection with the operation of various power and utility equipment.</u>	Destroy after 3 months. <u>NN 167-124</u>

DOE RECORDS SCHEDULE 5
SPECIAL MATERIALS ACCOUNTABILITY RECORDS

DOE special materials accountability records pertain to documentation involved in the allocation and transfer of nuclear material. Transfer of special nuclear material, DOE-owned source material, and certain other DOE-owned material transferred within the United States or between the United States and foreign entities is controlled. Records included in this schedule cover material transfer, reporting, inspections, requests for material, allotments, and allocations.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>REQUEST FOR MATERIALS.</u> Requests for special, source, and fissionable materials: files maintained by accountability stations to authorize and control the use of these materials under the allotment system, and in accounting for transfers.	Destroy when 4 years old. <u>II NNA-1735(2)</u>
2.	<u>MATERIALS ALLOTMENT FILES.</u> Source and special (SS) nuclear materials allotment files: Records documenting requests for annual allotments and special allotments of source and special nuclear materials, and actions taken by higher authority in concurring with or amending estimated requirements, and in establishing allotments. a. Reserved b. Files of operations offices pertaining to each organization requesting source and special nuclear materials; and consolidated requests for allotments, together with related correspondence.	Destroy when 2 years old. <u>II NNA-1735(1B)</u>
3.	<u>MATERIALS ALLOCATION FILES.</u> Special research and reactor materials allocation files consisting of records concerning estimated requirements of beryllium, zirconium, hafnium, heavy water, and graphite. a. Files of offices with authority to make allocations, together with related old correspondence. b. Files of operations offices consisting of estimates submitted by contractors projecting special material needs over a 3-year period.	Destroy when 3 years old. <u>II NNA-1735(3A)</u> Destroy when 2 years old. <u>II NNA-1735(3B)</u>

DOE RECORDS SCHEDULE 5

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
c.	Files of approved allocations in area offices which handle the supplying of special materials.	Destroy when 2 years old. <u>II NNA-1735(3D)</u>
4.	<u>ACCOUNTABILITY REPORTS.</u> Source and special nuclear materials balance and accountability reports files consisting of periodic reports and related documents compiled and submitted by contractors, lessees, and DOE field offices, and including the files of the staff division responsible for administration of the SS Material Accountability System.	
a.	Report files of the staff division administering the accountability system.	
	(1) June 30, and December 31, reports.	Destroy when 25 years old. <u>NN 167-78(1A)</u>
	(2) All others.	Destroy when 5 years old. <u>NN 167-78(1A)</u>
b.	Report files of Materials Leasing Office, including related correspondence.	
	(1) June 30, and December 31, reports submitted lessees.	Destroy when 25 years by old. <u>NN 166-78</u>
	(2) All others.	Destroy when 5 years old. <u>NN 166-78</u>
c.	Report files of field offices, including related correspondence.	Destroy when 4 years old. <u>NN 166-78</u>
5.	<u>REPORTS OF APPARENT LOSSES</u> of source or nuclear material (losses as defined by directives issued in the 5630 series).	
a.	Cases which are of widespread public, governmental, or congressional interest, subject to review every 10 years to verify that reports should remain in that category.	Permanent. Offer to National Archives when 25 years old. <u>NC 430-76-3(5A)</u>

