RECORDS MANAGEMENT HANDBOOK

U.S. DEPARTMENT OF ENERGY

Office of Chief Information Officer

2016

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FOREWORD

The Records Management Handbook provides federal employees and contractors basic guidance for the handling of Department of Energy (DOE) records and related materials. This guidance applies to all types of media, unless specified otherwise.

DOE OCIO Records Management Program team members and local records management professionals (Section 2.0 Records Management Program at DOE) are available to provide further guidance or assistance as needed.

1.0 Introduction to Records Management

The Department of Energy (DOE) mission depends on proper documentation of DOE business operations and decisions. Additionally, the public trusts that records are managed appropriately.

1.1 Records

Federal records are:

> 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 USC 3301).

Chapter Highlights

- Records
- Records Management
- Objectives
- Governance
- Responsibilities & General Requirements

There are the four criteria in the definition pertaining to whether the recorded information is a record:

- Any media or "form" can be a record, whether it is a traditional form (such as paper) or if it is manipulated, communicated, or stored in digital or electronic form (such as a word processing document).
- A record can be either made or received by DOE employees and contractors.
- The recorded information relates to the transaction of public business and should be preserved because it evidences the organization, functions, policies, decisions, procedure, or other U.S. Government activities.
- The data contains informational value.

Records may be either temporary (eventually destroyed due to limited value or use) or permanent (kept forever due to their historical or significant value). A record is temporary or permanent based on its disposition schedule (see Section 2.5, Records Schedules).

1.2 Records Management

Records management is the:

> Planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations (see 44 USC 2901).

Records are managed throughout a "records lifecycle," which has three stages:

1. Creation or Receipt (Section 3.0, Records Creation or Receipt)
2. Maintenance and Use (Section 4.0, Records Maintenance and Use)
3. Disposition of Temporary and Permanent Records (Section 5.0, Records Disposition)
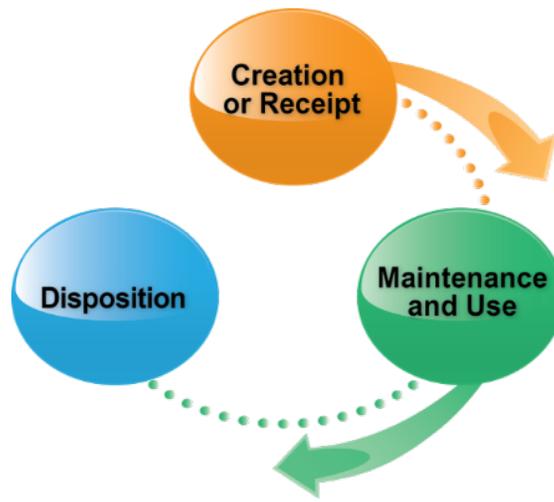
Exhibit 1-0 below shows the Records Lifecycle stages

Exhibit 1-0 – Records Lifecycle

1.3 Objectives

The primary objectives of records management within DOE are to ensure the capture, storage, retrieval, disposal, and preservation of records that serve as documentary evidence of the work and history of DOE.

One of primary concerns is ensuring that records are carefully preserved when they have value for future study by scholars and historians. Properly managed files will prevent the loss of historical records and make filing easier, simpler, more logical, and more efficient.

1.4 Governance

The National Archives and Records Administration (NARA) shares responsibility with federal agencies to ensure that each agency creates and preserves records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. The Archivist of the United States, as head of NARA, provides direction, guidance, assistance, and oversight through issuance of records management regulations and standards applicable to all federal agencies (see 36 CFR Chapter 12, Subchapter B, Records Management).

1.4.1   Federal Laws, Regulations, and Requirements

Federal records management is mandated by the following laws and regulations:

- 44 USC 2901 through 2909 governs records management by NARA and the General Services Administration.

- 44 USC 3101 through 3107 governs records management by federal agencies.

- 18 USC 2071 describes penalties for willfully and unlawfully destroying, damaging, or removing federal records.

36 CFR Chapter XII Subchapter B provides regulations implementing 44 USC 3101 through 3107

December 5, 2016

On August 24, 2012, the President issued Managing Government Records Directive (M-12-18), which provides multiple requirements including the elimination of paper and the use of electronic recordkeeping to the fullest extent possible.

On September 15, 2014, OMB and NARA issued Guidance on Managing Email (M-14-16) which provides details on NARA's Capstone approach, designed to assist agencies with meeting the goals outlined in M-12-18 pertaining to electronic messaging.

1.4.2   DOE Requirements

DOE Order 243.1b, Records Management Program provides the foundation and requirements for the establishment and maintenance of the DOE Records Management Program. It implements and provides the requirements and assigns responsibilities for creating and preserving DOE records, to include the management of unique sets of records. The Contractor Requirements Document (CRD) provided in Attachment 1 of DOE O 243.1b, provides the requirements contractors must follow when they create, use, maintain, receive, disseminate, or dispose of DOE records in connection with the performance of DOE-funded tasks or activities.

Records schedules approved by NARA provide mandatory instructions for the disposition of the records (including the accession of permanent records and disposal of temporary records) when they are no longer needed by the agency. All federal records must be scheduled (44 USC 3303) either by an agency schedule or a General Records Schedule (GRS).

1.5 Responsibilities & General Requirements

Every federal employee and contractor is responsible for creating, managing, protecting, and disposing of federal records in their custody. There are legal consequences for destroying records without the proper authority. Following sound records management practices benefits the Department in many ways, including improving access to information and preserving agency historical records.

1.5.1 Senior Officials

Senior officials should be fully informed of federal laws and requirements concerning records held by their organizations, including:

- The legal requirements governing the disposition of DOE and DOE-contractor records (removal or destruction of records may occur only when authorized by NARA in a DOE records disposition schedule or in the NARA-published General Records Schedules, as signed by the Archivist of the United States);

- The criminal penalties for the unlawful removal or destruction of federal records (18 USC 2071 and 36 CFR 1228.102) and the unlawful disclosure of national security information (18 USC 793, 794, and 798);

- The handling of records containing information exempt from disclosure under the Freedom of Information Act (FOIA) (5 USC 552), the Privacy Act (5 USC 552a), or other information restricted by law; and

- The legal responsibility of an employee to inform their Program Records Official (PRO) (Section 2.4 Records Management Community) of any actual, impending, or threatened unlawful removal, alteration, or destruction of records. The PRO receiving the information must ensure that the Departmental Records Officer (DRO) is immediately informed in accordance with accepted reporting procedures.

1.5.2 Contractors

All contractors, regardless of whether they are federal, Managing & Operating (M&O) contractors, or other must manage government-owned records according to their governing government contract.

Government-owned records as defined in the Access to and Ownership of Records clause (48 CFR/DEAR 970.5204-3) are all records acquired or generated by the contractor in the performance of their contract, including records series described within the contract as Privacy Act systems of records. These records are the property of the Government and shall be maintained in accordance with 36 CFR Chapter XII, Subchapter B, "Records Management." The contractor shall ensure records classified as Privacy Act system of records are maintained in accordance with 48 CFR/FAR 52.224.2 "Privacy Act."

Contractor-owned records are also defined within the Access to and Ownership of Records clause (48 CFR/DEAR 970.5204-3) and include:

- Employment-related records (excluding those listed as Privacy Act systems of records)
- Confidential contractor financial information
- Records relating to any procurement action by the contractor, except records under 48 CFR 970.5232-3
- Legal records
- Technology transfer records related to executed license agreements, Cooperative Research and Development Agreement (CRADA) information, patent, and copyright application files (see the "Access to and Ownership of Records" clause for further details)

1.5.3 New Employees

In general, new federal employees and contractors will receive records management information and requirements during the onboarding process either through official human resource processes or through association with their local records contact. In the absence of a records management briefing or lack of provided related documentation, resources such as the Records Management Handbook and other guidance products are available for reference at the Records Management energy.gov and PowerPedia pages.

1.5.4 Exiting Employees

DOE O 243.1b, Records Management Program provides the Department's final exit policy concerning records. By law, federal records may not be removed from Government custody nor may they be destroyed without a records disposition schedule that has been approved by the Archivist of the United States. Accordingly, every federal employee and contractor has an obligation to preserve and protect federal records. Occurrences of unauthorized records destruction or removal of records from Departmental custody without appropriate approval must be reported immediately to the DRO.

1.5.4.1 Records Inventory

Federal and contractor employees should contact their local records contact approximately two weeks prior to departure and identify federal records for which they have custody and responsibility.

Records, regardless of media, shall be inventoried (see Section 5.1, Records Inventory) and those on file servers, hard drives, and in email systems shall be copied and removed or reassigned.

- Inactive records must be transferred to a records management custodian and active records must be reassigned to another employee.

- Depending on the status of the contract, the departing contractor employee's records must be reassigned to another contractor or federal employee or incorporated into the Department's official files.

- All file searches for which the employee has been tasked must be completed or reassigned, such as those for FOIA, Congressional, or litigation-related document requests.

1.5.4.2 Vault and Restricted Area Combinations, Passwords, and File Cabinets

Vault and restricted area combinations, computer and system passwords, and filing cabinet keys must be turned over to the departing federal employee's supervisor or the contractor employee's supervisor / Contracting Official's Technical Representative (COTR) (accounting for necessary security clearances).

1.5.4.3 Departing Senior Officials

Although federal records may not be removed, departing senior officials are allowed to create a limited number of *duplicate* copies of unclassified documents for reference or personal use when warranted by the level of their position, significance of the work or research, or the prestige of the researcher. Such copies are considered non-record material.

DOE senior officials may retain these extra copies, provided the retention will not:

- Diminish the official records of the Department;

- Violate confidentiality required by national security, privacy, or other interests protected by law; and

- Exceed normal administrative economies, such as the administrative costs of storage and maintenance.

Senior officials may remove documentary materials that are of a purely personal nature when they leave the Department. Personal materials include family and personal correspondence and materials documenting outside professional activities and outside business or political pursuits.

Removal of any of the above items must be reviewed and approved by the PRO, Records Management Field Officer (RMFO), or the DRO before they may be removed to ensure that the law and all Departmental policies are properly followed. An accounting must be made of all non-record and personal papers that are removed.

1.5.4.4 Certification

A certification must be made by the departing employee that all federal documents, records, and files, regardless of media, have been identified and transferred to a records management custodian or COTR, or have been reassigned to another employee. The appropriate records official (Headquarters – Records Liaison Officer (RLO) or Records Management Field Officer (RMFO) (see Section 2.4 Records Management Community), or contractor's COTR must initial the certification.

The exiting employee should work with local Human Capital officials, their records contact, and any other officials with a vested interest to complete requisite forms, such as HQ F 3293.1, Headquarters Employee Separation Clearance. Completion of this form is required for exiting HQ federal employees; section 7c "RLO Action" should be completed with the appropriate RLO's assistance. "Employee Separation: Completing HQ F 3293.1, Section 7c" provides instructions on the completion of section 7c of HQ F 3293.1.

DOE Records Management Program Office has released an additional Employee Exit guidance product for further information.

Field and contractor exit processes may have unique requirements. Contact your local records contact for further information.

1.4.3 Penalties for Unauthorized Creation and Destruction of Records

Records created or acquired by an official or employee of the Department in the course of conducting DOE business are the property of the Department. The maximum penalty for the willful and unlawful removal, mutilation, obliteration, destruction, or private use of any federal record includes a fine, up to three years in prison, or both (18 USC 2071). All employees are responsible for reporting any actual or threatened unlawful loss or removal of official records to the Departmental Records Officer, Office of the Chief Information Officer.

