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UMTRA PROJECT ADMINISTRATIVE FILES COLLECTION RECORDS MANAGEMENT PROGRAM

September 1994

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**UMTRA PROJECT ADMINISTRATIVE FILES COLLECTION
RECORDS MANAGEMENT PROGRAM**

September 1994

**Prepared for
U.S. Department of Energy
UMTRA Project Office
Albuquerque, New Mexico**

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**UMTRA Project Administrative Files Collection
Records Management Program**

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Date _____

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LIST OF ACRONYMS AND ABBREVIATIONS

<u>Acronym</u>	<u>Definition</u>
AFB	Air Force Base
AL	Albuquerque Operations
DOE	U.S. Department of Energy
DOERS	DOE Records Schedule
FRC	Federal Records Center
GAO	General Accounting Office
GRS	General Records Schedule
IRM	information resources management
NARA	National Archives and Records Administration
QA	quality assurance
RAIC	Records Administration Information Center
RIDS	Records Inventory and Disposition Schedule
RMC	Records Management Coordinator
RMO	Records Management Officer
SF	Standard Form
TAC	Technical Assistance Contractor
UMTRA	Uranium Mill Tailings Remedial Action
UPAFC	UMTRA Project Administrative Files Collection
UPDCC	UMTRA Project Document Control Center

1.0 UMTRA PROJECT RECORDS MANAGEMENT PROGRAM

1.1 INTRODUCTION

The Uranium Mill Tailings Remedial Action (UMTRA) Project maintains two distinct records handling areas: the UMTRA Project Document Control Center (UPDCC) and the UMTRA Project Administrative Files Collection (UPAFC). The UPDCC is maintained by a Technical Assistance Contractor (TAC) and houses the following record types:

- TAC project planning and control records.
- TAC legal and legislative affairs.
- TAC regulatory compliance documents.
- TAC training records.
- Project environmental affairs.
- Geotechnical engineering and hydrology records.
- Project health physics and radiological characterization documents.
- Project engineering and construction records.
- Project quality assurance documents.
- Vicinity property case files.
- Project site and vicinity property administration files.

The UPAFC is maintained by UMTRA U.S. Department of Energy (DOE) personnel and consists of UMTRA program administrative records:

- DOE personnel records.
- DOE payroll records.
- DOE procurement records.
- DOE property management records.
- DOE budgeting records.
- DOE funding records.
- DOE expenditure control records.
- DOE cost accounting records.
- DOE audit records.
- DOE travel records.
- Miscellaneous DOE administrative records.

The records management program for the UPAFC addresses the management and operation of all portions of the record life cycle, such as a records disposition or records storage and retrieval. It includes a plan for records management, a plan for records management training activities, and a plan for auditing and appraising the program.

1.2 RESPONSIBILITIES

The responsibilities and authorities covering this program shall be identical to those cited in DOE Order 1324.5A and Supplemental Directive AL 1324.5A.

1.3 SCOPE

This records management program is designed expressly for use with the UPAFC records.

1.4 PROGRAM OBJECTIVES

The records management plan has the following objectives:

- Minimize the paperwork and recordkeeping burden within the UMTRA Project and in the public sector.
- Minimize the cost of records management activities and maximize the usefulness of UMTRA Project records.
- Maintain an active continuing program for economical, efficient, and improved management of records.
- Effectively control the creation or collection, organization, maintenance, use, and disposition of records in the conduct of business while complying with federal laws and regulations.
- Ensure the maintenance, security, preservation of, and appropriate access to records.
- Establish and disseminate within the UMTRA Project those specific recordkeeping requirements, either internally or externally imposed, that
1) will ensure the adequate and proper documentation of its organization, functions, policies, decisions, procedures, and essential transactions; and
2) are designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the UMTRA Project's activities.
- Facilitate the segregation and disposal of all nonrecord material.
- Facilitate the maintenance of a historical UMTRA Project archives.
- Apply approved records retention and disposition standards to records in accordance with DOE policy and procedures, unless circumstances warrant the temporary suspension of normal disposition actions to protect the interests of the government or the citizenry.
- Promptly destroy nonrecord material when no longer necessary for reference purposes.
- Ensure that official records are not removed from government custody without authorization.