DOE RECORDS SCHEDULE 5

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
	b. Others, subject to review every 10 years to ascertain that report still represents an apparent loss.	Destroy when 25 years old. <u>NC 430-76-3(5B)</u>
6.	<u>REPORTS OF SHIPPER-RECEIVER MEASUREMENT DIFFERENCES</u> pertaining to transfers of SS material between installations under the same operations office and under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences.	
	a. Copies forwarded to staff office administering SS accountability system.	Destroy when 3 years old. <u>II NNA-1735(7A)</u>
	b. Copies filed in operations offices and in shipping and receiving installations.	Destroy when 2 years old. <u>II NNA-1735(7B)</u>
7.	<u>SS TRANSFER JOURNALS</u> maintained by accountability stations as a continuing control record of contractors' inventories, to which are posted receipts and shipments of SS materials.	Destroy 3 years after date of last entry. <u>II NNA-1735(4)</u>
8.	<u>SS MATERIAL TRANSFER FILES</u> (inter and intraplant transfers) consisting of records utilized to account for transfers from one unit to another within production plants or facilities, or between such plants.	Destroy after 1 year, providing DOE audit has been completed. <u>NN 165-90</u>
9.	<u>SS MATERIAL SHIPPING FORM FILES</u> consisting of DOE/NRC F 741 or equivalent, used in the transfer of source and special nuclear materials, or other material controlled by the SS materials accountability system.	
	a. Copies filed in DOE offices.	Destroy when 3 years old. <u>II NN-3225</u>
	b. Copies filed in shipping and receiving contractor installations.	Destroy after audit by DOE accountability survey team. <u>II NN-3225</u>

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DOE RECORDS SCHEDULE 6

EQUIPMENT CONTROL, MAINTENANCE, AND OPERATION RECORDS

Records described in this schedule are those generally maintained by property and plant management personnel fulfilling their responsibility for the management, control, accountability, maintenance, and operation of mobile or stationary equipment and personal property. Fixture-type equipment requiring use of design and construction drawings for repair and maintenance is covered by Facility Records (DOERS 4). This schedule covers personal property, equipment, machinery, machine tools, vehicles, office equipment, accessory and auxiliary items, and spare parts, exclusive of motor vehicles (GRS 10) and Industrial Facility Records (DOERS 2). Equipment records may complement or supplement procurement and supply records and accounting records.

Records may be segregated into groups by equipment kind, type, purpose, use, location, valuation, or other assigned category, e.g., plant, office, supplier-owned, personal-use, tool receipts, loaned property, borrowed property, and controlled-use equipment. Records may be either as brief or as detailed as is required to efficiently manage equipment consistent with its value, usage, or servicing requirements. In some instance, copies of a primary control record are used for additional secondary record or indexing purposes, e.g., a duplicate equipment inventory card is filed by name of accountable employee.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. EQUIPMENT HISTORY FILES. Records which document receipt, use, and disposition of equipment items, including manufacturer's statement of origin, equipment repair estimates, repair orders and billings, inspection reports, move orders, and any other records effecting or reflecting alterations of status of equipment, including reference notes to excess or salvage records when such action is taken.

Dispose 5 years after disposal or clearance of equipment from project.

II NNA-716A(3)

d. Property Transfer Files documenting accountability transfers of property and equipment.

(1) Copy in property accountability office.

Destroy when 4 years old. II NNA-845

(2) Copy in offices transferring property.

Destroy when 1 year old. II NNA-845

2. EQUIPMENT UTILIZATION REPORT FILES. Records accumulated in the control of issuance and use of equipment, providing basic data for projecting equipment needs on project, showing classification of equipment, scheduled and actual hours of operation, hours idle, and pertinent remarks.

Destroy when 5 years old. II NNA-716(2)

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DOE RECORDS SCHEDULE 7

LEGAL RECORDS

Legal records include the files created in the provision of legal services to the Department. Legal services protect the legal and financial rights of the Government, the Department of Energy, and persons directly affected by the Department's activities. The records retention standards in this schedule include patent records, litigation files, and true copy certifications. This schedule does not apply to cases which an action, in negotiation, or under prosecution.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>INVENTION DOCKETS</u> containing copy of invention disclosure and pertinent correspondence on inactive cases, abandoned applications, and closed items.	Destroy when 30 years old. <u>NN 169-84(1B)</u>
2.	<u>U.S. PATENT APPLICATION</u> case files containing record of invention disclosure, record of invention, draft of patent application with inventor's notes, copy of patent application as filed in Patent Office, pertinent correspondence, amendments, reports, and references on issued patents domestic and foreign. a. Issued patents (domestic and foreign).	Destroy when 25 years old. <u>NN 169-84(2B)</u>
3.	<u>PATENT CONTRACTS</u> subcontracts, and purchase orders containing miscellaneous correspondence and related papers pertaining to negotiation of contract patent provisions, inventions or discoveries conceived under contract, reports and papers reviewed for patent clearance, and patent clearance of terminated contracts on cleared purchase orders, both prime and subcontract.	Destroy when 10 years old. <u>NN 169-84(3C)</u>
4.	<u>PATENT LICENSING RECORDS</u> containing license agreements and assignments in U.S. patents and pertinent correspondence regarding execution of license agreements and royalty payments.	Destroy 25 years after issuance of the patent. <u>NN 169-84(4)</u>
5.	<u>EMPLOYEE PATENT AGREEMENT FORMS</u> (DOE Form GC 203) "Agreement Covering Discoveries, Inventions, and Improvements," signed by all employees at time of employment.	Destroy when 56 years old. <u>NN 169-84(5)</u>