Due to the increase of telework, employees and contractors should ensure that records created off-site are captured within a federal system or network. In particular, federal employees are prohibited from creating or sending a record using a non-official electronic messaging account unless the message is originally copied to or forwarded to an official electronic messaging account within 20 days. Electronic messaging tools may not be limited to just email. To encourage compliance and promote the seriousness of records management, the law provides for disciplinary action for intentional violations (44 USC 2209).

2.0 Records Management Program at DOE

The Department of Energy (DOE) Records Management Program ensures compliance with the Federal Records Act of 1950, as amended, by promoting the management of records throughout their lifecycle in an economical, efficient, and effective manner. Implementation of a sound records management program provides decision-makers and others with the right information for mission performance through the creation and maintenance of records, while also protecting the rights and interests of the Department and the American public.

Chapter Highlights
▪ Mission ▪ Goals ▪ Records Management Program Office ▪ Records Management Community ▪ Records Schedules ▪ Training

2.1 Mission

The DOE Records Management Program (RMP) mission is to establish and maintain policies and procedures for the systematic management of DOE records. Through managing records during their lifecycle, DOE preserves and protects records in accordance with requirements set forth by the Congress, the National Archives and Records Administration (NARA), the Office of Management and Budget (OMB), other federal agencies, and DOE.

2.2 Goals

DOE records management goals include:

- Enable a more efficient RMP through the use of the technology and enterprise-wide established best practices

- Ensure risk management practices are in place to determine when best to avoid, mitigate, accept, or eliminate information risks and to respond to compromises

- Enhance processes for standardizing responses and promoting reuse of solutions

- Provide records management training and expert advice to DOE employees and contractors

2.3 Records Management Program Office

The Records Management Program Office operates within the Office of the Chief Information Officer (OCIO). The Records Management Program Office develops and provides records management policy, directives, assistance, guidance, and direction to the Records Management Community (RMC) and the Department as a whole. Through the Departmental Records Officer (DRO), the Records Management Program Office reports to the Secretary every year on the status of records management in DOE.

The Records Management Program Office works closely with the DOE Senior Agency Official (SAO) for records, who is the Chief Information Officer. The SAO has direct responsibility for ensuring that the department efficiently and appropriately complies with all applicable records management statutes, regulations, NARA policy, and the requirements of the Managing Government Records Directive.

DOE O 243.1b, Records Management Program, establishes the Records Management Program Office's responsibilities.

The Records Management Program Office is available for questions or concerns that cannot be resolved locally or have an impact on multiple elements within the Department.

2.4 Records Management Community

The Records Management Community (RMC) is a vital part of the success of records management initiatives and projects at DOE. The RMC is a network of DOE records management professionals throughout the United States at a variety of DOE program offices, staff and support offices, field sites, and laboratories. These individuals have the knowledge and expertise to do any range of records management activities including, but not limited to, records transfers and disposals, records scheduling, inventories, and training.

The following program roles exist within each element, where appointed, and serve as the primary roles and contacts within the RMC.

- Agency Records Officers (AROs) have records management responsibility with appropriate authority to support, coordinate, and implement oversight of their respective records management programs consistent with federal laws and regulations. Additionally, AROs provide senior records management analysis and subject matter expertise for guidance, direction, and oversight of their RM program under the DOE Records Management Program.

- Per the DOE O 243.1b, Records Management Program, a Program Records Official (PRO) must be assigned to each DOE element. A PRO is a federal senior-level DOE HQ manager who has program and field site oversight, budgetary, and signatory authority to approve records matters for the program and serves as the program liaison with the Departmental Records Officer.

- A Records Management Field Officer (RMFO) is a federal senior manager who represents a field site, office, or laboratory and implements the records management program for their respective organizations; they also serve as liaison with the DOE HQ PRO, and provide oversight and guidance to federal and contractor records management programs.

- A Records Liaison Officer (RLO) provides day-to-day administration of an organization's records management program and acts as liaison with the PRO or RMFO, as appropriate.

- A Contractor Records Custodian (CRC) is a contractor representative for a program, staff, or support office (in DOE HQ and the field) who provides day-to-day administration of an organization's RM program and acts as liaison with their PRO or RMFO as appropriate.

When DOE employees or contractors have questions on records management, they should first reach out to their local records contact who is familiar with their element and the records they deal with on a daily basis.

All records management contact information can be found at "Contacts for Information Management: Forms & Records."

2.5 Records Schedules

Records schedules help determine when to keep, transfer, and destroy records. As such, they are essential to the appropriate and accurate completion of actions detailed within Section 5, Records Disposition.

Presently, there are four types of records disposition schedules at DOE:

1. **General Records Schedules (GRS)** are NARA drafted and approved disposition schedules for records common to federal agencies. All agencies are required by law to follow the GRS disposition instructions unless an agency has received an exemption from NARA.

2. **DOE Administrative Records Schedules** are scheduling guidance products customized for DOE records. The Administrative Records Schedules contain NARA GRS customized for DOE (and its contractors) as well as any NARA-approved DOE specific records disposition

schedules. These guidance products do not include Power Marketing Administration records specific schedules or other programmatic and site specific schedules.

3. **Program Specific Records Schedules** are NARA-approved schedules that cover the unique program records held by any Departmental or contractor office.

4. **Site Specific Records Schedules** covers record held by specific Departmental or contractor offices, and are specifically approved if they are not covered elsewhere in other schedules or those that do not meet the needs of the sites. Only the site identified in a site specific schedule may use it, unless permission has been granted by the DOE Records Management Program and/or NARA.

These schedules identify and authorize the selective disposition of records for two different retention periods (i.e., the length of time that records should be kept or retained):

- Permanent retention of records of continuing value that should never be destroyed; and

- Temporary retention of records with temporary value that can be destroyed after the expiration of a specified time period or on the occurrence of a specific event.

2.6 Training

Basic records management training, also known as "Records Management 101" or "RM 101," is currently provided to promote general awareness of RM. RM 101 is mandatory and should be taken annually. It is available on the Human Capital (HC) training site Online Learning Center (OLC) and the DOE Contractor Training Site.

3.0 Records Creation or Receipt

Records creation or receipt is the first stage of the records lifecycle. The objectives of this stage are to:

- Create complete and accurate records that provide adequate information to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that are designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the Department's activities.

- Distinguish between record and non-record material through the appropriate application of the definition of records to documentary material.

3.1 Identify Federal Records

Information in any format or media that is created or received while fulfilling duties as a federal employee or contractor, or conducting official business that evidences Departmental functions, organization, and activities is a federal record. Attachment 3, Determining Record Status provides a high-level checklist to assist with determining if a document is a federal record.

3.1.1   Essential Records

Essential records, also known as vital records, specify how the Department will operate in case of an emergency or disaster. These records are vital to the continued operations of the Department during and after an emergency or disaster, and are needed to protect the legal and financial rights of the Government and of the persons affected by its actions. For additional requirements not included in this section, see DOE O 243.1b, Records Management Program and NARA's Records Emergency Information guidance.

3.1.1.1 National Essential Functions

Essential records support two types of National Essential Functions which must operate under any kind of emergency and are critical elements of a successful continuity plan and program:

1. Mission Essential Functions (MEFs) are a set of department and agency level government functions that must be continued throughout or resumed rapidly after a disruption of normal activities; enable DOE to provide vital services, exercise civil authority, maintain safety of the public, and sustain industrial/economic base during disruption of normal operations.

2. Primary Mission Essential Functions (PMEFs) are mission essential functions that must be performed in order to support the performance of National Essential Functions before, during, and in the aftermath of an emergency. These functions should be continuous or resumed within 12 hours of an event and maintained for up to 30 days or until normal operations can be resumed.

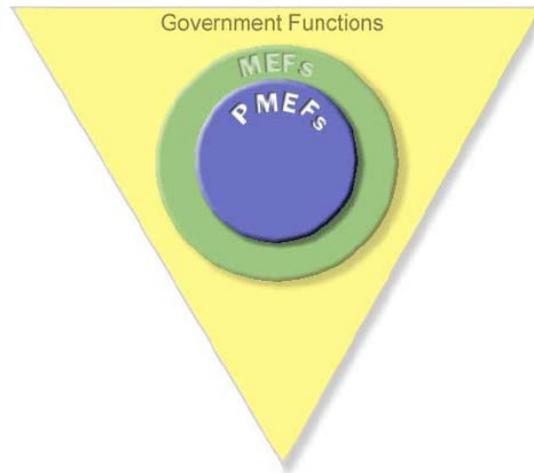**Exhibit 3-1 below shows the relationship between MEFs and PMEFs**

Exhibit 3-1 – Federal Emergency Management Agency (FEMA) National Essential Functions

3.1.1.2 Emergency Operating Records

Emergency operating records are a type of essential records essential to the continued functioning or reconstitution of an organization during and after an emergency, such as:

- Emergency plans and directives
- Orders of succession
- Delegations of authority
- Staffing assignments
- Selected program records needed to continue the most critical Departmental operations
- Related policy or procedural records that assist staff in conducting operations under emergency conditions and for resuming normal operations after an emergency
- Records necessary for the mobilization and protection of material, human resources, services, and systems
- Records necessary for the maintenance of public health, safety, and order
- The conduct of essential civil defense activities

3.1.1.3 Legal and Financial Rights Records

Legal and financial rights records are essential to protect the legal and financial rights of the Government and of the individuals directly affected by its activities, such as:

- Accounts receivable records
- Social security records
- Payroll
- Leave

- Retirement
- Insurance
- Records of significant amounts of money owed to the Department or to contractors and, if needed, supporting records such as periodic summaries of financial status
- Valuable research records

3.1.2   Social Media Records

The use of social media websites, such as Facebook, Twitter, and Instagram, may result in the creation or receipt of records.

When determining if a social media post and/or the public comments received for a posting is a record, review the federal definition of a record as provided in 44 USC 3301 and review Attachment 3.

3.1.3   Email Records

Many of the records DOE federal employees and contractors create and receive in the course of their daily work are emails.

Email records are documents created or received on an email system including notes, formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which are transmitted by electronic message. Records are defined in 44 USC 3301, and 36 CFR 1222.10.

Email records should be captured electronically, not simply printed out on paper and then deleted. Note that email systems may omit send, receipt, and recipient information from the hardcopies when printing; therefore, the hardcopies are not identical copies of the electronic version of the email.

3.1.4 Record Status of Copies

Whether a particular document is a record does not depend on if it contains unique information or if it is a copy. Multiple copies of the same document containing duplicative information, including messages created or received on email systems, may each have their own record status depending on how they are used to transact agency business. They may be stored and maintained in completely different filing systems, and may have different retention periods.

Exhibit 3-2 below is an example of when a record may meet different functions and be filed separately.
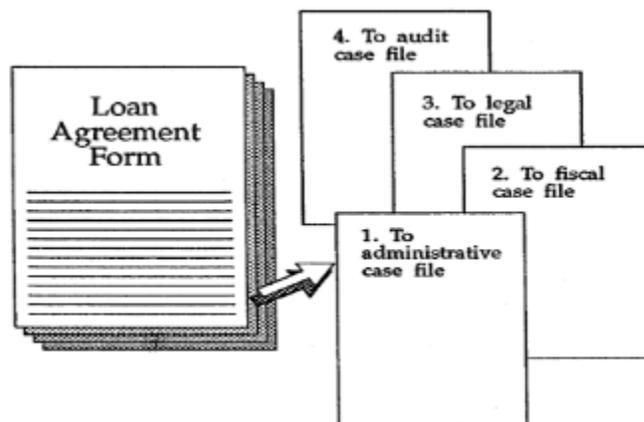

Exhibit 3-2 – Multiple Record Copies of a Single Form

3.1.5 Working Files and Similar Materials

Working files, such as preliminary drafts and rough notes, and other similar materials must be maintained for purposes of adequate and proper documentation if:

- They are circulated or made available to employees, other than the creator, for official purposes such as approval, comment, action, recommendation, follow-up, or to communicate with agency staff about agency business.