- Keep personal papers separate from official records.
- Apply the basic tenets of information resources management (IRM), as set forth by the Paperwork Reduction Act of 1980, as amended; 5 CFR Part 1320 (1994); OMB Circular No. A-130; and related laws, regulations, and Executive Orders.
- Provide appropriate staffing and training for the management and operation of the records management programs and activities.

1.5 REFERENCES

The following directives were used to develop the UPAFC Records Management Program:

- DOE Order 1324.2A, *Records Disposition*.
- DOE Order 1324.3, *Files Management*.
- DOE Order 1324.5A, *Records Management Program*.
- DOE Supplemental Directive AL 1324.5A, *Records Management Program*.
- DOE Order 1324.6, *Automated Office Electronic Recordkeeping*.
- DOE Order 1324.6A, *Electronics Records Management Program*.
- DOE Order 1324.8, *Rights and Interests Records Protection Program*.
- DOE Notice 1324.13, *Disposition of Personal Papers and Official Records*.
- DOE Order 1700.1, *Freedom of Information Program*.
- 36 CFR, Chapter XII, *National Archives and Records Administration* (1994).
- 41 CFR, Subchapter B, *Archives and Records* (1994).

2.0 UPAFC RECORDS MANAGEMENT PLAN

2.1 OVERVIEW

The UPAFC Records Management Plan is based on the life cycle of a record—the evolution of a record from creation until final disposition. There are three major phases in the life cycle of a record: 1) creation and receipt, 2) maintenance and use, and 3) disposition. Accordingly, the Records Management Plan is structured to follow each of those phases.

During each of the three phases, some kind of control is mandatory. The Records Management Plan establishes appropriate standards, policies, and procedures to ensure adequate control is always maintained.

The UPAFC system uses a centralized records storage scheme, which houses all active records in one location. All documents to be retained shall be forwarded by each staff member to a central records area. This provides the following advantages:

- Procedures will be consistent.
- Responsibility and accountability will be easier to establish.
- Related records will be kept together.
- New personnel will be easier to train.
- Uniform service will be provided to all staff members.
- Duplicate records will be minimized.
- Space, personnel, and equipment will be better used.
- Records will be more easily protected.
- Records will be easier to retrieve.

2.2 PROCEDURE FOR RECORDS CREATION CONTROL

2.2.1 Purpose

To describe the procedures and responsibilities involved in the creation of documents within the UPAFC system.

2.2.2 Scope

This procedure implements the policies and procedures set forth in DOE Order 1324.2A and Supplemental Directive 1324.5A.

2.2.3 References

The following directives were used to develop this procedure:

- 36 CFR, Chapter XII, Subchapter B, *Records Management* (1994).
- 36 CFR §1222.20(b)(4) (1994).
- DOE 1324.5A, *Records Management Program*, April 30, 1992.

2.2.4 Procedure

UMTRA Project personnel originate records by word or data processors, handwritten memorandums, or dictation. External records are generated as a result of communication with people and groups outside the UMTRA Project office. Records are created at all levels of an organization. Every UMTRA Project employee bears a responsibility for records creation control.

The record originator (individual who writes or creates a record) shall:

- 1) Document all actions that show evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the UMTRA Project.
- 2) Compose complete, accurate, and clear documents.
- 3) Assign a subject or title to each record.
- 4) Determine who receives copies and supply accurate and precise addresses for those copied.

The record user (individual who receives a record and is expected to take action as a result) shall:

- 1) Determine if the record should be retained in the central files for future reference, or if it can be destroyed after completing the action required by the record.
- 2) Note "file" on the face of the record and forward it to the UPAFC.

The record generator (individual who types or word processes the record) shall:

- 1) Insert document control codes on all records that require them.
- 2) Distribute copies of each record to the appropriate addressees.

The records maintenance clerk (custodian of all records that are retained in the central files for future use and reference) shall:

- 1) Assign index codes.
- 2) Prepare filing containers for records.
- 3) File and safeguard each record.
- 4) Ensure each record can be retrieved, regardless of the medium used in the creation process.

2.3 GUIDELINES FOR SEGREGATING RECORD MATERIALS FROM NONRECORD MATERIALS

2.3.1 Purpose

To establish a method of identifying nonrecord materials and record materials and segregating the nonrecord materials to ensure they do not encumber the filing system.