DOE RECORDS SCHEDULE 7

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
6.	<u>DOCKET FILES (PATENTS)</u> containing findings, determinations, and statements of reason, decisions, backup material, and correspondence with the Patent Compensation Board, U.S. Court of Appeals and U.S. Court of Claims.	
	a. Headquarters.	Destroy when 25 years old. <u>NN 169-84(6A)</u>
	b. Field elements.	Destroy when 10 years old. <u>NN 169-84(6B)</u>
7.	<u>PATENT INFRINGEMENT FILES</u> containing copies of patents which have been or possibly might be infringed; pertinent correspondence regarding use of patented process, device, or material; copies of purchase orders and other backup material; Court of Claims petitions and actions.	
	a. DOE Headquarters.	Destroy when 30 years old. <u>NN 169-84(7A)</u>
	b. Field elements and contractors.	Destroy 5 years after final action. <u>NN 169-84(7B)</u>
8.	<u>REPORTS OR PATENT APPLICATIONS DISCLOSING INVENTIONS/ DISCOVERIES USEFUL IN THE PRODUCTION OR USE OF SPECIAL NUCLEAR MATERIAL OR ATOMIC ENERGY, AND/OR RELATED CORRESPONDENCE REFERRED FOR REVIEW UNDER SECTIONS 151 AND 152 OF THE ATOMIC ENERGY ACT OF 1954, AS AMENDED.</u>	
	a. Section 151(c) Reports--Complete descriptions of inventions or discoveries useful in the production or use of special nuclear material or atomic energy. Required to be filed with DOE by the inventors/discoverers within 180 days of invention/discovery, unless otherwise described in applications for patent filed with the Commissioner of Patents within the required time (refer to item 8b below).	Destroy 25 years after date of last action. <u>NN 169-84(8)</u>

Vertical line denotes change.

DOE RECORDS SCHEDULE 7

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
b.	Section 151(d) Patent Applications--Applications referred to DOE from the Commissioner, U.S. Patent and Trademark Office disclosing inventions/discoveries required to be reported to DOE under section 151(c).	Destroy 25 years after date of last action. <u>NCI-434-83-3(1B)</u>
c.	Section 152 Patent Applications (Correspondence Only)--Applications in condition for allowance which disclose inventions/discoveries referred to DOE from the Commissioner, U.S. Patent and Trademark Office, to determine if the inventions/discoveries were made or conceived under any contract, subcontract, or arrangement with DOE.	Destroy 25 years after Section 152 statutory period expires. <u>NCI 434-83-3(1C)</u>
9.	<u>LITIGATION FILES</u> reflecting all aspects of DOE or contractor litigation proceedings and documenting the General Counsel actions taken in protecting the interest of DOE and the Federal Government. Records consist of general reports, investigation reports, analyses, recommendations, and copies of contractual records.	
a.	Significant case files determined by DOE to have had a significant effect on a statute, regulation, or rule.	Permanent. Offer to National Archives 25 years after close of case. <u>NCI 430-78-1(1A)</u>
b.	Intense public interest cases determined by DOE to have attracted the interest of a Congressional Committee, the Executive Office of the President, or national media.	Permanent. Offer to National Archives 25 years after close of case. <u>NCI 430-78-1(1B)</u>
c.	Cases reviewed by the Supreme Court.	Permanent. Offer to National Archives 25 years after close of case. <u>NCI 430-78-1(1C)</u>
d.	Cases involving personal injuries alleged to have been caused by radiation.	Destroy 75 years after close of case. <u>NCI 430-78-1(1D)</u>
e.	Other cases.	Destroy 10 years after close of case. <u>NCI 430-78-1(1E)</u>