- They contain unique information, such as substantive annotations or comments included therein, that add to a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, or responsibilities.

3.1.6   Non-record Materials

Non-record materials are government-owned documentary materials that do not meet the conditions of record status, or are specifically excluded, such as:

- Duplicate copies of records kept only for convenience of reference

- Library and museum material intended solely for reference or exhibition

If you are unsure that what you are looking at is a non-record, contact your local records officer for verification and review 44 USC 3301 and Attachment 3.

3.1.7   Personal Papers

Personal papers are documentary materials belonging to an individual that are not used in the conduct of Department business (36 CFR 1220.18). Personal papers are excluded from the definition of federal records and are not owned by the Government. Examples of personal papers include:

- Materials accumulated by an official before joining Government service that are not used subsequently in the transaction of Government business;

- Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to agency business; and

- Diaries, journals, personal correspondence, or other personal notes that are not prepared to be used for, or circulated or communicated in the course of, transacting Government business.

Materials labeled "personal," "confidential," "private," or similarly designated, and used in the transaction of public business, are federal records. The use of a label such as "personal" is not sufficient to determine the status of documentary materials in a federal office (36 CFR 1222.34).

3.2 Capture of Records

Information that is received by Department personnel from sources external to the Department and that meets the definition of a record must be captured as a record, regardless of media.

Paper records may be captured physically or can be scanned or digitized into an electronic format. Due to the rise of technology and electronic systems, converting paper to electronic records may be a priority for many offices as it offers many benefits including, but not limited to:

- Easy access to records, as electronic records may be accessed from multiple locations;

- Effective use of resources, since electronic records may be stored or relocated using less expensive storage options; and

- Improved customer service, with easier access to records.

Received electronic records may be captured in the original format in shared drives or electronic systems that allow records to be deleted according to approved records disposition schedules.

Many electronic records are now received through email. Emails and any corresponding attachments should be retained in an electronic environment to the fullest extent possible, preferably outside of an email application, such as Outlook, as applications may not disposition records according to federal requirements. Printing emails, or any other electronic record, for the purpose of filing or storage should be limited as much as possible.

4.0 Records Maintenance and Use

Records maintenance and use is the second stage in the records lifecycle. The objectives of this stage are to:

- Preserve the integrity of a record by ensuring it has not been altered after completion;

- Maintain usability of the record by those with a need for the information;

- Facilitate identification and retention of permanent records; and

- Maintain permanent and temporary records separately.

Chapter Highlights
▪ Records Inventory ▪ File Plan ▪ Planning and Arranging Files ▪ Records Storage & Maintenance Requirements

4.1 Records Inventory

A records inventory is a complete and accurate survey of business information, which identifies:

- Ownership (office of creation)

- Title

- Location

- Disposition identified in approved records disposition schedules

- Volume (usually identified in cubic feet)

- Media (microform, paper, electronic, etc.)

- Arrangement

- Special circumstances (classification, essential records, quality assurance, etc.)

An inventory may also provide an indication of other concerns such as the rate of file growth for storage planning.

It will provide the foundation your program needs to complete a file plan and schedule your records.

Your local records contact will be able to assist your program with inventorying its records.

4.2 File Plan

File plans specify how records are to be organized once they have been created or received, provide a "roadmap" to the records created and maintained by an organization, and facilitate the eventual transfer or destruction of the records. The file plan provides a standardized records classification scheme that improves filing, enhances access and retrieval, and supports the use of records disposition schedules.

Although there are many approaches to developing file plans, they are typically organized hierarchically according to the functions of the organization. Each function is assigned a plan item number or file code and subcategories are identified by extensions of the main number. These may be determined by programs locally as needed, but there is no set requirement for the numbering of file folders or categories.

Table 4-1 represents a basic, two-level file plan outline. This is an example that programs can use to develop ideas for how to organize and label their own file plans.

DRAFT | DELIBERATIVE | PRE-DECISIONAL

0010 MANAGEMENT AND ADMINISTRATION	
0010.10	General Correspondence
0010.15	Short-Term Records
0015.05	Supplemental Directives (Procedures, Plans)
0050 DIRECTORATE	
0050.05	High-Level Correspondence
0050.10	Records of High-Level Officials
0050.15	High-Level Administrative Files
0300 PUBLIC AFFAIRS	
0305.02	Congressional Correspondence
0315.05	Public Affairs Correspondence
0320.10	Media Interface & Public Relations

Table 4-1 Basic, Two-Level File Plan Outline

In the file plan example above, the functional categories (e.g., 010, 0050, 0300) represent a folder (in an electronic filing system) or a filing guide (in a paper system). The subcategories then become a subfolder (in an electronic filing system), or a paper folder (in a paper system). It is at this subcategory level that records are dispositioned.

A comprehensive office file plan provides a "location" for every record in an electronic or paper filing system. Understanding the file plan helps users know where to file their records and helps others know where to find the records they need to complete their tasks. Linking the file plan categories and subcategories to the appropriate record disposition schedules enables users to implement the proper retention and disposal of the records.

Table 4-2 below is an example of a DOE administrative file plan.

MANAGEMENT AND ADMINISTRATION				
0010.10	General Correspondence	Correspondence documenting the day-to-day operations and routine administration.	Upon document creation/receipt	ADM-16.1.5.B (15Y)
010.15	Short-term Records	Records of short-term interest, including in electronic form (e.g., email	Retain in office	GRS-23.7 (3M-1Y)

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DRAFT | DELIBERATIVE | PRE-DECISIONAL
UNCLASSIFIED

		messages), which have minimal or no documentary or evidential value.		
0015.05	Supplemental Directives (Procedures, Plans)	Guidance Documents pertaining to administrative functions, i.e., overall management, budgets, personnel, IT, Records Management, supply and similar activities.	Upon document creation/receipt	GRS-23.1.A (2Y or when superseded or obsolete)
DIRECTORATE				
0050.05	High-Level Correspondence	Correspondence documenting the development and overall implementation and administration of functions pertaining to the overall mission as well as opinions and decisions that set precedents. (These files are generally found in the offices of the director or senior staff.)	Upon document creation/receipt	ADM-16.1.5.A (Permanent)
0050.10	Records of High-Level Officials	Records of High-Level Officials consisting of files relating to the activities of the director or senior staff containing records such as appointment books, day planners, schedules, diaries and other records documenting meetings, appointments, telephone calls, trips, visits, etc.	Upon document creation/receipt	ADM-23.5.1 (Permanent)

Table 4-2 – Administrative File Plan (Example)

While file plans assist in filing, accessing, and dispositioning records, file manuals may be needed for large filing areas to provide a greater level of detail on how each category or subcategory of record is managed. Information provided in a file manual often includes the following information about a record category:

- Location – Where the electronic files or hard copies are physically maintained

- Custodian – The person responsible for filing the record copy of the electronic file or hard-copy document

- Content – A description of the documents that should be filed in order to ensure a complete and accurate record of the activity

- Arrangement – How documents are organized within the folders

- Labels – Instructions on how to identify the electronic or hard-copy folders

- Disposition – Cut-off or transfer information from the records disposition schedule

4.3 Planning & Arranging Files

Regardless of the method used for filing, records must be easily retrievable and be separated by record status (i.e., record versus non-record), and by retention period (i.e., temporary versus permanent).

4.3.1   Official File Stations/Network Share Drives

Official file stations or network share drives are specifically designated organizational units where official file copies of documents are maintained. For electronic records, official file stations may be established on a network drive. File stations may be established at any organizational level necessary to provide a network of recordkeeping locations within an office or division to:

- Provide technical control and supervision of official files;

- Facilitate coordination between and among file stations; and

- Ensure uniformity in filing and reference procedures.

4.3.2   Centralization & Decentralization of File Stations/Network Share Drives

Determining whether your office requires a centralized or decentralized file station depends on the office needs.

In centralized files, the files of a unit are maintained in one central location, controlled by a records staffer. For large centralized filing systems, several people may be required. Consider locating files to a centralized file station when:

- More than one work unit has need for the same files.

- Units are sufficiently near the central file for prompt service.

A centralized storage system can reduce duplication and provide clear roles and responsibilities regarding records management. However, this system has several disadvantages:

- Full-time staffing may be required.

- Records may become distant from staff and may be difficult to retrieve for use.

- Significant investment in terms of facilities and filing equipment or additional technology for electronic records may be required.

A common example of a centralized storage system is a records holding area or network shared drive.

A decentralized filing system maintains records throughout an office or unit, generally at individual work stations and the records are usually controlled by the person who creates or receives them. Consider locating files in a decentralized file system when:

- Files are of interest to only one person or office.

- Centralized filing is too distant for efficient service.

- Information must be immediately available to the creator.

- Constant reference is made to the files by one person or office.

Additionally, a decentralized system can allow staffers to feel more comfortable knowing they are in control of their records. However, there are also a few disadvantages:

- Confusion regarding where information can be found, especially when a staff member is out of office or has left the agency.

- Information may be duplicated or fragmented in multiple places as several individuals may be holding the same record.

- Lack of education regarding file organization may result in improper maintenance and management of records, as well as a lack of uniformity or consistency in file organization.

4.4 Records Storage & Maintenance Requirements

There are a variety of requirements that should be considered when determining where and how to store and manage records.

For example, records should not be interfiled with non-record materials. Personal files must be clearly designated and maintained separately from the office's official records. If information about private matters and agency business appears in a document, the document is a federal record. However, a copy of the document can be made with the personal information deleted or redacted, and captured as the federal record.

Below are some other requirements that should be taken into account prior to the storage of your program's records.

4.4.1 Security

Security should be considered when records are stored and maintained, whether locally or within a records storage facility (see Section 5.2, Records Transfer for more details on storage facilities).

4.4.1.1 Classified Records

Classification requirements must be followed as long as the information remains classified. For the security requirements and responsibilities affecting classified records, see DOE O 471.6, Information Security. Clearly identifying classified records on the records inventory may assist in complying with this Order. Within DOE, only persons who have been trained and certified as Derivative Classifiers may determine if a document contains classified information. For information on the proper identification of classified records, see DOE Order 475.2B, Identifying Classified Information.

Every employee with a clearance signs the DOE F 5631.18, Security Acknowledgement, in which they agree to the appropriate protection of classified matter. Every person granted a security clearance by the U.S. Government must protect the classified matter with which they are entrusted. That means the person must control access to that information and ensure it is not disclosed to unauthorized persons. There is a multi-part test to determine if classified information can be shared with another person:

1. Does the other person have a security clearance at the appropriate level?
2. Does the other person have the appropriate access authorizations to permit access to the classified matter?
3. Does the other person "need-to-know" that classified information?

If the answers to these questions are "no" then the classified information cannot be disclosed to the other person.

4.4.1.2 Sensitive Unclassified Records

Official Use Only (OUO) is information which if released to an unauthorized person could damage Government, commercial, or private interests and may be exempt from public release under the Freedom of Information Act (FOIA). Information that is OUO includes, but is not limited to, Personally Identifiable Information (PII), proprietary information, and Export Controlled Information (ECI).

An individual does not require a security clearance to have access to OUO. In general, OUO may be given to anyone who has a need-to-know. However, some types of OUO have additional access limitations. For example, foreign nationals must not have access to ECI.

