

RECORDS DISPOSITION SCHEDULE

Year 2000 Project Records

1/22/01

Year 2000 (Y2K) Project records have been created to document the effort of the Department of Energy to ensure that its information systems are Y2K compliant, i.e., able to perform all functions and applications when encountering dates beyond December 31, 1999. The records which document the overall Departmental and Field Office efforts, including design and modification work, are considered to be technologically significant. Some warrant permanent retention.

The record keeping copy of the records identified in Item 1a of the schedule will be collected and maintained for the Department at DOE/HQ. Specific computer system documentation for the creation, modification, maintenance and testing of the systems will be maintained at the location performing the work using the dispositions prescribed below.

This schedule is media neutral. The disposition instructions and authorities contained herein apply to records in all media and formats.

1. Y2K POLICY & PLANNING RECORDS

Records created or approved by the heads of program offices and staff offices, including assistant secretaries, site managers, directors of offices, and their assistants, that provide documentation on system selection criteria; technical analyses of software systems; prioritization report of Y2K systems; Y2K risk assessments; project plans, including system requirements. These records have site-wide or Department-wide applicability.

- a. Record keeping copy transferred to the DOE/HQ Y2K Project Office.

Cutoff files at January 1, 2000. Maintain on site. Destroy 10 years after cut off.

Dates: 1996 through project completion.

Estimated volume: 10 cubic feet.

Arrangement: By site, thereunder by system name.

- b. Site Y2K Project Office copy maintained for administrative purposes.

Cutoff files at project completion. Maintain on site. Destroy ten years after cut off.

- c. All other policy and planning files.

Cutoff files at project completion. Maintain on site. Destroy ten years after cut off, or when no longer needed; whichever is sooner.

2. SYSTEM SPECIFIC DOCUMENTATION

Records which document the system modifications, testing and verification for each information system in the Y2K projects.

- a. Documentation related to the design and modification of the computer systems including: program listings; modification and design procedures; operating manuals and instructions.

Cutoff files at project completion. Maintain on site. Destroy 10 years after cut off, or when the system or system component is superseded or retired; whichever is later.

- b. Test documentation including: test plans; procedures and results; test scripts; independent Validation & Verification reports; End-to-End and "Zero Day" testing plans and procedures; and contingency plans.

Cutoff files at project completion. Maintain on site. Destroy 10 years after cut off.

- c. Y2K Project reviews and evaluations, including records of corrective actions; evidence of compliance with DOE Y2K policy and direction.

Cutoff files at project completion. Maintain on site. Destroy 10 years after cut off, or when the system or system component is superseded or retired; whichever is later.

3. PROJECT ADMINISTRATIVE RECORDS

- a. Y2K Project planning and fiscal records including budgets and schedules.

Cutoff files at Project completion. Maintain on site. Destroy 10 years after cut off.

- b. Y2K Project status and administrative records including periodic status reports, correspondence and other local project level documentation.

Cutoff files at Project completion. Maintain on site. Destroy 5 years after cut off.

4. ELECTRONIC COPIES

Electronic copies of records that are created on electronic mail, word processing, or other systems and are used solely to generate a record keeping copy of the records covered in this schedule. Also includes electronic copies of records systems that are maintained for updating, revision or dissemination.

- a. Copies that have no further administrative value after the record keeping copy has been made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the record keeping copy.

Destroy/delete within 180 days after the record keeping copy has been produced.

- b. Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.

Destroy/delete when dissemination, revision or updating is completed.