

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

ORDER

DOE O 243.1D

Approved: 08-05-2026

SUBJECT: RECORDS MANAGEMENT PROGRAM

1. PURPOSE. To set forth requirements and responsibilities for creating and preserving records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Department of Energy (DOE) and to provide information necessary to protect the legal and financial rights of the government and persons directly affected by DOE activities.
2. CANCELS/SUPERSEDES. DOE O 243.1C, *Records Management Program*, dated February 7, 2022. Cancellation of a directive does not, by itself, modify or otherwise affect any contractual or regulatory obligation to comply with the directive. The Contractor Requirements Document (CRD) incorporated into a contract remains in effect throughout the term of the contract unless and until the contract or regulatory commitment is modified either to eliminate requirements that are no longer applicable or to substitute a new set of requirements.
3. APPLICABILITY.
 - a. Departmental Applicability. Except for the equivalencies/exemptions in paragraph 3.c., this Order applies to all DOE elements. The Administrator of the National Nuclear Security Administration (NNSA) must ensure that NNSA employees comply with their responsibilities under this Order. Nothing in this Order will be construed to interfere with the NNSA Administrator's authority under Section 3212(d) of Public Law (P.L.) 106-65, National Defense Authorization Act for Fiscal Year 2000, to establish Administration-specific policies, unless disapproved by the Secretary.

b. DOE Contractors.

- (1) The requirements of this Order shall be incorporated into applicable contracts, including Management and Operating (M&O) contracts. The contractor is responsible for flowing down the requirements of this CRD, if applicable. Contractors shall comply with the requirements of applicable federal, state, and local laws and regulations in carrying out the requirements of this Order unless relief has been granted in writing. Omission of any applicable law or regulation from the Order does not affect the obligation of the contractor to comply with such law or regulation. Contractors must comply with the requirements of this Order, except to the extent modified by the equivalencies or exemptions identified herein or issued to the contractor in writing by DOE utilizing the process outlined in DOE O 251.1E, *Departmental Directives Program*, including as amended or updated. Equivalencies/Exemptions. Equivalencies and exemptions to this Order are processed in accordance with DOE O 251.1, current version.

- c. Equivalency. In accordance with the responsibilities and authorities assigned by Executive Order (EO) 12344, Naval Nuclear Propulsion Program, codified at 50 U.S.C. § 2406, Deputy Administrator for Naval Reactors, and § 2511 and to ensure consistency throughout the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.

4. REQUIREMENTS.

- a. DOE shall implement a Records Management Program to comply with all applicable requirements of the Federal Records Act and 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B, Records Management, including but not limited to requirements governing:
 - (1) Records creation, maintenance, use, and disposition.
 - (2) Records schedules and unscheduled records, including requirements that unscheduled records must be retained, protected, and may not be destroyed until disposition authority is approved by the National Archives and Records Administration (NARA).
 - (3) In accordance with OMB M-19-21, Memorandum for Heads of Executive Departments and Agencies, all DOE federal records must be managed in electronic format to the fullest extent possible. Electronic records management includes:

- (a) The creation, capture, management, retention, preservation, metadata management, and disposition of federal records in electronic formats in accordance with applicable federal records laws, regulations, and Office of Management and Budget (OMB) and NARA records management transition requirements.
- (b) The integration of records management requirements into the design, development, acquisition, operation, migration, decommissioning, and replacement of electronic information systems of record.
- (c) The development of controls that preserve the authenticity, reliability, integrity, usability, and accessibility of records for required retention periods.
- (d) Electronic communications management, where email and other electronic messaging (including instant messages, text messages, chat platforms, and social media) are used to conduct official business, must be managed in accordance with 36 CFR § 1236.22, Electronic Records Management. Electronic communications that meet the definition of federal records under 44 U.S.C. § 3301, Definition of records, must be captured and preserved in accordance with NARA-approved disposition schedules.

Official business requiring the use of electronic communications must be conducted using authorized federal systems. If any official business were to be conducted through non-official accounts, those communications must be forwarded to or otherwise captured in an authorized federal system within 20 days of creation or receipt.