For specific requirements regarding OUO, refer to DOE Order 471.3, Admin Chg 1, Identifying and Protecting Official Use Only Information and DOE Manual 471.3-1, Admin Chg 1, Manual for Identifying and Protecting Official Use Only Information.

Another type of sensitive unclassified information is Unclassified Controlled Nuclear Information (UCNI). Only persons who have been trained and certified as UCNI Reviewing Officials may identify documents containing UCNI. For specific requirements regarding UCNI refer to 10 CFR 1017 and DOE Order 471.1B, Identification and Protection of Unclassified Controlled Nuclear Information.

4.4.2 Records Storage Media

Records storage media refers to the material or platform used for the storage of the records. Records on specific types of materials often have some prescribed environmental conditions and/or product specifications to prevent information loss. Similarly, the file type of electronic records should be considered as certain file types may become unsupported when systems and applications become obsolete.

4.4.2.1 Social Media Records

It is up to the individual office to capture and manage the records created or received through social media. Sometimes the social media website will allow for export of record content. This may be determined by reviewing the terms of use.

Once social media records are captured, they should be managed like any other record within a recordkeeping system.

For information on using social media, programs should conform to DOE's Social Media policy. For more guidance on social media records, DOERM has released "Social Media Records and You." For further guidance and assistance with capturing social media records work with your local records contact.

4.4.2.2 Email Records

Records created or received on email systems must be managed in accordance with the provisions and following the standards outlined in 36 CFR 1236, and as it pertains to the adequacy of documentation, recordkeeping requirements, agency records management responsibilities, and records disposition (36 CFR parts 1220, 1222, and 1226). Specifically, email records must be managed electronically (Managing Government Records Directive, OMB M-12-18).

Email must be preserved for its approved retention period, along with all essential transmission and receipt data. Disposition of all email records will be made in accordance with authorized disposition schedules.

4.4.2.2.1 Short-Term Records

As part of NARA's Records Management Initiatives to redesign federal records management, 36 CFR 1236.22c authorizes agencies to dispose of short-term email records (also known as transitory records) without creating a separate paper or electronic recordkeeping copy as was required under NARA's old regulation. These emails can be held within the email application for 180 days or less (GRS 23 item 7 and GRS 4.2 item 010).

If the "auto-delete" is set for 180 days, this may be applied to records with a shorter retention period as well; however, agencies are not allowed to use "auto-delete" for records with a retention period exceeding 180 days.

This regulation provides agencies with an alternative process for managing transitory email; agencies may continue to create and file separate copies of all email records including transitory records in a recordkeeping system.

4.4.2.2.2 Temporary and Permanent Records

Besides the text of email messages, email systems may provide record transmission and receipt data. Transmission data should be preserved with all email items classified as federal records. Similar to a paper record, this information is necessary for a complete record.

Email users should request receipt data when it is necessary for adequate and proper documentation of DOE activities. In such instances, when receipt data is associated with the record copy documenting these activities, the email message must be preserved.

Permanent and temporary email are maintained and made available for office use by filing the email electronically when an electronic recordkeeping system is used. Organizations that choose to manage emails in electronic recordkeeping systems must be able to perform all the requirements of preservation and disposition through the application system itself, or copy email records into an electronic recordkeeping system that is able to perform all the functional requirements set forth in federal regulations.

4.4.2.2.3 Non-Records

Some emails will be non-records, including personal emails. DOE federal employees and contractors should use the tools in their email application (such as Outlook) to remove any non-records.

4.4.2.2.4 Capstone, a New Approach

In 2013, NARA announced a new approach to managing email, called Capstone, which was developed to address the overwhelming amount of email records currently being produced in the federal environment and the need to adequately capture and control them. The approach allows agencies to classify and manage their email records by the role of the email user, holding senior officials record emails permanently and all other employees for varying periods.

The DOE Chief Information Officer (CIO) and Senior Agency Official (SAO) approved the Capstone approach for use at DOE. Email records captured and managed under the Capstone approach will be retained using GRS 6.1 following NARA's approval of DOE's NA-1005, Verification for Implementing GRS 6.1. For further information or updates, please contact your local records contact.

4.4.2.3 Electronic Systems

An electronic information system (EIS) contains and provides access to computerized federal records and other information. As EISs become more prevalent within the federal work environment, DOE must

ensure that federal records in electronic information systems can provide adequate and proper documentation of agency business as long as the information is needed.

An electronic recordkeeping system (ERKS) is a type of EIS in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. Some electronic recordkeeping systems use rules, which manually assign records disposition schedules to the emails based on specific metadata like sender or recipient, and auto-categorization, which uses a computer algorithm to identify patterns and elements within the email itself to assign a schedule. Some recordkeeping systems require a records professional to manually screen and identify records disposition schedules for each email or at a folder level.

4.4.2.3.1 System Development

Per 36 CFR 1236.6, DOE has three major responsibilities when it comes to electronic records management:

1. Incorporate management of electronic records into the records management activities;
2. Integrate records management and preservation considerations into the design, development, enhancement, and implementation of electronic information systems (see also: OMB Circular A-130, par. 8a(1)(k)); and
3. Appropriately manage electronic records.

To meet these requirements, DOE must ensure that records management requirements are considered when systems go through the System Development Life Cycle (SDLC). The SDLC is a process that plans, creates, tests, and deploys information systems and should not be confused with the records lifecycle as outlined in Section 1.2 Records Management.

It is essential that the following records management considerations be incorporated into an EIS throughout the SDLC process (36 CFR 1236.12):

- Records management controls must be planned and implemented in the system.

- All records in the system must be retrievable and usable for as long as needed to conduct DOE business (i.e., for their NARA-approved retention period). Where the records will need to be retained beyond the planned life of the system, DOE must plan and budget for the migration of records and their associated metadata to new storage media or formats in order to avoid loss due to media decay or technological obsolescence.

- Permanent records contained within the system must be accessioned to NARA and temporary records should be transferred to FRCs (see Section 5.0 Records Disposition).

- Provision of a standard interchange format (e.g., ASCII or XML) should be made, when needed, to permit the exchange of electronic documents between offices using different software or operating systems.

Additionally, DOE must ensure the reliability, authenticity, integrity, usability, content, context, and structure of the records contained within the EIS system by implementing appropriate controls.

4.4.2.3.2 Maintenance of Records within Systems

Records maintained in or created by an EIS must be managed in the same way as hardcopy records. They must be identified, organized for access and use, and have a defined records disposition schedule to determine when they are no longer useful or needed for Departmental business.

4.4.2.3 Audiovisual Records

Audiovisual records must be managed and stored in accordance with 36 CFR 1237. Cooler temperatures and lower relative humidity are recommended for the storage of film to prolong the useful life of the film base and image. For example, color images and acetate based media should be kept in an area maintained below 40° Fahrenheit with 20%-40% relative humidity (RH).

4.4.2.4 Micrographic Records

Micrographic records are managed and stored in accordance with 36 CFR 1238 and include the formats of roll film, computer output microfilm (COM), and microfiche.

- Permanent and unscheduled microform records must be stored under the extended storage conditions specified in ISO 18911:2010 and ANSI/PIMA IT9.22-1998, except that the RH of the storage area must be a constant 35% RH, plus or minus 5%. Non-silver copies of microforms must be maintained in a different storage area than silver gelatin originals or duplicate copies.

- Temporary records are stored under conditions that will ensure their preservation for their full retention period (ANSI/AIIM MS45-1990).

4.4.2.5 Magnetic Computer Tapes

Magnetic computer tapes must be maintained at a constant temperature of 62-68° Fahrenheit and a constant RH of 35%-45% (36 CFR 1237.18). In addition, magnetic computer tape containing permanent and unscheduled records are to be statistically sampled annually to discover and correct causes of data loss.

4.4.2.6 Direct Access Storage Media

Media, such as magnetic disks, CDs, DVDs, etc., are maintained at the constant temperatures and relative humidity levels based on recommended storage media or system manufacturers' minimum standards.

For example:

- Magnetic tapes should be stored in dust-free environments, at a constant temperature between 62° and 80° Fahrenheit and between 35% and 45% RH (NIRMA TG 15).

- CDs should be stored in cool and moderately dry environments. Recommended conditions: between 39° and 68° Fahrenheit and between 20% and 50% RH (NIST SP 500-252).

4.4.2.7 Cartographic and Related Records

Permanent and unscheduled cartographic, architectural, and engineering records should be maintained in an environment that does not exceed 70° Fahrenheit and with relative humidity under 50% (36 CFR 1237.22).

4.4.2.8 Faxes on Thermal Paper

Facsimile (fax) transmissions are no longer a common means of office communication; however, recipients should still provide for proper handling of fax transmissions that satisfy the legal definition of federal records. To this end, records managers must ensure that all employees are made aware of and understand their responsibilities concerning the preservation of faxes.

Many legacy faxes were made using "thermal paper," as opposed to plain paper. The images on thermal paper may begin to deteriorate in six months. Thermal papers are sensitive to heat and light, and will react with chemicals found in ordinary office environments (including markers, cosmetics, and some types of plastic folders), and may contain impermanent dyes. As a result, the text may fade, become illegible, or the whole paper surface may darken making the image indistinguishable. Thermal papers can be recognized by their smooth sheen and tendency to curl.

All thermal paper faxes that are federal records should be xerographically reproduced on plain paper at the time of receipt, except in the case of transitory documents that do not need to be filed. Plain paper copies that are federal records should be filed in office recordkeeping systems.

4.4.3 Historical Value

Since technology has provided new media for recordkeeping, records maintained in various media, such as electronic or micrographic media, need to be scheduled so that those with historical value are preserved. Historically valuable records should be maintained in sustainable formats. Neglecting historically valuable records may cause them to become lost or unusable. NARA makes the official federal government determination that records are historically valuable by identifying them as "permanent." Specific record series that contain permanent records are identified in approved records disposition schedules.

Permanent records will eventually be accessioned in their original form unless conversion is required or approved by NARA, in accordance with file format requirements in NARA Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records. Transformation of electronic records from one format to another could result in changes to the records content, structure, or metadata. Programs maintaining records in formats that do not conform to the Bulletin should coordinate with their local records contact (Section 2.4 Records Management Community) and the appropriate NARA office before migrating, converting, or altering permanent records to meet the NARA format requirements.

Additionally, unscheduled records have the potential to be permanently valuable, historical records. Until such time as NARA determines the records to be of either permanent or temporary value, they are required to be treated as if they are permanent. This will prevent those that really are permanent from being mistreated or lost during the period of time when they remain in the category "unscheduled."

4.4.4 Quality Assurance (QA)

Records for work licensed by the U.S. Nuclear Regulatory Commission (NRC) or an NRC Agreement State are subject to the QA requirements of that agency. 10 CFR 50 provides the applicable regulations.

Requirements regarding the preparation, issuance, revision, and maintenance of QA records is described in the DOE O 414.1D, *Quality Assurance*, or its latest version. It is important to note that the DOE O 414.1D applies all Departmental elements and their associated field elements except for the equivalency and exemptions in paragraph 3c of the order. Quality Assurance Rule 10 CFR 830.120, Subpart A, *Quality Assurance Requirements*, is applicable to records of the Department and its contractors conducting activities, which include providing items or services that affect or may affect nuclear safety of the Department's nuclear facilities.