DOE RECORDS SCHEDULE 7

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
10.	<u>INVENTION DISCLOSURE LOGS AND LEDGERS</u> showing invention disclosures reported, date, disposition, and U.S. Patent Office actions.	Destroy 10 years after close of case. <u>NN 169-84(10)</u>
11.	<u>TRUE COPY CERTIFICATIONS</u> certifying or evidencing true copy nature of material submitted for publication in the Federal Register or elsewhere, including copy of material to be published, evidence of certification of true copy, letter of transmittal, and related correspondence and documents.	Destroy when 1 year old. <u>NN 162-85(1)</u>
12.	<u>CONGRESSIONAL HEARING COORDINATION CASE FILES</u> containing correspondence and other documentation including approvals that reflect Departmental coordination of congressional hearings at which Departmental witnesses testified. Records document coordination activities and response actions such as advance approval of testimony by the Office of Management and Budget and DOE's Office of General Counsel, changes in planned testimony, approval of final edited hearing transcript, selection of witnesses to respond to the subject matter of the incoming request letter from the congressional committee, approval of date for testimony, provision of written answers to questions asked of the Department to furnish either supplementary testimony or a direct response, and transmittals of written answers to the committees.	Destroy 5 years after close of calendar year in which testimony was given. <u>NCI 434-83-2</u>

DOE RECORDS SCHEDULE 8

PROCUREMENT, SUPPLY, AND GRANT RECORDS

This is an addendum to the General Records Schedule of the same subject, and includes approved disposition standards for the cited records.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| 1. <u>Unique Procurement Files.</u> Procurement files documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs. | Permanent, offer to National Archives after 25 years.
<u>NCI-430-77-3</u> |
| 2. <u>PRIORITIES AND ALLOCATION RECORDS.</u> | <u>II NNA-340</u> |
| a. Records on the use of DO, DX, and Authorized Controlled Material (ACM) rating authority, exclusive of correspondence on planning, policy, procedures, and authorizations. | Destroy when 3 years old. |
| b. Requirements studies in connection with mobilization planning and the Controlled Materials Plan, exclusive of correspondence on planning, policy, procedures authorizations which are be retained. | Headquarters offices destroy when 5 years old
DOE Field Offices and M&O contractors and destroy when 2 years old. |

Vertical line denotes change.



DOE RECORDS SCHEDULE 9
PROPERTY DISPOSAL RECORDS

This is addendum to the General Records Schedule of the same subject, and includes approved disposition standards for the cited records.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Surplus Property Precedential Case Files.</u> Case files on sales of surplus personal property (as described elsewhere herein) documenting the initiation and development of transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs.	Permanent. Offer to National Archives within 25 years of case closure. <u>NC-430-76-5</u>
2.	<u>Property Disposal Case Files.</u> Case files on disposal of surplus real and related personal property.	Destroy 10 years after unconditional sale or release by the government of conditions, restrictions, mortgages, or other liens. <u>NCI-430-77-8</u>
3.	<u>Excess Real Property Reports.</u>	Destroy 10 years after unconditional sale or release by the government of conditions, restrictions, mortgages, or other liens.
4.	<u>NUCLEAR MATERIALS-RELATED, REVENUE-PRODUCING CONTRACTS.</u> Revenue-producing contracts with foreign and domestic customers, including documentation of the negotiations, administration, payment, and delivery for goods and services for (1) the sale of nuclear products, including source, by-product, special nuclear materials, and heavy water; (2) toll enrichment services; and (3) chemical processing of irradiated fuel.	Destroy 6 years after receipt of final payment. <u>NC-326-75-1(1)</u>
5.	<u>RECORDS OF THE TRANSFER OF NUCLEAR MATERIALS FOR RESEARCH.</u> "Transfer of Material" records documenting the "without charge" transfer of nuclear material in quantities suitable for research purposes only.	Destroy 6 years after transfer is completed. <u>NC-326-75-1(2)</u>