- (4) System migration and technological obsolescence. When electronic information systems that maintain federal records are retired, replaced, or migrated, DOE elements must ensure that records and associated metadata are successfully transferred to successor systems or other appropriate storage in a manner that preserves record integrity, authenticity, and accessibility. DOE elements must plan for technological obsolescence to ensure records remain usable and accessible until authorized disposition. Verification of successful migration must be documented.
- (5) Transfer and accessioning of permanent records. Permanent electronic records shall be transferred to NARA in NARA-approved formats and with associated metadata required to support identification, context, management, and preservation, in accordance with applicable NARA regulations and guidance.

- (6) The designation of a records management office and DOE Departmental Records Officer (DRO) with appropriate authority to:
 - (a) Establish, oversee, and coordinate the Program.
 - (b) Coordinate notification to NARA of officials authorized to approve records schedules and transfers.
- (7) The creation and maintenance of records inventories and file plans.
- (8) Essential (vital) records programs, including the identification, protection, duplication, and accessibility of records necessary to support continuity of operations and protect the legal rights of DOE.
- (9) The issuance and dissemination of records management directives establishing Program roles, responsibilities, and authorities.
- (10) Records maintenance, organization, indexing, and retrieval control to ensure records remain accessible, usable, and protected for the duration of their retention periods.
- (11) Records management training and guidance for all DOE personnel and contractors as applicable.
- (12) Measures to prevent, detect, and report on the unlawful or accidental removal, defacing, alteration, or destruction of records in accordance with 36 CFR Part 1230, Unlawful or Accidental Removal, Defacing, Alteration, or Destruction of Records.
- (13) Compliance with requirements governing the storage of records in DOE facilities, Federal Records Centers, and commercial records storage facilities.
- (14) Periodic evaluation of the Program to assess effectiveness and compliance with applicable regulations, including results of evaluations and corrective action plans to be reported to NARA as appropriate.
- (15) Records created, received, or maintained by DOE contractors, as implemented through the CRD (Attachment 1), including requirements for ownership, delivery, retention, and disposition.
- (16) Identification and distinction of federal records from nonrecord materials, and management of nonrecord materials in accordance with applicable law. Contractor obligations related to the identification and distinction of federal records are governed by the CRD (Attachment 1).

- b. In addition to the requirements set in a., the Program shall:
- (1) Establish Records Disposition Schedules (RDSs) and adopt applicable National Archives and Records Administration General Records Schedules (GRSs) as authoritative instructions for retention practices and distinguishing records from nonrecords.
 - (2) Disseminate new or revised schedules as appropriate.
 - (3) Maintain a process for requesting extended retention approvals.
 - (4) Support the timely transfer of permanent records to NARA and authorized disposal of temporary records in accordance with approved schedules and NARA procedures.
 - (5) Conduct all required reviews to safeguard controlled unclassified information (CUI) and classified material prior to the transfer and accessioning of records. Permanent classified records must undergo declassification review in accordance with Executive Order 13526, Classified National Security Information, and 32 CFR 2001, Classified National Security Information, prior to transfer to NARA. Declassification review documentation must accompany transferred records. DOE elements must report newly identified permanent classified record collections requiring declassification review to appropriate classification authorities and the DRO within 30 days of discovery.
 - (6) Preserve records subject to litigation holds, freezes, audits, investigations, Freedom of Information Act (FOIA), or Privacy Act obligations until formally released in writing by the issuing authority. Holds must be scoped to specific record categories. Nothing in this Order alters disclosure authorities or exemptions under 5 U.S.C. § 552, Public information; agency rules, opinions, orders, records, and proceedings, or 5 U.S.C. § 552a, Records maintained on individuals; it establishes preservation and recordkeeping controls to ensure DOE can meet those legal obligations.
 - (7) In coordination with DOE's FOIA and transparency functions, support the identification of records of general interest or use to the public that are appropriate for public disclosure, and facilitate their availability in publicly accessible electronic formats, consistent with applicable law, exemptions, and Departmental authorities.