4.4.4.1 Specified Records

For operating and review purposes, maintain the appropriate citation requiring the maintenance and designation so that correlation of the requirement with its performance is clearly demonstrable:

- Designation and Maintenance. Unless specifically exempted, the organizations affected by either of the two QA directives must designate QA records in accordance with the applicable directive's requirements. Additional requirements for control, maintenance, storage, and retention should then be established and applied to the designated records.

- Citation. Either the regulation or the directive will require the maintenance of the records series as QA records. Cite the applicable one in the records disposition schedule for each QA records series. Subsequent changes in requirements, if any, can be promptly implemented. In the event of an

audit, the auditors may be concerned with reviewing implementation of the applicable requirements.

4.4.4.2 Optical Disc Storage

NRC Generic Letter 88-18 provides for appropriate quality controls for QA records stored on optical discs:

- The technology does not allow deletion or modification of record images.

- The image of each record is written onto two discs.

- The legibility of each record image is verified to ensure that the image is legible on both discs. If the image is illegible, the hard copy record is maintained as the record copy.

- One disc is stored in the document imaging system for online retrieval.

- The backup disc is stored in a records storage facility meeting the requirement of ANSI N45.2.9-1974 for single copy storage or in a separate remote location.

- To ensure permanent retention, the records stored on an optical disc must be acceptably copied onto a new disc before the manufacturer's certified useful life of the original disc is exceeded.

- Periodic random inspections of images stored on disks must be performed to verify that there has been no degradation of image quality.

- If the disk document imaging system in use is to be replaced by an incompatible new system, the records stored on the old system's discs must be converted into the new system before the old system is taken out of service.

4.4.4.3 Training

Criteria 2, Management/Personnel Training and Qualification of the DOE Order 414.1D, Quality Assurance requires training and maintaining qualifications to perform assigned jobs. Competent designation and maintenance of QA records requires special training to maintain job efficiency. For further information see DOE Order 414.1D.

4.4.5 Senior Officials

Although senior official's records should be managed and maintained like other records, some special circumstances and considerations must be addressed:

- Records of senior officials must be incorporated into files or electronic recordkeeping systems, especially records that were generated electronically on personal computers.

- Senior officials must only maintain records needed for current operations at their desks. When a record is finalized or when a case file is closed, the record must be incorporated into an appropriate recordkeeping system.

- Policy and decision-making conducted by senior officials verbally (*e.g.,* telephone) over the telephone or in meetings must be adequately and properly documented by preparing a dated and signed memorandum or form identifying the participants and summarizing the conversation or meeting. All personnel should ensure that records of policy and decision making made or received through email and faxes are retained in appropriate recordkeeping systems.

- Supporting documents such as drafts and working files for reports, special studies, memoranda, and correspondence that contain high-level policies and decisions, policy formulation, and execution must be incorporated into office files. These supporting documents are needed to fully understand

the alternatives and options considered for high-level program initiatives and provide the basis for deciding on a course of action.

4.4.6 Essential Records

DOE O 151.1C, Comprehensive Emergency Management System and 36 CFR 1223 establish the requirements for the Departmental emergency operating records protection.

Emergency Operating Records must be available as needed at or in the vicinity of Emergency Operations Centers (EOCs). Mechanisms should be in place to ensure access to records during emergency situations.

36 CFR 1236 establishes the requirements for the Departmental legal and financial rights records protection program.

Legal and financial rights records require protection, but storage locations do not have to be at or in the vicinity of EOCs. Federal Records Centers (FRCs) or other suitable storage facilities are used for the storage of legal and financial rights records.

5.0 Records Disposition

Records disposition is the third step of the records lifecycle. Disposition refers to the actions taken for records that are no longer needed for current business. There are four actions that can occur during disposition.

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1. **Transfer.** Records can be moved from one location or a custodian's <u>physical custody</u> to another. This includes sending them to off-site storage or transfer to another office or department. For transfers other than these two types, the Departmental Records Officer should provide approval.

2. **Retirement.** Records can be transferred to storage until ultimate destruction or accession. For example, the National Archives and Records Administration (NARA) Federal Records Centers (FRCs) are storage facilities where federal records are commonly "retired."

3. **Destruction (Temporary Records).** Records can be physically destroyed or can be deleted, depending on the media format, when they have met retention requirements in an appropriate NARA-approved temporary records disposition schedule.

4. **Accession (Permanent Records).** A record is considered ready for accession when it is required to be kept permanently and has met the approved requirements to be given to NARA's <u>legal custody</u> **(**and in most cases physical custody as well). NARA determines which records are permanent through approved records disposition schedules. Accessioned records become the property of NARA.

5.1 Records Schedules

Records disposition is only achieved after records disposition schedules have been drafted and approved by NARA, which can be facilitated through your local records management contact.

5.1.1 Records Schedule Process

In brief, the scheduling process includes:

- Review of the mission responsibilities and recordkeeping requirements;
- An inventory of current files, regardless of media format, which helps identify records held by the program. Inventories are covered in Section 4;
- Matching inventoried records series with existing records disposition schedules; and
- Drafting records disposition schedules for records series that do not match an existing records disposition schedule, and obtaining approval from NARA using the Electronic Records Archives (ERA) or DOE F 243.2 Records Scheduling Request

Even the records that are maintained within an Electronic Information System (EIS) (see Section 4.4.2.3) should be scheduled when not covered by a GRS (44 U.S.C. 3303). As such, all EISs and the associated records must go through the scheduling process (DOE F 243.5, Electronic Recordkeeping System Questionnaire) as appropriate. Without an approved schedule, the records are not authorized for destruction and must be held indefinitely until a schedule is approved by the Archivist of the United States. Holding records indefinitely will expose the department to unnecessary risk of data compromise during a cyberattack, unintentional release of Personally Identifiable Information (PII), or Freedom of Information Act (FOIA) requests.

5.1.2 Review of Records Schedules

Each program is responsible for complying with the provisions of records disposition schedules and confirming that all of the program's records are covered by appropriate disposal instructions. Files should be checked at least annually, by comparing them with a previously completed records inventory to determine that it is still accurate and that the applicable records disposition schedules are adequate and are being followed. File plans should be updated as well.

Any program that is the primary office of interest for a program-specific records disposition schedule should review that schedule at a minimum of every three (3) years to ensure it meets current business needs.

In some cases, the program may determine a schedule needs to be drafted or revised. Some of the reasons that an office or program may recommend drafting or revising a schedule include:

- Records are unscheduled;
- The schedule should be cancelled, because the records involved are no longer being created or maintained; and
- Retention periods should be updated because relevant business, legal, or historical needs and requirements have changed.

Revisions to current records disposition schedules should be submitted to the Departmental Records Officer through established channels including your Program Records Official (PRO), or other appropriate records liaison. DOE federal employees and contractors should contact their local records contact if they notice a schedule is not correct, should be revised, or does not exist for a particular set of records. DOE employees that are subject matter experts in the area for which a new or revised schedule is being drafted may be consulted for comments, concerns, and suggestions.

Only after approval by NARA do records disposition schedules become legal disposition authority.

5.2 Transfer & Retirement

Active records should be maintained on-site when the volume of the records is consistent with efficient operations or space allows. They can be "retired" or transferred to storage when they are no longer active, the project is closed, and are not eligible for immediate destruction.

Transferring records is the process whereby records are moved from one location or custodian's physical custody to another. This includes sending them to off-site storage. Records are usually transferred to off-site storage to retire them, or because a disposition schedule mandates that they be transferred after a specified period of time or action occurs. The vast majority of federal records that are transferred are sent to one of the many FRCs, using the Working Capital Fund.

Records should only be transferred to off-site storage when:

- **Reference rate is low.** Transfer files to storage if they are not referred to more than once a month per file drawer, provided that the cost of shipping them to storage does not exceed the savings to be achieved by reducing the current, more expensive, storage space used. Files that meet this criterion should be transferred regardless of how urgent the need for reference, important the records are, their classification, or the extent their use is restricteded.
- **Retention is more than one year.** Ordinarily, files should not be retired to an FRC if they will be destroyed within one year of the transfer. However, occasionally files with a retention of less than one year may be retired to an FRC if the files are bulky, continued retention in office space is costly, and the local FRC agrees to the transfer. To determine if records are eligible for immediate

destruction prior to transfer within the next year, review the disposition schedules as noted in Section 5.1.

- **Volume is more than one cubic foot.** Small amounts of records (less than one cubic foot) should not be retired as a sole transfer action. NARA considers the standard box, measuring approximately 15 X 23 X 10 inches, used to transfer records to a FRC as measuring one cubic foot. This should be considered the minimum volume to initiate a transfer for the retirement of records. Records should be retired at annual intervals except when the volume involved warrants more frequent transfers.

- **No litigation hold or Freedom of Information Act (FOIA) requests cover the records being transferred.** Sending records under a litigation hold or FOIA request to an FRC or off-site storage facility may delay or hinder the response time and increase the amount of work required.

5.2.1 Types of Records Storage Facilities

Programs must ensure that the storage facility selected for transfer of records is economical and efficient, in order to meet the role and responsibility of being a good public steward. Fortunately, there are many different types of records storage facilities available for the housing of DOE records that can be considered:

5.2.1.1 Federal Records Center (FRC)

The Federal Records Centers (FRCs), operated by NARA, provide storage, processing, and servicing of Government records. Regional FRCs are located throughout the United States. In addition, there are two National Records Centers: The Washington National Records Center (WNRC), located in Suitland, Maryland, is available for the use of federal agencies in the Washington, D.C., area; the other is the National Personnel Records Center (NPRC) in St. Louis, Missouri

Normally offices will transfer eligible records to the nearest center. Sometimes records may be transferred to another facility based upon storage capacity of the nearest center or other circumstances.

More detailed transfer procedures and information is available from NARA in the FRC Toolkit.

5.2.1.2 National Personnel Records Center (NPRC)

The National Personnel Records Center (NPRC) houses the personnel and pay records of all federal employees. Official Personnel Folders and related payroll records are transferred to the NPRC's legal custody, as prescribed in the records disposition schedules. The records housed at the NPRC will be destroyed in accordance with applicable regulations without clearance from the Department, as DOE no longer has legal custody or control of the records.

5.2.1.3 DOE Records Centers

DOE programs may maintain their own records centers, as long as they conform to NARA records center standards (36 CFR 1234.30). These records centers may store records for other programs for free or a nominal fee. These DOE records centers are a potential alternate to storing records in an FRC.

5.2.1.4 Commercial Storage Facility

Some companies provide commercial storage options for agencies. However, caution should be used when contracting with a commercial storage center as the center should meet NARA standards (36 CFR 1234) and be certified for use by NARA.

5.2.2 Preparing for Transfer

When records become eligible for transfer, it is important that the records custodian coordinate with their Program Records Official (PRO) and Records Liaison Officer (RLO) (Section 2.4, Records

Management Community) and inform them of the nature and quantity of the records proposed for retirement as well as any additional information that may be required. The PRO or RLO will coordinate with the records custodian and the DOE Records Management Program (if appropriate) through the entire process.

Some items that should be considered when preparing for transfer of your records:

- Screen materials to eliminate non-records, extra copies, and material authorized for immediate destruction. Also remove all binders or binder clips before boxing the records.
- Records should be packed in the appropriate size box, which can be obtained through normal supply channels. Each container measures approximately 15 X 23 X 10 inches and can hold approximately one cubic foot of records.
- Records should not be packed too closely and should be packed upright, like in a file drawer.
- Records with different disposal dates should be packed in different boxes.

Additionally, Personally Identifiable Information (PII) should be identified and noted when preparing for transfer.