DOE RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
6.	<u>NUCLEAR MATERIALS LEASING RECORDS.</u> Lease agreements documenting the leasing of nuclear materials and heavy water to foreign and domestic customers.	Destroy 6 years after termination of the lease. <u>NC-326-75-1(3)</u>

DOE RECORDS SCHEDULE 10

BUDGET PREPARATION, PRESENTATION, AND APPORTIONMENT RECORDS

This is an addendum to the General Records Schedule of the same subject, and includes approved disposition standards for the cited records.

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>Budget Policy Files.</u> Correspondence or subject files in formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.	Permanent. Offer to National Archives when 25 years old. <u>NCI-430-76-8</u>
2.	<u>Budget Estimates and Justification Files.</u>	
	a. Copies of budget estimates and justifications prepared or consolidated in formally organized budget offices at the bureau (or equivalent) or higher organizational level. Included are appropriation language sheets, narrative statements, and related schedules and data.	Permanent. Offer to National Archives when 25 years old. <u>NCI-430-76-8</u>
	b. Working papers and background materials.	Destroy 6 years after close of fiscal year covered by budget. <u>NCI-430-76-8</u>
3.	<u>Budget Correspondence Files.</u> Correspondence files in formally organized budget offices pertaining to routine administration, internal procedures, and other matters not covered elsewhere in this schedule.	Destroy when 2 years old.
4.	<u>Budget Background Records.</u> Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in item 2; and originating offices' copies of reports submitted to budget offices.	Destroy 6 years after close of fiscal year covered by budget. <u>NCI-430-76-8</u>

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DOE RECORDS SCHEDULE 11

ACCOUNTABLE OFFICERS ACCOUNTS RECORDS

This is an addendum to the General Records Schedule of the same subject, and includes approved disposition standards for the cited records.

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

1. AUDIT FILES.

NN-166-124

- a. Audit files generated in the performance of DOE and cost type contractor operations, including pertinent reports and revisions thereof, concurrences, comments, reports relative to action on recommendations, pertinent correspondence, and related work papers.

(1) Files relating to DOE-wide audits conducted by DOE Headquarters audit staff and the General Accounting Office.

Destroy when 10 years old.

(2) Files relating to audits of individual DOE organizations and contractors, conducted by DOE field elements or the Headquarters audit staff.

(a) Report files and related correspondence.

Destroy when 10 years old.

(b) Work papers.

Destroy when 5 years old.

(3) Audit files generated by M&O contractor audit staffs performing internal audits, including pertinent reports and revisions, thereof: concurrences; comments; reports relative to action taken on recommendations, pertinent correspondence; and, related work papers.

Destroy when 5 years old.

- b. Monthly memorandum reports summarizing activities between GAO and DOE pertaining to audits and inquiries, together with related correspondence reflecting specific requests for information and records by GAO and compliance by DOE.

Destroy when 3 years old.

Vertical line denotes change.

DOE RECORDS SCHEDULE 11

ITEM

NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

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| 2. <u>PENSION PLAN</u> case files consisting of cost-type contractor pension plans, modifications and amendments; correspondence, reports, studies, and analyses; negotiations; DOE requirements for acceptance and modification; funding and cost data; industry pension plan comparability studies. | <u>NN-173-232</u> |
| a. Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination. | Destroy 80 years after contract completion or termination. |
| b. Cases for which DOE has no obligations for liability after contract completion or termination. | Destroy 6 years after contract completion or termination. |
| 3. <u>CASUALTY INSURANCE</u> (including Workmen's Compensation) plan case files: Case files on casualty insurance coverage plans for DOE cost-type contractors, including policies, endorsements, reports, correspondence, studies, analyses, actuarial data, and computations. Included is information showing premium adjustments, coverage, funding, billing, and losses incurred. | <u>NN-173-232</u> |
| a. Cases assigned to or administered by DOE upon contract completion or termination. | Destroy 80 years after contract completion or termination. |
| b. Cases for which DOE has no obligation or liability after contract completion or termination. | Destroy 6 years after contract completion or termination. |