5. RESPONSIBILITIES.

- a. Secretary of Energy. Ensure DOE establishes and maintains an active, continuing Records Management Program in accordance with federal law.
- b. DOE Senior Agency Official for Records Management.
 - (1) Provide executive oversight of DOE's Records Management Program and ensures Department-wide compliance with the requirements of this Order and applicable federal records laws and regulations.
 - (2) Designate officials and groups as necessary to support the Records Management Program.
 - (3) Provide required reports to NARA and supports records management oversight activities.
- c. DOE Departmental Records Officer.
 - (1) Manage and oversees implementation of the DOE Records Management Program, including records scheduling, transfers, storage, program evaluation, contractor records, integration with information systems, and coordination with NARA.
 - (2) Establish subordinate roles, working groups, and procedures as necessary to carry out Program requirements.
- d. DOE Departmental Essential Records Manager.
 - (1) Establish and coordinate an Essential Records Program, maintaining inventories, training documentation, records-protection measures, evaluation measures, and emergency plans.
 - (2) Develop and maintain an Essential Records Plan, including the Essential Records Packet.
- e. Heads of DOE Elements.
 - (1) Establish and sustain element-level records management programs consistent with this Order and applicable federal laws and regulations.
 - (2) Designate appropriate records management officials to support the program established in (1).
 - (3) Ensure all DOE personnel comply with program, Order, and federal records management requirements and that contractors comply with the CRD (Attachment 1).

- f. Records Management Officials.
 - (1) Support records identification, scheduling, storage, transfers, training, and compliance monitoring as appropriate.
 - (2) Implement records-management activities and procedures developed by their respective DOE Element Head.
 - g. DOE Workforce.
 - (1) Identify records created, received, or used on behalf of DOE.
 - (2) Manage records in accordance with approved schedules and procedures.
 - (3) Complete records management training as required.
 - (4) Prevent unauthorized removal or destruction of scheduled and unscheduled records.
 - h. Enabling Functions (Information Technology, Contracting, Legal, Classification).
 - (1) Ensure systems, contracts, sensitivity reviews, and controls enable compliance with records management requirements.
 - i. Contracting Officer.
 - (1) For all applicable contracts and upon notification that a site/facility management contract is affected by this order, incorporate the requirements into the affected contract(s) via the “Laws, Regulations, and DOE Directives” clause of the contract, or through negotiation and modification, as appropriate.
6. INVOKED STANDARDS. This Order does not invoke any DOE technical standards or industry standards as required methods. NOTE: DOE O 251.1, current version, provides a definition for “invoked technical standard.”
7. REFERENCES. See Attachment 2.
8. DEFINITIONS. See Attachment 3.
9. CONTACT. Questions concerning this Order should be addressed to the Departmental Records Officer, Office of the Chief Information Officer, at doerm@hq.doe.gov or (301) 903-3455.



JAMES P. DANLY
Deputy Secretary

ATTACHMENT 1
CONTRACTOR REQUIREMENTS DOCUMENT (CRD)
DOE O 243.1D, *RECORDS MANAGEMENT PROGRAM*

This CRD establishes requirements for Department of Energy (DOE) and National Nuclear Security Administration (NNSA) contractors who create or maintain federal records in connection with the performance of DOE-funded tasks or activities.

The contractor is responsible for complying with the requirements of this CRD, regardless of who performs the work. The contractor is responsible for flowing down the requirements of this CRD to subcontractors at any tier to the extent necessary to ensure the contractor's compliance with the requirements.

In addition to the requirements set forth in this CRD, contractors are responsible for complying with Attachments 2 and 3 to DOE O 243.1D, which provide program information applicable to contracts in which this CRD is inserted.

This CRD does not apply to contractor-owned records. Contractor-owned records are records not identified as federal records, including company proprietary information, records unrelated to work performed under the DOE contract, corporate governance records, and other similar records that belong to the contractor. Contractor-owned records are defined in the contract and/or through 48 CFR § 970.5204-3, Access to and ownership of records. Privacy Act systems of record maintained on behalf of DOE (Federal Acquisition Regulation [FAR] 52.224-2, Privacy Act) are federal records and are not contractor-owned records.