A box list or index must accompany any transfer. DOE Records Management Program office has provided DOE F 243.6, Box List, for program use if a local box list is not available. A box list will typically identify the records folder-by-folder within each box of the transfer. Without a box list, trying to find a record in a box may be costly and time-consuming and may require the temporary withdrawal of every box within the transfer. Additionally, a box list is required for review during the disposal process to ensure the records are appropriate for destruction.

5.2.3   Transfer Approvals

Following coordination with your local records official to prepare your transfer, your program may use one of the following methods to gain approval to transfer your records:

5.2.3.1 ARCIS

ARCIS is an online system, owned by NARA, which allows DOE to conduct all transactions with the FRCs online, including the transfer process. The system also allows tracking of transactions electronically, giving instant access to information about DOE's records housed at the FRCs. Access to the system is controlled by DOE Records Management Program Office, and access is only granted to designated records contacts.

ARCIS is not yet able to transfer electronic records to an FRC electronically. For more details on how to transfer electronic records to an FRC, see Section 5.2.5, Transfer of Electronic Records.

5.2.3.2 Standard Form (SF-135), "Records Transmittal Form"

A Standard Form (SF-135), "Records Transmittal Form," is a legacy form used to transfer records from a federal agency to an FRC. This form is no longer required but is still available for use should ARCIS access be limited or not available locally.

Currently, records transfers coordinated through the DOE Records Management Program office should be requested via SF-135 to the DOERM@hq.doe.gov mailbox.

5.2.4   Physical Transfer of Records

The most economical means available should be used to ship files to an FRC. The preferred method of shipment at DOE Headquarters is through the DOE Courier or Office Movers who will transport your records directly to the appropriate FRC or records center. If you are shipping from a field site or

laboratory, discuss the shipping requirements and processes with your local records contact.

5.2.5   Transfer of Electronic Records

36 CFR 1235 Subpart C identifies specifications and standards required for transfer to NARA. Some of the standards provided within 36 CFR 1235 include:

5.2.5.1 Transfer Media

NARA accepts most standard media including CDs, DVDs, external drives, etc. However, work with your local records contact prior to transferring electronic records; NARA should be consulted to ensure that the media is acceptable. Otherwise, delays may occur.

5.2.5.2 Formats

Records shall be in a format that is not dependent on specific hardware or software, written in American Standard Code for Information Interchange (ASCII) or Extended Binary Coded Decimal Interchange Code (EBCDIC) with all extraneous control characters removed (except record length indicators for variable length records, marks delimiting a data element, field, record or file, or Standard Generalized Markup Language (SGML) tags). Records should not be compressed unless NARA has approved the transfer in the compressed form in advance.

Data files and databases shall be transferred as flat files or as rectangular tables, that is, as two-dimensional arrays, lists, or tables. All records in a database or rows in a relational database should have the same logical format. Each data element within a record should contain only one data value. A record should not contain nested repeating groups of data items.

Documentation in electronic format shall be transferred as separate files, and the transfer format standards for electronic records apply also to files that contain documentation. For more information, please review 36 CFR 1235.48.

Permanent records formats should conform to the requirements found in Section 5.4.2, Accessioning Electronic Records.

5.2.6 Reference Requests

Even though records are physically stored in records storage facilities, they are readily accessible to the offices that transferred them. If records are housed in the FRCs, records staff will request records using ARCIS or the Optional Form 11 (OF-11), "Reference Request Federal Records Center."

5.3 Destruction of Temporary Records

Destruction of temporary records should only occur when the records have met or passed the timeframe, or retention, of an appropriate record schedule (see Section 2.5, Records Schedules). Records that have not met the retention should not be destroyed.

Non-record material should be destroyed when no longer needed for reference. There is no need to obtain approval to destroy non-records.

5.3.1 Requirements Prior to Destruction

Regardless of where DOE records are destroyed (whether it is in an FRC, commercial storage facility, or in house), programs should work to ensure that there is no continuing business need. Sometimes projects can be extended or circumstances not anticipated may delay the destruction of records. In these cases, the disposition schedule assigned to the records should be re-evaluated to determine if the approved retention is still applicable to the records or if schedule revision is needed due to new legal, regulatory, or business requirements. In rare instances, one particular file may have permanent value

obviously lacking in the other records found in a series or system that is already scheduled as temporary.

Additionally, the temporary records should be evaluated for the following considerations prior to destruction.

5.3.1.1 Litigation Holds

Records that are pending for destruction should be reviewed to ensure that no legal holds apply to the records. A legal hold requires that the Department suspend any disposition of records that affect litigation actions reasonably anticipated or currently in progress. Holds are identified and issued by General Counsel (GC) and are mandatory. If records under a litigation hold are destroyed, it is considered an unlawful and/or accidental destruction (44 CFR 1230.3) and the Department must promptly report it to NARA. Destroying records under a litigation hold can result in severe consequences both for the DOE and the individual. Consequences include, but are not limited to, fine, imprisonment, and negative media attention.

5.3.1.2 Destruction Moratoriums

A destruction moratorium suspends disposal of affected departmental records. A disposal moratorium of epidemiological records (also known as the EPI Moratorium) is currently in place within DOE. Any records regarding radiation or toxic exposure must not be destroyed. Further, it should be understood that documentary evidence of non-exposure, also, may not be destroyed. This latter aspect (non-exposure documentation) only applies to employment where the potential for exposure exists.

The Department is currently reevaluating and identifying appropriate retention periods for the various epidemiological records that contain information and data required for epidemiological or other health studies.

5.3.1.3 Freedom of Information Act (FOIA) Requests

Records that are pending for destruction should be reviewed to ensure that no FOIA requests apply to the records. A FOIA request requires the full or partial disclosure of previously unreleased information and documents, with certain exceptions. Records affected by a FOIA request must not be destroyed. If records subject to FOIA are destroyed, it is considered an unlawful and/or accidental destruction (36 CFR 1230.3) and the Department must promptly report it to NARA. Destroying records under a FOIA request can result in severe consequences both for the DOE and the individual. Consequences include, but are not limited to, fine, imprisonment, and negative media attention.

5.3.1.4 Security

Classified records should be destroyed according to DOE requirements within DOE O 471.6, Information Security. The decision to dispose of any DOE document, whether it contains Controlled Unclassified Information (CUI) or not, must be consistent with the policies and procedures for records disposition.

A document marked as containing CUI must be destroyed by using a strip-cut shredder that produces strips no more than 1/4-inch wide or by any other means that provides a similar level of destruction that has been approved by the local security office. Some sites, including DOE Headquarters, require destruction by cross-cut shredders producing particles no larger than ¼-inch wide and 2 inches long. CUI may also be destroyed using methods approved for classified information. CUI must not be placed in recycle bins.

For specific requirements regarding CUI, refer to DOE Order 471.3, Admin Chg 1, Identifying and Protecting Official Use Only Information and DOE Manual 471.3-1, Admin Chg 1, Manual for Identifying

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and Protecting Official Use Only Information. For specific requirements regarding UCNI refer to 10 CFR 1017, Identification and Protection of Unclassified Controlled Nuclear Information and DOE Order 471.1B, Identification and Protection of Unclassified Controlled Nuclear Information.

5.3.1.5 Storage Media

When records reach the end of their lifecycle, as identified in an approved records disposition schedule, it is important that DOE ensures documented information, especially documents with security requirements do not get into the wrong hands (see Section 5.3.1.4).

The National Institute of Standards and Technology (NIST) has provided guidelines for media sanitization (NIST SP 800-88) of both hard copy and electronic media (soft copy).

Below are specific storage media types that may have different requirements for destruction.

5.3.1.5.1 Hard Copy

Hard copy media are physical representations of information, most often associated with paper printouts. However, printer and fax ribbons, drums, and platens are all examples of hard copy media. The supplies associated with producing paper printouts are often the most uncontrolled. Hard copy materials containing sensitive data that leave an organization without effective sanitization expose a significant vulnerability to "dumpster divers" risking unwanted information disclosures.

Destruction of hard copy media varies depending on the media used.

5.3.1.5.2 Electronic Media (Soft Copy)

Electronic media are devices containing bits and bytes such as hard drives, random access memory (RAM), read-only memory (ROM), disks, flash memory, memory devices, phones, mobile computing devices, networking devices, office equipment, and many other types.

Destruction of electronic media varies depending on the media used. Three main methods of destroying electronic media records include:

- Secure shredding for electronic media such as CDs, DVDs, diskettes, magnetic tapes, cartridges, and microfilm;
- Degaussing, which makes data stored on magnetic media unreadable by changing the magnetic properties on the media surface. Degaussing can be used for hard drives and certain types of removable electronic media, such as backup tapes and digital tapes; and
- Hard drive destruction, (punching/crushing) physically destroys standard computer hard drives, including laptop drives, using crushing machines.

5.3.1.5.3 Emails

Like any other record, after email is determined to be a federal record, the retention period is governed by NARA-approved records disposition schedules. Temporary records are held for defined periods of time awaiting destruction and permanent records are accessioned to NARA for permanent preservation.

Although DOE use of GRS 6.1 is pending NARA approval, via the NA-1005, Verification for Implementing GRS 6.1, it is expected that all email records will be covered by GRS 6.1 and will be managed and disposed of through a DOE-wide or local recordkeeping system (see Section 4.4.2.2). Emails that should be kept longer per previously approved case file retention or other record retention, may be saved in the appropriate location or on appropriate electronic recordkeeping system and disposed of according to those approved schedules. Government employees and contractors who are uncertain about the disposition of email messages should contact their local records contact.

5.3.1.6 Quality Assurance (QA)

Although the completion of the Quality Assurance (QA) records maintenance and retention requirements specified in Section 4.4.4, Quality Assurance must be met, final disposition must be provided for, authorized in, and obtained from records disposition schedules approved for Departmental application.

5.3.1.7 Donation

In accordance with 36 CFR 1226.26, when the public interest will be served, a Departmental organization may propose the transfer or donation of records eligible for disposal to an appropriate person, organization, institution, corporation, or government (including a foreign government) that has requested them. Records must not be transferred without prior written approval of the Secretary or their designee(s) and NARA. If NARA determines such a proposed donation is contrary to the public interest, the agency must destroy the records in accordance with the appropriate disposition authority.

5.3.2 Local Destruction of Records

Records may be destroyed locally. Programs should review their file plans and inventories annually to identify records eligible for destruction and go through the appropriate processes to destroy eligible records. However, the local records contact should always be consulted prior to destruction to ensure all records considerations are taken into account. Destruction of records locally should be documented.

Additionally, unclassified records authorized for destruction by NARA-approved records disposition schedules may be:

- Placed in secured waste or recycling containers;
- Destroyed by any method considered appropriate to ensure confidential destruction, should this action be required to avoid disclosing information having imposed disclosure restrictions;
- Erased and reused, if appropriate, when the record consists of magnetic tape or comparable media.

5.3.3 Destruction of Records in an FRC

FRC personnel track the destruction authority for all the records stored at their respective facility. When the approved destruction date approaches, the FRC will complete and send National Archives Form 13001 (NA-13001), "Notice of Eligibility for Disposal" to the program with ownership for the record, with a courtesy copy to the DOE Records Management Program Office. The NA-13001 details the records eligible for destruction and the authorized destruction date, among other information.

If the records require further clearance before disposal, the FRC will request written concurrence from the Department prior to destroying the records.

If unusual circumstances require that records be kept longer than their scheduled retention, written justification and an identified time period to retain the records must be provided to NARA as required by 44 USC 2909. If NARA approves the request, the FRC with custody of the records will hold the records. NARA will not destroy the records until they receive a completed NA-13001.