2.3.2 Scope

These guidelines implement the policies and procedures set forth in DOE Order 1324.2A and DOE Notice 1324.13.

2.3.3 References

The following directives were used to develop these guidelines:

- 36 CFR, Chapter XII, Subchapter B, *Records Management* (1994).
- 36 CFR 1222.20(b)(4) (1994).
- DOE 1324.5A, *Records Management Program*, April 30, 1992.

2.3.4 Definitions

Record material are those classes of documentary materials that may be disposed of only after archival authority is obtained. The statutory definition of "records" (44 USC §3301) is

"...books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under federal law or in connection with the transaction of public business and preserved, or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of the data in them."

This definition applies to all UMTRA Project records including those created, received, and maintained by contractors pursuant to their contracts. Virtually all recorded information in the custody of the government (including information held by contractors that is considered by contract to be government information), regardless of its medium (hard copy, machine-readable, microfilm), is considered "a government record."

Nonrecord material includes those classes of documentary or other materials that may be disposed of without archival authority such as the following:

- 1) Library or museum material made or acquired for reference or exhibition purposes.

- 2) Extra copies of documents preserved only for convenience of reference on which no action is recorded or taken.
- 3) Stocks of publications or other processed documents that require no action and are not part of a case on which action is taken.
- 4) Routing slips and transmittal sheets adding no information to that contained in the transmitted material (e.g., concurrences or directions on how to proceed or implement).

Personal papers are documentary materials, or any reasonably segregated portion thereof, of a private or nonpublic character that do not relate to or have an effect upon the conduct of agency business. Personal papers are excluded from the definition of federal records and are not owned by the government. Examples of personal papers include the following:

- 1) Materials accumulated by an official before joining government service that are not used subsequently in the transaction of government business.
- 2) 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.
- 3) Diaries, journals, personal correspondence, or other personal notes that are not prepared or used for, or circulated or communicated in the course of transacting government business.

2.3.5 Guidelines

- 1) Nonrecord material and personal papers shall be clearly designated as such and shall at all times be maintained separately from the UMTRA Project records.
- 2) If information about private matters and agency business appears in the same document, the document shall be copied at the time of receipt, with the personal information deleted, and treated as a federal record.
- 3) Materials labeled "personal," "confidential," or "private," or similarly designated, and used in the transaction of public business, are federal records subject to the provisions of pertinent laws and regulations. The use of a label such as "personal" is not sufficient to determine the status of documentary materials in a federal office.
- 4) Nonrecord material shall be identified and included on all UPAFC Records Inventory and Disposition Schedules (RIDS). These materials shall be located, described, and evaluated in terms of use. Retention periods shall be assigned to them and this information shall be included in the final version of the RIDS. The UMTRA Project has the authority to discard this material without further approvals.
- 5) Nonrecord material shall not be transferred to the Albuquerque Office Records Center at Kirtland Air Force Base (AFB), New Mexico.

2.4 PROCEDURE FOR FILING UMTRA PROJECT OFFICE RECORDS

2.4.1 Purpose

To establish standard methods of filing UPAFC documents.

2.4.2 Scope

This procedure applies to all records generated, received, and maintained in the UPAFC system, with the exception of personal papers.

2.4.3 References

The following directives were used to develop this procedure:

- 36 CFR, Chapter XII, Subchapter B, *Records Management* (1994).
- 36 CFR §1222.20(b)(4) (1994).
- DOE 1324.5A, *Records Management Program*, April 30, 1992.

2.4.4 Procedures

Filing is the placement of documents in folders within filing cabinets and is a critical office activity. Filing should be the responsibility of a records maintenance clerk who has been specifically trained in filing procedures. The records maintenance clerk shall:

- 1) Sort and select documents that are eligible for filing.

Not all documents received through the mail are candidates for filing. "Junk" mail, announcements of seminars, fliers advertising office products for sale, notices pertaining to office social functions, job vacancy announcements, newsletters unrelated to the project, and the like are not placed in the files.

Documents that contain information of a private nature pertaining to particular individuals shall be kept in locked cabinets in the office administrator's office and shall not be filed in the system.