Contractors are not required to manage non-record materials as defined in 36 CFR § 1220.18, What definitions apply to the regulations in Subchapter B? including extra copies kept only for reference, transitory communications, and other materials excluded from the statutory definition of federal records, as further described in Requirement 1.

1. **REQUIREMENTS:**

- a. Contractors shall manage records created, received, or maintained under DOE-funded work that meet the definition of federal records under 44 U.S.C. § 3301, *Definition of Records*, in accordance with federal records laws and regulations.

Contractors are not required to manage non-record materials as defined in 36 CFR § 1220.18, including extra copies kept only for reference, transitory communications, and other materials excluded from the statutory definition of federal records.

Nothing in this CRD alters the statutory definition of federal records under 44 U.S.C. § 3301. DOE retains responsibility for ensuring adequate and proper documentation of its mission and activities.

- b. Implement records-management practices sufficient to identify, protect, retain, and dispose of federal records in accordance with DOE-approved disposition authorities. Contractors are not required to replicate DOE's internal records governance structures.
- c. Designate a single records management point of contact responsible for coordinating contractor records management activities with DOE-designated record officials. Contractors may assign additional internal support roles at their discretion based on organizational needs, contract scope, or risk.
- d. Store records in a manner that ensures accessibility, retrievability, security, and preservation consistent with the retention and preservation requirements applicable to the federal records defined in this CRD.
- e. Store records electronically when cost-effective and reasonably practicable. This CRD does not impose unfunded digitization or records remediation requirements. Where digitization, conversion, or remediation is required, DOE will provide written direction and address resourcing.
- f. Maintain inventories and file plans only for designated records management systems or repositories that contain federal records. DOE may request submission of inventories and file plans for designated records management systems when necessary for defined oversight purposes. Routine submissions are not required unless otherwise specified by contract clause. Requested updates to the file plan should be limited to material changes from the prior submission.
- g. Manage and dispose of federal records only in accordance with DOE-approved Records Disposition Schedules or applicable National Archives and Records Administration (NARA) General Records Schedules as designated by DOE.
- h. Preserve records beyond their approved retention periods when they have been placed under a destruction hold, freeze, or moratorium for purposes of audits, inspections, investigations, litigation, Freedom of Information Act, or similar obligations. Where FAR 52.224-2 is included in the contract, contractors shall comply with its requirements. Holds shall be issued in writing, scoped to specific record categories, and reviewed at least annually by DOE for continued necessity. DOE will provide written release of the hold when it is no longer necessary; contractors may request scope reduction or release with supporting rationale. DOE shall respond to contractor requests within 60 days. If no direction is provided, the contractor shall notify the Departmental Records Officer (DRO) in writing and request further guidance. A hold suspends all disposition actions for covered records effective upon contractor receipt of the written hold notice.
- i. Promptly report any actual, impending, or suspected unlawful or accidental removal, defacing, alteration, corruption, deletion, erasure, or destruction of DOE records to the Contracting Officer and the DOE-designated Records Management Official, to enable DOE to meet its notification and recovery obligations to NARA.

- j. Sufficiently document authorized destruction of federal records to demonstrate compliance with approved disposition authority.
- k. DOE is responsible for the formal transfer or accessioning of permanent federal records to NARA. Contractors shall provide permanent federal records to DOE in the form and condition in which they are maintained in the ordinary course of contract performance, unless DOE provides written direction specifying additional preparation, conversion, or digitization. Electronic records must be provided with associated metadata maintained in the ordinary course of business sufficient to preserve context and usability.

Contractors shall not be required to transfer or accession records directly to NARA unless expressly directed by DOE in writing and reflected in the contract. Where transfer or accession is required, DOE will provide written direction and address resourcing.

Contractors are not required to digitize, convert, migrate, or reformat records solely for NARA transfer purposes unless expressly directed and funded by DOE.

Where records cannot be transferred at the time of contract completion, contractors shall preserve them in their existing format and storage environment in a manner that protects against loss, damage, or unauthorized destruction, pending DOE direction. DOE shall provide disposition direction within 180 days of contract completion. If no direction is provided, the contractor shall notify the DRO in writing and request further guidance.