5.4 Accession and Pre-accession of Permanent Records

Permanent records will never be destroyed and should be accessioned to NARA for continued preservation when they are eligible, based on the NARA-approved schedule or if they are more than 30 years old (36 CFR 1235.12). NARA accepts legal custody of the records once they are accessioned and they become NARA's property.

There are two types of accessions:

1. **Direct Offers**. These occur when DOE has records on-site. DOE submits a transfer form and, after approval, the records are accessioned directly from DOE to NARA.
2. **FRC Accessions**. NARA will notify DOE of records eligible for accessioning as permanent records stored at an FRC. DOE will submit the transfer form and the records will be accessioned during regularly scheduled moves from the FRC.

Sometimes, in order to preserve permanently valuable records and assume physical custody of permanent records before the records are scheduled to legally become part of the National Archives, NARA will pre-accession records. In these cases, DOE retains legal custody until the retention period is met, as set forth in the records disposition authority.

Pre-accessioning permits DOE to protect its dissemination program while turning preservation over to NARA. NARA is more likely to pre-accession records when the records:

▪ Are part of an active agency dissemination program; or

▪ Contain highly sensitive information over which DOE wants to maintain access control.

If you think records are appropriate for pre-accessioning, please coordinate with your local records contact.

5.4.1 Requirements Prior to Accession or Pre-Accession

The records should be evaluated for the following considerations prior to accession or pre-accession.

5.4.1.1 Litigation Holds

Records that are pending for accession to NARA should be reviewed to ensure no legal holds apply to the records. A legal hold requires that the Department suspend any disposition of records (including accession) that affects litigation actions reasonably anticipated or currently in progress. Holds are identified and issued by General Counsel (GC) and are mandatory. Accessioning permanent records under a legal hold may result in legal complications or delays.

5.4.1.2 Freedom of Information Act (FOIA) Requests

Records that are pending for accession should be reviewed to ensure that no FOIA requests apply to the records. A FOIA request requires the Department to provide records, with certain exceptions, at the request of the public. Accessioning permanent records under FOIA may result in legal complications or delays.

NARA does not consult with agencies regarding the release of unclassified accessioned records. Further, NARA does not apply FOIA exemption (b)(5) to accessioned records. If DOE believes the records would have to be redacted or withheld in full under FOIA, the records may not be good candidates for early transfer (NARA Bulletin 2015-01).

5.4.1.3 Loan

Loans of permanent or unscheduled records between federal agencies or non-federal recipients require prior written approval from NARA, as it increases the risk of the records becoming lost, misplaced, or incorporated into other files. To obtain approval, programs must work with their local records contact and the Departmental Records Officer to provide NARA with a loan agreement and request. 36 CFR 12228.12 lists the information required prior to approval.

5.4.2 Electronic Records Archives (ERA)

When accessioning or pre-accessioning records to NARA, the Electronic Records Archives (ERA) should always be used. ERA is an online system, owned by NARA, designed to preserve and manage NARA's

electronic records and to manage the lifecycle of paper records and other holdings, including support for records retention schedules and the accessioning process for all federal records.

Access to the system is controlled by NARA, with review and approval provided by the Department of Energy Records Management. As access is limited to designated records contacts, employees or contractors looking to accession federal records should work with their local records contact.

5.4.3 Accessioning Electronic Records

While ERA can accession paper and other physical media of records, ERA can also assist with the transfer of electronic permanent records. However, NARA has identified some standards for permanent records that may affect or delay accession if the standards are not implemented.

5.4.3.1 Minimum Metadata Elements

NARA Bulletin 2015-04, Metadata Guidance for the Transfer of Permanent Electronic Records, established minimum metadata elements that must accompany accessions of permanent records.

In brief, metadata is the "data within the data," or details that provide the "who, what, where, when, and why" of electronic records.

Some of the metadata items required by the NARA Bulletin 2015-04 are:

- Transfer-Level Metadata Elements
- Transfer request number - A unique identifier assigned to each accession
- File/Item-Level Metadata Elements
- File Name - Complete name of the computer file and its extension (example: Document_v1.pst)
- Record ID – Unique identifier assigned by an agency or a records management system
- Title – The name given to the record
- Description – Narrative description of the content of the record
- Creator – The agent primarily responsible for the creation of the record
- Creation date – Date the file met the definition of a federal record
- Rights – Information about any rights or restrictions held in and over the record including access rights, such as national security classification, personally identifiable information (PII), or FOIA

Other metadata and related documentation may be provided or may be required by the Bulletin.

5.4.3.2 Recommended File and Folder Naming Conventions

Also within NARA Bulletin 2015-04, Metadata Guidance for the Transfer of Permanent Electronic Records, NARA recommends careful consideration of the structure and meaning given to file and folder names before accession. Consistently and meaningfully named folders, sub-folders, and files facilitates the maintenance, identification, and transfer of electronic records. Some of the guidelines NARA provides for file and folder naming includes:

- File paths and file names should not exceed a total of 255 characters.
- Folder hierarchy should not be more than eight levels.
- Folder titles should not contain a period and file names should not include more than the period (.) , which is generated by the system extension (example: .pst).
- Folder titles and file names should only include combinations of the characters a-z, 0-9, and underscores (_) and hyphens (-).

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▪ File names should not have spaces.

5.4.3.3 Formats for Accessioning

NARA has identified specific file formats that are acceptable when accessioning permanent electronic records to NARA in Bulletin 2014-04, Revised Format Guidance for the Transfer of Permanent Electronic Records.

Accessions, however, can be in different formats. NARA assumes that accessions will be permanent records described by schedule items and will include files that are encoded in a format identified as preferred or acceptable as listed in this guidance. NARA does not require embedded files, attachments to email messages, or other subsidiary files included in the transfer to conform to the format categories under which they would fall if they were transferred on their own.

Transformation of an electronic record from one format to another could result in changes to the record content, structure, or metadata. Anyone maintaining records in formats that do not conform to the Bulletin should contact their local records contact to discuss with the appropriate NARA office before migrating, converting, or altering the permanent records to meet the NARA format requirements.

Attachment 1 - Definitions

The terms and definitions listed below directly reflect the major topics contained within this handbook.

ACCESSION**.** Process during which permanent records are transferred from an agency to the legal and physical custody of the National Archives**.** May also be referred to as "Transfer of permanent records."

ADMINISTRATIVE RECORD. Information that is needed for day-to-day operations within the Department, typically of a housekeeping nature.

ADMINISTRATIVE RECORDS SCHEDULE. DOE scheduling guidance products designed to be customized listings of records as they pertain to the Department of Energy. Contain both NARA General Records Schedules (GRS) as well as any NARA-approved DOE specific records disposition schedules of an administrative nature.

CAPSTONE APPROACH. NARA-sponsored approach that offers agencies the option of using a more simplified and automated approach to managing email, allowing for the categorization and scheduling of email based on the work and/or position of the email account owner.

CASE FILE. Type of file, regardless of media, that documents a specific action, event, person, place, project, or other matter.

CLASSIFIED INFORMATION. Material that is categorized as sensitive information, requiring protection of confidentiality, integrity, or availability. Access is restricted by law or regulation to particular groups of people, and mishandling can incur criminal penalties.

CONTRACTOR-OWNED RECORD. Information that is received, created, or compiled by contractors that is considered the property of the contractor and does not fall within the scope of government-owned records. Typically outlined within the contract.

CONTROLLED UNCLASSIFIED INFORMATION (CUI). Material that is categorized as unclassified but requires certain levels of control. CUI replaces categories such as For Official Use Only (FOUO), Sensitive But Unclassified (SBU), and Law Enforcement Sensitive (LES) categories.

CURRENT RECORD. Documented information used on a daily basis and is necessary to conduct the business of an office and, therefore, is generally maintained in office space, unless space is at a premium.

CUTOFF. Direction contained within a records disposition schedule that recommends when records in a file, series, or system should be cut off, or broken, at regular intervals, usually annually, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Cutoff may also be referred to as: "file cutoff" or "file break."

DISPOSITION. Stage of the records lifecycle that encompasses multiple actions:

- Destruction of temporary records

- Offer and accession of permanent records accepted to the National Archives

- Retirement or transfer of temporary or permanent records to a records storage facility

- Transfer of records from one office or agency to another

- Donation of records to a Government or non-Government entity

DISPOSITION MORATORIUM. Departmental or agency requirement that suspends disposition of affected departmental records. May also be referred to as "records moratorium."

DOCUMENTARY MATERIAL. Collective term for records, non-record materials, and personal papers. Regardless of the media, method, or circumstances of how the information is recorded.

ELECTRONIC INFORMATION SYSTEM (EIS). System that contains and provides access to computerized federal records and other information.

ELECTRONIC MAIL (EMAIL). Type of electronic format in which a digital message is distributed from an author to one or more recipients, via a network and computer system.

ELECTRONIC RECORD. Information that is recorded in a form that only a computer can process and that satisfies the definition of a record.

EMERGENCY OPERATING RECORD. Type of essential record that is essential to the continued functioning or reconstitution of an organization during and after an emergency.

ESSENTIAL RECORDS. Information that is essential to the continued functioning or reconstitution of an organization during and after an emergency and also essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. May also be referred to as: "vital records."

FEDERAL RECORDS ACT. Statute that details the preservation storage, and management of federal records.

FEDERAL RECORDS CENTER (FRC). Facility that was established for the receipt, maintenance, servicing, and disposition of records that are retired in accordance with NARA-approved records disposition schedules. NARA operates a system of FRCs that DOE is authorized to use.

FILE CUSTODIAN. Individual responsible for the establishment, maintenance, and operation of file stations within their organizational units. Also referred to as: "record-keeper," or "record custodian."

FILE STATION. Organizational unit where records are maintained.

FREEDOM OF INFORMATION ACT. Law that allows for the full or partial disclosure of previously unreleased information and documents, with certain exceptions, at the request of the public.

FROZEN RECORD. Information that cannot be destroyed per the NARA-approved schedule because special circumstances, such as a court order or a legal investigation, requires the temporary extension of the approved retention period.

GENERAL RECORDS SCHEDULE (GRS). NARA-drafted and approved disposition schedules for records common to federal agencies. All agencies are required by law to follow the GRS disposition instructions, unless an agency has received an exception to a schedule item from NARA.

GOVERNMENT-OWNED RECORD. Information that was received, created, or compiled by the officers and employees of the Department and contractors for the use of government or contractor in performance under contract.

INACTIVE RECORD. Information that is no longer required for regular reference and access to conduct DOE business. May or may not be eligible for disposition as identified in the DOE and GRS schedules. Records that have not met the required retention period are usually transferred to a storage area or facility. May also be referred to as: "Noncurrent record."

LEGAL AND FINANCIAL RIGHTS RECORD. Type of essential record that is essential to protect the legal and financial rights of the Government and of the individuals directly affected by its activities.

LITIGATION HOLD/FREEZE. Mandatory requirement issued by the DOE General Counsel (GC) that the Department suspend any disposition of records that affect litigation actions reasonably anticipated or currently in progress. May also be referred to as "legal hold" or "legal freeze."

MEDIA. Physical form of recorded information. Includes paper, film, disk, magnetic tape, and other materials on which information can be recorded. May be used interchangeably with "format."

MISSION ESSENTIAL FUNCTIONS (MEF). Set of department and agency level government functions that must be continued throughout or resumed rapidly after a disruption of normal activities; enables DOE to provide vital services, exercise civil authority, maintain safety of the public, and sustain industrial/economic base during disruption of normal operations.

NON-RECORD MATERIAL. Information, contained on any media, which has no documentary or evidential value and does not meet the definition of a record.