DOE RECORDS SCHEDULE 12
TRAVEL AND TRANSPORTATION RECORDS

This is an addendum to the General Records Schedule of the same subject, and includes approved disposition standards for the cited records.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>HAZARDOUS MATERIAL</u> (radioactive and fissile material) shipping packaging records including Certificates of Compliance, Safety Analysis Reports for Packaging (SARP), evaluations of SARPs, licenses, amendments to licenses, and quality assurance records documenting packaging design, fabrication, maintenance, and use in compliance with established safety and engineering standards.	Destroy 5 years after Certificate of Compliance has terminated, unless information is recieved indicating that renewed use is definitely anticipated. <u>NCI-430-76-7</u>

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DOE RECORDS SCHEDULE 13
COMMUNICATIONS RECORDS

This is an addendum to the General Records Schedule of the same subject, and includes approved disposition standards for the cited records.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
1.	<u>COMSEC RECORDS</u> consisting of forms, reports, and correspondence recording or relating to the accountability, transfer, inventory, receipt, and destruction of COMSEC materials.	<u>NN-167-141</u>
a.	Records of Departmental COMSEC Custodian	Destroy when 5 years old.
b.	COMSEC card files.	Retain until COMSEC account is closed.
c.	Key Card and Key List Usage Reports.	Destroy when 1 month old, provided destruction report has been prepared and sent to DOE COMSEC custodian.
d.	Other COMSEC accounting records.	Destroy when 1 year old, provided reconciliation of COMSEC material has been completed.

DOE 1324.2A
9-13-88

DOE RECORDS SCHEDULE 14*

Design and Construction Drawings and Related Records

This schedule provides guidelines for the disposition of design and construction drawings and related records that have been created or received by DOE or DOE management and operating contractors in connection with official activities. Drawings refer to the graphic or engineering records that depict conceptual as well as precise measured information essential for the planning, design, and construction of facilities such as building, structures, plants, utilities, and other public works projects, as well as miscellaneous engineering and fabrication projects such as machinery and equipment. Related records include engineering studies, design calculations, project performance documentation, indexes and finding aids, specifications, and three dimensional models. Most design and construction records lose their usefulness after specific periods of time. Generally, drawings pertaining to the conceptual or preliminary design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings which are used and finalized during the construction process have a continuing value during the life of the facility especially for repair and maintenance needs. The finalized ("as-built") construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is still used, maintained, or owned by the Federal government.

After the design and construction files are no longer useful to DOE or contractors, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomic and unnecessary to retain a complete set of drawings and related records for each construction project sponsored by the Federal government, it is necessary to make a selection of records for permanent preservation. This selection must take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. Criteria for the selection of the significant records are contained in the notes following the schedule. The selection of individual buildings or projects should be made by personnel with appropriate historical training subject to the approval of the National Archives and Records Service (NARA). However, any records created prior to 1-1-21, must be offered to NARA before applying the disposition instructions in this schedule. This schedule relates primarily to records on the design and construction of buildings. However, the principles established here can also be applied to other static structures and miscellaneous engineering projects. Those records which are developed during the design process generally consist of:

* This schedule, a variation of the GRS of the same title, was approved by NARA (NCI 434-78-2), also includes quality assurance records.

Initial Design Planning Records. Drawing and sketches that are conceptual in nature, and architectural renderings, that show the basic design features of the project, including building perspectives, elevations, floor plans, and other general features; order-of-magnitude cost estimates and performance schedules; and may include three-dimensional models prepared for illustration or presentation purposes.

Advanced Planning Records. These cover the pre-Title I design activity documentation, including construction project data sheets of other types of project proposals, conceptual design studies and reports, conceptual safety and environmental impact analyses, cost estimates, performance schedules, methods of project performance, and the design criteria for the project; and development of the project management plan.