Documents that require action by UMTRA Project office staff shall not be filed until all action mandated by the document is completed. At that time, the staff member completing the action marks "file" on the document and forwards it to the records maintenance clerk. Filing authority shall not necessary for papers that are self-identifying as items belonging in the filing system (e.g., a document clearly marked as a budget report).

- 2) Prepare documents for filing.

The following steps shall be followed by the record maintenance clerk to ready documents for the files:

a. Determine that documents are complete before filing. Ensure that documents have no missing pages and that all necessary attachments and enclosures referenced in the document are included.

b. Remove mail control forms, envelopes, and routing slips from documents before they are filed unless the items contain significant remarks.

Remove rubber bands, paper clips, pins, and any other temporary fasteners that may catch or attach themselves to other documents in files before placing documents in file folders.

c. Mend or reinforce frayed papers with transparent tape.

d. Staple documents and their related papers in the upper left corner. Fasten material too thick for stapling with large clips or rubber bands and file in separate folders to ensure the fasteners do not become attached to other documents. Unfastened documents shall not be inserted in file folders.

3) Index and cross-index documents.

An *index* is a listing of subjects resident in a particular data base. The UPAFC index consists of major subject categories which are broken down (in hierarchical order) into more clearly defined subcategories, the number of subcategories depending on the nature and size of the data base.

Each subject category and subcategory shall be assigned a unique number (index number) and a file folder shall be prepared with the index number written on the tab. A document whose contents match the subject matter in a category shall be given the index number assigned to the category, the number shall be written on the document, and then the document shall be filed in the file folder that matches the document's index number.

If a document contains information about more than one subject, a document shall be *cross-indexed*. Cross-indexing means assigning more than one index number to a document, one number for every different subject. For each index number assigned, an extra copy shall be made of the document to place in the folder corresponding to the index number assigned.

4) Mark documents with index numbers.

Index numbers shall be written clearly, using a #2 pencil, in the upper right corner of the top page of a document. If more than one index number is assigned, a highlighting pen will shall be used to differentiate between the numbers and to indicate each copy's proper file folder number.

5) Place documents in file folders and storage cabinets.

The following steps shall be performed by the record maintenance clerk to place documents in storage:

- a. The file index number on the document shall be matched with the folder number and title to avoid misfiling.
- b. Papers shall be placed loosely in the proper folder with the latest action on top (ascending date order).
- c. Folder labels shall be kept visible by neatly arranging papers in the folders. When the content of a folder increases to the point that the folder label is obscured, the bottom of the folder shall be creased at the scored expansion to increase the capacity of the folder. A second folder shall be prepared when the first reaches a capacity of approximately 1 inch; show inclusive dates on each folder label.
- d. *Labels shall be attached to all filing folders*, even if the material contained within is the same as the material in adjacent filing folders.
- e. Overcrowding of file drawers shall be prevented by allowing at least 4 inches of work space in a drawer.

2.5 GUIDELINES FOR RECORDS MAINTENANCE, USE, AND SECURITY

2.5.1 Purpose

To provide guidance in the maintenance, use, and protection of UPAFC records.

2.5.2 Scope

These guidelines apply to all records generated, received, and maintained in the UPAFC system.

2.5.3 References

The following directives were used to develop these guidelines:

- 36 CFR, Chapter XII, Subchapter B, *Records Management* (1994).
- 36 CFR §1222.20(b)(4) (1994).
- DOE 1324.5A, *Records Management Program*, April 30, 1992.

2.5.4 Guidelines

1) Indexing/classifying.

Because indexing is essential to locating papers held in large record collections, an index and file plan shall be used to file and retrieve UPAFC records. UPAFC documents shall be filed by subject. A subject files manual shall be available to assist indexers and users in filing and finding records in the system. The subject files manual shall contain a hierarchical index of the subjects in the collection and a thesaurus, or relative index, which lists the subjects in dictionary order to guide users.

2) Maintenance, use, and security of files.

Location of UPAFC records — The UPAFC records shall be housed on the fourth floor of the United New Mexico Bank Building, 2155 Louisiana NE, Albuquerque, New Mexico. No other location shall be authorized for the storage of UPAFC records other than the Albuquerque Office Records Center at Kirtland AFB.

Storage Containers (filing cabinets) — Each filing drawer in the UPAFC system shall be labeled to indicate its contents. As the contents of drawers change, labels shall be promptly removed and changed as appropriate.