- l. Ensure that personnel who create or manage federal records under this CRD complete role-based training. Contractors shall not be required to provide training metrics absent written DOE request.
- m. Ensure records remain under organizational custody and control upon personnel departure.
- n. Support DOE-directed records management evaluations. DOE may conduct contractor records management upon the following defined trigger events:
 - (1) Documented record loss, compromise, or substantiated audit finding involving recordkeeping.
 - (2) Contract transition or closeout.
 - (3) Written determination by the Senior Agency Official for Records Management that a specific, documented legal or statutory risk requires review.

DOE retains the discretion to conduct evaluations as necessary to ensure compliance with applicable records management laws and regulations. Evaluations shall be limited to designated records management systems that maintain federal records under this CRD. Routine or recurring evaluation cycles are not required under this CRD. Evaluations will not require the production of contractor proprietary or privileged materials unless required under contract or law.

- o. Provide DOE access to federal records created or maintained under the contract, as required to support audits, inspections, litigation, investigations, or other authorized government purposes, consistent with contract terms.
- p. Ensure electronic systems designated to maintain federal records under this CRD provide sufficient controls to preserve the authenticity, reliability, integrity, usability, and accessibility of records for the duration of their approved retention periods. These controls are required only for electronic systems that DOE designates in writing as records management systems for specific record categories under this CRD.

These requirements do not apply to general-purpose collaboration or productivity tools unless designated as records management systems.

- q. Manage electronic communications, including email, instant messages, texts, chats, collaboration messages, and artificial-intelligence-assisted chat content that meet the definition of federal records under 44 U.S.C. § 3301, Definition of Records, and in accordance with 36 CFR § 1236.22, Electronic Records Management. Communications that do not meet this definition are not required to be captured or preserved.
 - (1) Contractors are not required to implement Capstone or role-based email preservation unless expressly required by contract clause. Email messages documenting final decisions, authorizations, commitments, or essential transactions as defined in this CRD shall be preserved. Transitory messages, including scheduling, informational notices, and routine coordination, are not required to be preserved.
 - (2) Instant messages, texts, chats, collaboration messages, and artificial-intelligence-assisted chat content are not required to be captured as records unless the communication contains the only documentation of a decision, authorization, or essential transaction as defined in this CRD and is not captured in another records management system. Contractors should establish policies discouraging the use of ephemeral platforms for documenting final decisions or essential transactions.

- (3) Public-facing social media and externally hosted web content shall be captured when constituting official DOE communications or announcements. Routine engagement, comment responses, and duplicative cross-posting are not required to be captured unless they contain unique official content.
- r. Support DOE's Essential Records Program by identifying and protecting records specifically designated in writing by DOE as essential.
- s. Ensure departing employees identify and transfer records in their custody and ensure that all Scientific and Technical Information records are submitted in accordance with DOE Order 241.1, *Scientific and Technical Information Management*, as well as all requirements related to electronic record keeping functionality.

ATTACHMENT 2 REFERENCES

This Attachment provides information applicable to DOE O 243.1C, *Records Management Program*, and contracts in which the CRD (Attachment 1 to DOE O 243.1C) is inserted.

1. PUBLIC LAW (PL).

- a. PL 115-336, *21st Century Integrated Digital Experience Act*.
- b. PL 107-347, *E-Government Act of 2002*.
- c. PL 106-229, *Electronic Signatures in Global and National Commerce Act* (ESIGN ACT).
- d. PL 113-291, *Federal Information Technology Acquisition Reform Act*.
- e. PL 113-187, *Presidential and Federal Records Act*, as amended.
- f. PL 114-185, *FOIA Improvement Act of 2016*.
- g. PL 105-261, Sec. 3161, “Kyl-Lott Amendment of Strom Thurmond National Defense Authorization Act for Fiscal Year 1999.”
- h. PL 106-65, *National Nuclear Security Administration Act*, Title XXXII.
- i. PL 104-13, *Paperwork Reduction Act of 1995*, 44 U.S.C. § 3501 et seq.