Preliminary (Title I) Design Records. Title I design studies, and reports summarizing the design results (including more refined definition of project requirements, cost estimates, performance schedules, methods of project performance, safety and environmental impact analyses) and preparation of preliminary drawings and construction specifications.

Final (Title II) Design Records. Title II (final working) drawings, final construction specifications, performance schedules, methods of project performance, final safety and environmental impact analyses (reports); and final project management plan for construction.

Other Engineering and Design Records. Engineering studies and reports, design calculations, analyses, and other engineering data and information developed during project planning and design which document the engineering and design decisions.

Other Documents and Information. Information, correspondence, and other records developed during the planning and design phases, essential to the performance of the processes but not essential for project record purposes following project completion.

Those records which pertain to or are developed during the construction process usually consist of:

Final Working Drawings. (Developed during Title II Design) Architectural and engineering drawings which consist of the master tracings which are acceptable reproduces. These drawings provide information about various aspects of the construction of the building or facility including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, heating, ventilating, and air-conditioning details, as well as site and landscaping plans. These are important records because they provide not only detailed instructions for the erection of the building, but also present a comprehensive and detailed picture of its design.

Final Construction Specifications. (Developed during Title II Design) Detailed requirements for the project which identify materials and workmanship requirements, and explain the materials and equipment items depicted on the related working drawings.

Project Management Plans for Construction. (Developed during project planning and design.) Details of the project work breakdown structure; authorities and responsibilities of participants; performance diagram; and technical, cost, and schedule control systems for the project.

"As Built" Drawings. Annotated copies of final working drawings or additional drawings which show changes in the construction from the original design.

Shop Drawings. Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be fabricated or assembled in their shops. These drawings which include plans for architectural features and interior design such as tile and marble work, special cabinet work, elevators, or heating, ventilating, and air-conditioning systems, not only provide instructions for assembling the products on the job site, but may also be necessary of future operation and maintenance.

Repair and Alteration Drawings. Original drawings which depict repairs and alterations to the building as it was originally constructed.

Standard Drawings. Final drawings for standard details and other documents created in their preparation.

Reports and other Documentation. Progress reports, construction completion reports, equipment specifications, operating and maintenance instructions (manuals), warranty data, final inspection and acceptance reports, and other information documenting the construction process.

Other Documentation and Information. Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion (such as interim process reports and other interim project activity information).

**ITEM
NO. DESCRIPTION OF RECORDS**

AUTHORIZED DISPOSITION

1. Project Planning and Design Files

a. Initial Design Planning Records

Until project completion (see item b., below, for exception) or upon project termination whichever is earlier.

b. Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).

Permanent. Offer to NARA when file is inactive. (See first paragraph of introduction to this schedule.)

- (1) Project description, location, engineering/design costs and performance schedule.
- (2) Architectural renderings and final architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).
- (3) Special engineering/design reports, studies, and data (for projects of technological or architectural significance).
- (4) Construction Completion Reports.
- (5) Models.

**c. Other Planning and Design Records
(Advanced planning, preliminary and final design, and engineering /design studies, calculations, analyses, and other engineering/design data documenting design decisions made.)**

- (1) Records of completed projects costing more than \$750,000, or which involve special equipment, systems, or processes.
- (2) Records of completed projects costing \$750,000, or less, which do not involve special equipment, systems, or processes.

Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier. (See item b., above, for exception.)

10 years after completion of project.