OFFICIAL USE ONLY (OUO). Information that, when released to an unauthorized person, could damage Governmental, commercial, or private interests and may be exempt from public release under the Freedom of Information Act (FOIA).

PERMANENT RECORD. Information appraised by NARA as having sufficient historical or other value to warrant continued preservation by the federal government beyond the time needed for administrative, legal, or fiscal purposes.

PERSONAL PAPER. Information belonging to an individual that is not used to conduct official business. Relates solely to the individual's own affairs and is used exclusively by the individual for personal convenience. May also be referred to as: "personal files" or "personal records."

PERSONALLY IDENTIFIABLE INFORMATION (PII). Information that may be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context. Examples of PII include: Full name, home address, email address, national identification number, social security number, passport number, driver's license, face, fingerprints, or handwriting, etc.

PRE-ACCESSIONING. Process during which NARA assumes physical custody (for preservation purposes) permanently valuable electronic records, before the records are scheduled to legally become part of the National Archives of the United States.

PRIMARY MISSION ESSENTIAL FUNCTIONS (PMEF). Mission essential functions that must be performed in order to support the performance of National Essential Functions (NEFs) before, during and in the aftermath of an emergency. These functions should be continuous or resumed within 12 hours of an event and maintained for up to 30 days or until normal operations can be resumed

PRIVACY ACT. Code of fair information practices that governs the collection, maintenance, use, and dissemination of information about individuals that is maintained in a system of records by federal agencies.

PROGRAM RECORD. Information that documents the unique and substantive functions for which DOE is responsible, in contrast to administrative records.

PROGRAMMATIC RECORDS SCHEDULE. Approved records disposition schedule that covers the unique program records held by any DOE or contractor office.

QUALITY ASSURANCE. Standard or requirement that ensures products and services meet or exceed DOE's quality objectives.

RECORD. Recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of official 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 U.S. Government or because of the informational value of data in them.

RECORD DISPOSITION SCHEDULE. Approved schedule that identifies mandatory instructions for what to do with records when they are no longer needed for current business. Authorizes the final disposition of recurring or nonrecurring records. May also be referred to as: "records schedule," "records retention schedule," "records retention and disposition schedule," "schedule," or "records schedule."

RECORD HOLDING AREA. On-site record storage area or space, often staffed on a part-time basis, for the economical storage of inactive records pending their destruction or transfer to an FRC.

RECORD LIFECYCLE. Management concept that records pass through three stages:

1. Creation/receipt
2. Maintenance and use

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3. Disposition

RECORD MANAGEMENT. Planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of federal policies and transactions and effective and economical management of agency operations.

RECORD SERIES. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Records within one series are generally handled as a unit for disposition purposes. May also be called a "file series."

RECORD STORAGE FACILITY. Specifically designed for the storage of records. Can include DOE and commercial storage facilities and FRCs.

RETENTION. Length of time in which records should be kept or retained. Retentions must be approved by the National Archives and Records Administration (NARA).

RETIREMENT. Process during which inactive records are transferred to an agency storage facility or an FRC (See also: "Transfer").

SENIOR OFFICIAL. Heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. May also be referred to as "High Level Official."

SEMI-ACTIVE RECORD. Information that is seldom required to conduct business and can be moved to a holding area or directly to an off-site records center.

SENSITIVE BUT UNCLASSIFIED (SBU). Designation of information in the U.S. federal government that, although unclassified, requires strict controls over distribution.

SITE-SPECIFIC RECORD SCHEDULE. Schedule that covers records held by a specific Departmental or contractor office. Only the site identified in a site specific schedule may use it, unless an exception has been granted by the Department of Energy Records Management Program and/or NARA.

SOCIAL MEDIA. Web service or application that enables users to create and share information, ideas, or other content.

SYSTEM OF RECORD. Systems that hold records that contain Personally Identifiable Information (PII) and can be retrieved.

SYSTEM DEVELOPMENT LIFECYCLE (SDLC). Process that plans, creates, tests, and deploys information systems.

TEMPORARY RECORD. Information that is approved by NARA for destruction, either immediately or after a specified retention period.

TRANSFER. Process during which records are moved from their current location to an off-site records storage center, whether FRC or commercial, or other office or program.

UNSCHEDULED RECORDS. Information that cannot be matched to any currently approved records disposition schedule and for which final disposition has not been approved by NARA.

Attachment 2 - References

The references listed below provide directives, laws and regulations, requirements and resources, forms, and guidance products for the DOE Records Management Program and serve as sources for all information contained within this handbook.

DIRECTIVES

DOE O 150.1a, *Continuity Programs,* dated 3-31-14, https://www.directives.doe.gov/directives-documents/100-series/0150.1-BOrder-a

DOE O 151.1C, *Comprehensive Emergency Management System,* dated 11-2-05, https://www.directives.doe.gov/directives-documents/100-series/0151.1-BOrder-c

DOE O 243.1b, *Records Management Program,* dated 3-11-13, https://www.directives.doe.gov/directives-documents/200-series/0243.1-BOrder-b-admchg1

DOE O 414.1D, *Quality Assurance,* dated 4-25-11, https://www.directives.doe.gov/directives-documents/400-series/0414.1-BOrder-d-admchg1

DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*, dated 3/01/10, https://www.directives.doe.gov/directives-documents/400-series/0471.1-BOrder-b

DOE O 471.3, Admin Chg 1, *Identifying and Protecting Official Use Only Information*, dated 1-13-11, https://www.directives.doe.gov/directives-documents/400-series/0471.3-BOrder-admchg1

DOE O 471.6, *Information Security*, dated 5-15-15, https://www.directives.doe.gov/directives-documents/400-series/0471.6-BOrder-admchg2

DOE O 475.2B, *Identifying Classified Information*, 10-3-14, https://www.directives.doe.gov/directives-documents/400-series/0475.2-BOrder-b

LAWS & REGULATIONS

36 CFR Chapter 12, Subchapter B, *Records Management*, https://www.gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR

5 USC 552 (a), *Privacy Act of 1974*, https://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE

5 USC 552 (g), *Freedom of Information Act*, https://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE

44 USC 21, *National Archives and Records Administration*, https://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE

44 USC 29, *Records Management by the Archivist of the United States and by the Administrator of General Services*, https://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE

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44 USC 31, *Records Management by Federal Agencies*,
https://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE

44 USC 33, *Disposal of Records*,
https://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE

44 USC 35, *Coordination of Federal Information Policy*,
https://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE

44 USC 36, E-Government Act of 2002,
https://www.gpo.gov/fdsys/browse/collectionUScode.action?collectionCode=USCODE

REQUIREMENTS & RELATED RESOURCES

DOD 5015.02-STD DOD Electronic Records Management Application (RMA) Design Criteria Standard, Version 2, http://www.dtic.mil/whs/directives/corres/pdf/501502std.pdf

DOE M 471.3-1, Admin Chg 1, *Manual for Identifying and Protecting Official Use Only Information*, Dated 1/13/11, https://www.directives.doe.gov/directives-documents/400-series/0471.3-DManual-1-admchg1

DOE Records Disposition Schedules (Energy.gov), http://cio.energy.gov/records-management/disposition.htm

DOE Records Management Page (Energy.gov), http://cio.energy.gov/records-management.htm

Federal Records Center (FRC) Toolkit, http://www.archives.gov/frc/toolkit.html

FEMA Mission Essential Function (MEF) and Primary Mission Essential Function (PMEF) Workshop, https://www.fema.gov/pdf/about/offices/fcd2_c.pdf

Managing Government Records Directive (M-12-18), https://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf

NARA Bulletins, https://www.archives.gov/records-mgmt/bulletins/

NARA Storage Standards Toolkit, http://www.archives.gov/records-mgmt/storage-standards-toolkit/

NARA Records Emergency Information, http://www.archives.gov/preservation/records-emergency/federal.html

FORMS

DOE F 243.2, "Records Scheduling Request," Rev. 8-2013, http://energy.gov/cio/downloads/doe-f-2432

DOE F 243.3, "Records contact Appointment," Rev. 9-2014, http://energy.gov/cio/downloads/doe-f-2433

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DOE F 243.4, "Contract Records Custodian Authorization," Rev. 9-2014,
http://energy.gov/cio/downloads/doe-f-2434

DOE F 243.5, "Electronic Recordkeeping System Questionnaire," Rev. 04-2015,
http://energy.gov/cio/downloads/doe-f-2435-electronic-recordkeeping-system-questionnaire

HQ F 3293.1, "Headquarters Employee Separation Clearance," Rev. December 2013,
http://energy.gov/cio/downloads/doe-hq-f-32931

(See also: Employee Separation: Completing HQ F 3293.1, Section 7c, Dated March 20, 2014,
http://energy.gov/sites/prod/files/2014/03/f13/GUIDANCE%20-%20Completing%20HQ%20F%203293%201%20Sec%20%207c%20FINAL%20140320.pdf)

NA-13001, "Notice of Eligibility for Disposal," Rev. 6-99, https://www.archives.gov/frc/forms/na-13001.pdf

OF-11, "Reference Request," Rev. 7-87, *(Replaced by ARCIS)* https://www.archives.gov/frc/forms/of-11.pdf

SF-115, "Disposition of Federal Records," Rev. 3/91, *(Replaced by ERA)*
http://www.archives.gov/records-mgmt/faqs/pdf/sf115.pdf

SF-135, "Records Transmittal and Receipt," Rev. 7-85, *(Replaced by ARCIS)*
https://www.archives.gov/frc/forms/sf-135.pdf

DOE GUIDANCE

Employee Exit Guidance, Dated May 2015,
https://powerpedia.energy.gov/w/images/f/fd/Records_Management_Employee_Exit_Brochure_-_May_2015.pdf

Identify and Protect your Vital Records, Dated September 2011,
http://energy.gov/cio/downloads/identify-and-protect-your-vital-records

Managing Permanent Records, Dated May 2015,
https://powerpedia.energy.gov/w/images/b/bc/Managing_Our_Permanent_Records_Brochure_-_May_2015.pdf

Records Management Basics, Dated May 2015,
https://powerpedia.energy.gov/w/images/d/de/Records_Management_Basics_Brochure_-_June_2015.pdf

Records Management for High-Level Officials, Dated May 2015,
https://powerpedia.energy.gov/w/images/7/7d/Records_Management_for_High-Level_Officials_Brochure_-_May_2015.pdf

Records Management Resources, Dated May 2015,
https://powerpedia.energy.gov/w/images/6/64/Records_Management_Resources_Brochure_-_June_2015.pdf

Social Media Records and You, Dated September 2012, http://energy.gov/cio/downloads/social-media-records-and-you-0

Attachment 3 – Determining Record Status

Is it a Record...and are there Specific Retention Requirements?

✓ Did you or your department create or use the recorded information for your technical or administrative work?

—— OR ——

✓ Does it contain informational value as evidence of your department's functions, policies, procedures, operations, mission, program, projects, or activities?

—— OR ——

✓ Did someone else create it but you commented on it or took action?

—— OR ——

✓ Does it document business actions, for example: What happened and/or the order of events? What was decided? What advice was given? Who was involved?

—— OR ——

✓ Is it an original document related to business that does not exist elsewhere?

IT'S A RECORD

When in doubt, call (?) Records Management

Is it a draft document that was never circulated or doesn't contain comments, or is there a final version being maintained? ✓

—— OR ——

Is it reference material like a publication, or a copy of a document kept only for reference? ✓

—— OR ——

Is it an accumulation of information that you've maintained but doesn't affect or reflect your program business? ✓

IT'S NOT A RECORD

Original version created by Sandia National Laboratory

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