2. UNITED STATES CODE (U.S.C.).

- a. 5 U.S.C. § 552, *Freedom of Information Act* or FOIA (as amended).
- b. 5 U.S.C. § 552a, *The Privacy Act 1974* (as amended).
- c. 42 U.S.C. § 7158, *Naval Reactor and Military Application Programs*.
- d. 44 U.S.C. Ch 36, *Management and Promotion of Electronic Government Services*.
- e. 44 U.S.C., *Public Printing and Documents*, Chapter 21, “National Archives and Records Administration”; Chapter 29, “Records Management by the Archivist of the United States and by the Administrator of General Services”; Chapter 31, “Records Management by Federal Agencies”; Chapter 33, “Disposal of Records”; and Chapter 35, “Coordination of Federal Information Policy.”
- f. 44 U.S.C. § 2901, (2) “Definitions.”
- g. 44 U.S.C. § 3101, “Records management by agency heads; general duties.”
- h. 44 U.S.C. § 3301, “Definition of records.”

- i. 44 U.S.C. § 3303, “Lists and schedules of records to be submitted to Archivist by head of each Government agency.”
 - j. 44 U.S.C. § 3501, “Purposes.”
 - k. 50 U.S.C. § 2406, “Deputy Administrator for Naval Reactors.”
 - l. 50 U.S.C. § 2511, “Naval Nuclear Propulsion Program.”
3. UNITED STATES CODE OF FEDERAL REGULATIONS (CFR).
- a. 36 CFR, Chapter XII Subchapter B, “Records Management.”
 - b. 41 CFR, § 102-193, Creation, Maintenance, and Use of Records (GSA role).
 - c. 48 CFR, § 4.805, “Storage, handling, and contract files.”
 - d. 48 CFR § 52.224-2, “Privacy Act.”
 - e. 48 CFR § 952.204-2, “Security requirements.”
 - f. 48 CFR § 952.204-70, “Classification/Declassification.”
 - g. 48 CFR § 952.223-71, “Integration of environment, safety, and health into work planning and execution.”
 - h. 48 CFR § 952.223-72, “Radiation protection and nuclear criticality.”
 - i. 48 CFR § 952.223-75, “Preservation of individual occupational radiation exposure records.”
 - j. 48 CFR § 970.0404, “Safeguarding classified information.”
 - k. 48 CFR § 970.0407, “Contractor records retention.”
 - l. 48 CFR § 970.5204-3, “Access to and ownership of records.”
 - m. 48 CFR § 970.5232-3, “Accounts, records, and inspection.”
4. EXECUTIVE ORDERS (EOs).
- a. EO 12333, “United States Intelligence Activities,” dated December 4, 1981.
 - b. EO 12344, “Naval Nuclear Propulsion Program,” dated February 1, 1982.
 - c. EO 12656, “Assignment of Emergency Preparedness Responsibilities,” dated March 16, 2012.

- d. EO 13526, “Classified National Security Information,” dated December 29, 2009 (32 CFR Parts 2001 and 2003).
 - e. EO 13556, “Controlled Unclassified Information,” dated November 4, 2010 (32 CFR Part 2002).
5. DEPARTMENT OF HOMELAND SECURITY (DHS).
- a. Homeland Security, Federal Continuity Directive 1 (FCD 1), “Federal Executive Branch National Continuity Program and Requirements,” dated January 2017.
6. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA).
- a. AC 01.2020, “Memorandum to Federal Agency Contacts: Annual Move of Permanent Records.”
 - b. NARA Bulletin 2008-06, *Records Storage Facility Standards*, dated August 25, 2008.
 - c. NARA Bulletin 2014-04, *Revised Format Guidance for the Transfer of Permanent Electronic Records*, dated January 31, 2014.
 - d. NARA Bulletin 2015-04, *Metadata Guidance for the Transfer of Permanent Electronic Records*, dated September 15, 2015.
 - e. NARA Bulletin 2017-01, *Agency Records Management Training Requirements*, dated November 29, 2016.
 - f. NARA publication, *Essential Records Guide*.
 - g. NARA publication, *Guidance for Coordinating the Evaluation of Capital Planning and Investment Control (CPIC) Proposals for ERM Applications*.
 - h. NARA Universal Electronic Records Management (UERM) Requirements
 - i. National Archives (NA) 14130, “Classified Records Transfer Checklist.”
7. OFFICE OF MANAGEMENT AND BUDGET (OMB).
- a. OMB Circular Number A-11, “Preparation, Submission, and Execution of the Budget,” dated July 2020.
 - b. OMB, *Delivering Government Solutions in the 21st Century: Reform Plan and Reorganization Recommendations*
 - c. OMB M-19-21, *Transition to Electronic Records*, dated June 28, 2019.
 - d. Revision of OMB Circular No. A-130, “Managing Information as a Strategic Resource,” dated July 28, 2016.