<u>Item NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>AUTHORIZED DISPOSITION</u>
(3)	Records of terminated projects (projects not authorized for design, construction, or fabrication; or terminated prior to completion of any of these activities) costing more than \$750,000, or which involve special equipment, systems, or process projects.	10 years after project is terminated. (See item b., on previous page for exception.)
(4)	Records of terminated projects (projects not authorized for design, construction, or fabrication, or terminated prior to completion of any of these activities) costing \$750,000, or less which do not involve special equipment, systems, or process projects.	5 years after project is terminated.
(5)	Miscellaneous planning and design records, information and correspondence, essential to performance of the processes but not essential for project record purposes (such as interim progress reports, preliminary drawings and specifications, and other in-process documentation or information).	Until project completion or termination, whichever is earlier.
<u>2. Project Construction Files</u>		
a. Working drawings and construction specifications, "as-built" drawings, shop drawings, standard drawings, repair and alteration drawings, equipment specifications, operating and maintenance manuals, equipment warranty data, final inspection and acceptance reports, construction cost and schedule data, space assignment plans, and other essential information to document the construction process.		
(1)	For completed projects.	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier (see item d., below, for exceptions).
(2)	For projects terminated prior to construction completion.	5 years after construction is terminated.

ITEM NO.	DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
b.	<u>Construction Completion Reports</u> (Documented summary of the project, from design through construction completion.)	
	(1) For unique or special-interest by projects.	20 years, unless covered exception in d., below.
	(2) For other projects.	Until dismantlement or disposal of the facility, equipment, or process; or when superseded or obsolete, whichever is earlier.
c.	<u>Miscellaneous Construction Records.</u> Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion.	Until project completion.
d.	Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	Permanent. Offer to NARA when file is inactive. (See first paragraph of introduction to this schedule).
	(1) Project description, location, construction costs and performance schedules.	
	(2) "As-built" architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).	
	(3) Photographs of completed project.	
	(4) Construction Completion Reports.	
3.	(Reserved)	
4.	(Reserved)	
5.	<u>Finding Aids</u>	
	Indexes and other finding aids to design construction files.	Destroy in accordance with and instruction covering the related design and construction records.

ITEM
NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

6. Quality Assurance Records prepared, received and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems. (Reference for nuclear facilities: ANSI/ASM NQA-1-1986 Edition)
- a. Records which would be of significant value in demonstrating capability for safe operation; in maintaining, reworking, repairing, replacing or modifying the item; in determining the cause of an accident or malfunction of the item; and those which provide baseline data for inservice inspection.
- b. Records which verify that an activity was performed in accordance with the applicable requirement but need not be retained for the life of the plant or item.
- (1) Records maintained in compliance with regulatory requirements.
- (2) Records for nuclear facilities item which are useful through first overhaul or reload.
- (3) Records which are needed to process and support claims made under the warranty.
- (4) Records which have no value after plant or item is put into operation.
- Until the item is removed from service.
- Retain in accordance with current regulatory requirements or for nuclear facilities, 6 years after plant or item is put into operation.
- 2 years after plant or is put into operation or after first overhaul or reload, whichever is later.
- 1 year after plant or item is put into operation or upon expiration of warranty, whichever is later.
- Until day after plant or item is put into operation.

EXPLANATORY NOTES

Items 1b and 2d

Criteria for the selection of architecturally, historically, and technologically significant files:

Architectural Significance.

Original Design. Primary consideration should be given to those buildings and facilities which are essentially original in design. Although it may incorporate standard features, a uniquely designed building or facility is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.

Standard or Repetitive Design. If building or facilities use a standard or repetitive design, it is not necessary to permanently retain a file for each building. However, a file should be retained for the building or facility most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.

Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.

Innovations. Buildings or facilities which include architectural or engineering innovations.

Historical Significance.

Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies.

National Events or Personalities. Buildings or facilities which are associated with events or persons who represent the broad history of the country.

Noted Architect. Drawings by noted architects or engineers of both proposed and constructed buildings or facilities.

Controversial. Buildings or facilities which were involved in controversy in regard to their design, construction, or utilization. Projects terminated because of cost overruns, safety hazards, and environmental hazards are included.

Technological Significance.

This category includes files for such projects as first-of-a-kind energy research, development, or demonstration projects of other unique building or facility projects. Since this is a broad category which covers many different types of technical facilities, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered, should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variation. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard.

It should be noted that comprehensive site development plans or master plans are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see Schedule 17), while individual buildings and facilities within the system can be evaluated on the basis of this schedule.