8. DEPARTMENT OF ENERGY (DOE).

- a. DOE P 450.4, *Integrated Safety Management Policy*, current version.
- b. DOE O 150.1, *Continuity Programs*, current version.
- c. DOE O 200.1, *Information Technology Management*, current version.
- d. DOE O 206.1, *Department of Energy Privacy Program*, current version.
- e. DOE O 206.2, *Identity, Credential, and Access Management (ICAM)*, current version.
- f. DOE O 241.1, *Scientific and Technical Information Management*, current version.
- g. DOE O 251.1, *Departmental Directives Program*, current version.
- h. DOE O 414.1, *Quality Assurance*, current version.
- i. DOE O 420.1, *Facility Safety*, current version.
- j. DOE O 470.4, *Safeguards and Security Planning*, current version.
- k. DOE O 471.1, *Identification and Protection of Unclassified Controlled Nuclear Information*, current version.
- l. DOE O 471.7, *Controlled Unclassified Information*, current version.
- m. DOE O 475.2, *Identifying Classified Information*, current version.
- n. DOE OCIO Records Management Processes, *Procedure for Conducting a Records Inventory*.
- o. *DOE Reference Book for Contract Administrators* (Chapter 9).
- p. ENG Form 6119, “Records Management Assessment Questionnaire/Checklist” (see DOE Powerpedia webpages).
- q. Records Management section of the DOE Chief Information Officer Website.

ATTACHMENT 3 DEFINITIONS

This Attachment provides information applicable to DOE O 243.1D, *Records Management Program*, and contracts in which the CRD (Attachment 1 to DOE O 243.1D) is inserted.

1. Capstone. Capstone is the NARA-recommended approach to email records management that offers agencies the option of using a more simplified approach to managing email, eliminating the need to write a unique agency schedule. Participating in Capstone allows an agency to use General Records Schedule (GRS) 6.1 (National Archives).
2. Contractor-Owned Records. Records not identified as federal records (such as company proprietary information, records unrelated to the work performed under a federal contract, and other similar records) that belong to the contractor. Contractor/corporate-owned records are defined in the contract and/or through the Access to an Ownership of Records clause (48 CFR § 970.5204.3). Privacy Act Systems of Records (Federal Acquisition Regulation [FAR] 52-224-2) are NOT contractor-owned records.
3. Departmental Element. A first-tier organization at Headquarters and in the field. First-tier at Headquarters encompasses heads of the major Headquarters line programs (e.g., Program Secretarial Officers). First-level field element refers to first-level organizations located outside the Washington Metropolitan area and encompasses Operations Offices, Site Offices, Field Offices, and Regional Offices. Additional information is noted in the Correspondence Style Guide as directed by the Office of the Executive Secretariat.
4. Department of Energy Records. Federal records owned by the Department of Energy.
5. Disposition. Any activity with respect to:
 - a. Disposal of temporary records that are no longer needed for the conduct of business by destruction or donation.
 - b. Transfer of records to federal agency storage facilities or records centers.
 - c. Transfer to the National Archives of the United States (see definition) records determined to have sufficient historical or other value to warrant continued preservation.
6. Electronic Information System. An information system that contains and provides access to computerized federal records and other information (36 CFR § 1236.2, Definitions).
7. Electronic Record. Information in an electronic state, determined to be a record, recorded in a form only a computer can process, and that satisfies the definition of a federal record under the Federal Records Act. The term includes both the record content and the associated metadata the agency determines is required to meet agency business needs (36 CFR § 1220.18, What definitions apply to the regulations in Subchapter B?).

8. Essential Records. Records that an agency needs to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records). Previously referred to as vital records (36 CFR § 1223.2b and the NARA Essential Records Guide).
9. Federal Records. Includes all recorded information, regardless of form or characteristics, made or received by a federal agency 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 United States Government or because of the informational value of data in them (44 U.S.C. § 3301, Definition of records, and 36 CFR § 1220.18).
10. File Plan. The basic structure in records management that groups together records with similar characteristics. File plans can be a subset of the entire DOE/General Records Schedules record-schedule series that would be specific to an organization, project, program, or location within an agency. A file plan may include the series, description, disposition instruction (retention) and authority, and other specific instructions that provide guidance for effective management of records.
11. Freedom Of Information Act (FOIA). A United States federal law that grants the public access to information possessed by government agencies. Upon written request, U.S. government agencies are required to release information unless it falls under one of nine exemptions listed in the Act (5 U.S.C. § 552, Freedom of Information Act, as amended, Public Law 114-185, June 30, 2016).
12. Inventory. A systematic process used to discover, identify, and review an organization's systems, records holdings, forms, and processes.
13. Legal and Financial Rights Records. Records critical to carrying out an organization's essential legal and financial functions vital to the protection of the legal and financial rights of individuals who are directly affected by that organization's activities. These records include high-value records, the loss of which would significantly impair the execution of essential functions to the detriment of the legal or financial rights and entitlements of the organization and the affected individuals (NARA Essential Records Guide).
14. Litigation Hold. A hold issued by the General Counsel, who notifies appropriate DOE contacts when litigation involving DOE is ongoing or reasonably anticipated. A hold suspends any and all disposition actions on records that relate to or are affected by pending or ongoing litigation. Using a litigation hold ensures the records are available for use during court proceedings. Programs should suspend disposition actions for records identified as responsive to the litigation hold notice.
15. Metadata. Preserved contextual information describing the history, tracking, and/or management of an electronic document (36 CFR § 1220.18).

16. National Archives and Records Administration. An independent agency of the United States government charged with the preservation and documentation of government and historical records. It is also tasked with increasing public access to those documents which make up the National Archives (National Archives).
17. Nonrecord Materials. Federally owned informational materials that do not meet the statutory definition of “records” (44 U.S.C. § 3301) or have been excluded from coverage by the definition. Excluded are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit (36 CFR § 1220.18).
18. Permanent Record. Any federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody. The term also includes all records accessioned by NARA into the National Archives of the United States (36 CFR § 1220.18).
19. Privacy Act. A United States federal law that governs the collection, maintenance, use, and dissemination of personally identifiable information about individuals that is maintained in systems of records by federal agencies (5 U.S.C. § 552a, “Privacy Act of 1974”).
20. Records Life Cycle. A concept used to describe how a record is handled throughout its lifespan. The records life cycle has three main phases: creation, maintenance and use, and disposition.
21. Records Management. Planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the federal government and effective and economical management of Agency operations [44 U.S.C. § 2901(2)].
22. Records Schedule. This identifies records as either temporary or permanent. All records schedules must be approved by NARA. A records schedule provides mandatory instructions for the disposition of the records (including the transfer of permanent records and disposal of temporary records) when they are no longer needed by the agency. As part of the ongoing records life cycle, disposition should occur in the normal course of agency business. Federal records must be scheduled (44 U.S.C. § 3303, Lists and schedules of records to be submitted to the Archivist by head of each Government agency) either by an agency schedule or a GRS.
23. Series. File units or documents arranged according to a filing or classification system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a records series (36 CFR § 1220.18).

24. Temporary Records. Federal records NARA approves for either immediate disposal or for disposal after a specified time or event (36 CFR § 1220.18).
25. Unscheduled Records. Federal records, the final disposition of which has not been approved by NARA on an SF 115, Request for Records Disposition Authority.