To ensure file drawers are not overcrowded, at least 4 inches of empty work space shall be allowed in each drawer. Bulky materials shall be stored in equipment suitable for the size of the document. A cross reference card shall be placed in the position where the material would normally reside indicating where it can be found. The bulky material shall be labeled with its correct file number.

Records scheduled for permanent retention shall be maintained separately and not mixed with other records.

File folders — File folders shall be used to group related materials together. A file folder shall be assigned an index code number only if there are more than 10 sheets of paper that fall under a subject index code number. If there are less than 10 sheets, the document(s) shall be placed in the "general" folder maintained in the subject area relevant to the record's contents.

When a file folder reaches a normal capacity of 1 inch, a new folder shall be prepared to hold the overflow. Documents shall not be split between two folders. A 500-page document, for instance, will not be split so that 250 pages are in the back of the first folder, and 250 pages in the front of the second folder.

Documents shall not be attached to file folders with staples, Acco fasteners, or any other means. They shall be placed loosely in file folders in chronological order, with the most recent date in the front of the file.

Folder labels — Labels which bear the subject index code number, the subject title, and disposition instructions shall be affixed to file folders. See Figure 1 for disposition abbreviations for the file labels. See Section 2.7 for an explanation of disposition instructions.

File folder labels shall be kept visible by neatly arranging papers in folders. When the content of a folder increases to the point that the folder label is obscured, the bottom of the folder shall be creased at the scored expansion line to increase the capacity of the folder.

Borrowing records — Access to UPAFC documents in the central files shall be restricted to the UPAFC files custodian. Users requiring records stored in the central files shall direct their requests to the files custodian, who

ABBREVIATIONS:

In addition to commonly used abbreviations, the following abbreviations (codes) should be used on file labels to indicate disposition instructions:

CANC	cancelled
COFF	cut off
DEST	destroy
FRC	Federal Records Center
OBS	obsolete
PERM	permanent
PIF	place in inactive file
RET	retire
SS	superseded

A code on a file that is cut off at a specified time should indicate the time period involved, whereas codes on continuing files should not include dates.

EXAMPLES:

A file label for folder of records with a cutoff date of September 30, 1987 and eligible to be destroyed when 2 years old would appear as shown below:

26.7 Knives and Forks 1987
COFF 9/30/87 DEST 10/89

A file label for a continuing file without a cutoff date (the file itself is not cut off but contents are replaced or removed when superseded or cancelled) would appear as shown below:

26.8 Spoons and Cups (copies)
DEST when SS or CANC

Figure 1. File labels disposition abbreviations

shall retrieve the requested documents and prepare the outcard. Similarly, documents that are returned to the central file shall be refiled by the files custodian. When documents or file folders are borrowed from a storage cabinet, an outcard shall be prepared to indicate that the material has been withdrawn. The minimum amount of information that shall appear on the outcard will be:

- Date borrowed.
- Name of borrower.
- Complete description of the document or file being removed (to, from, subject, date).

Outcards shall be placed at the exact location where a document or folder is removed so that the "OUT" portion of the card is visible.

Files cutoff — Inactive files shall be segregated from active files and/or terminated after a specified time or event (cut off or COFF). See Figure 2 for representative cutoff instructions.

Misfiled documents — The suggestions below for locating lost records shall be followed in the event a document is misfiled:

- Look in the folder in front of and behind the correct folder.
- Look between the folders.
- Look under all the folders, as the paper(s) or folders may have slipped to the bottom of the file drawer or shelf.
- Look completely through the correct folder as chronological order may have been neglected due to carelessness.
- Check for transposition of names and/or numbers.
- Look for the second, third, or succeeding units of a subject rather than for the key unit.
- Check for misfiling due to the misreading of letters—e for i, n for m, t for l, k for h, C for G, etc.
- Check alternate spellings.
- Look in the year preceding or following the one in question.
- Check to see if someone has borrowed the document and not left an outcard.
- Ask the person who drafted or filed the document for help.

Files cutoff and records disposition instructions are generally based on the following standards for specific time periods or events:

- a. Six months. Files having a retention period of 6 months shall be cut off semiannually as of March 31 and September 30, held 6 months in the current files area, and destroyed. Example:

12.0 Communications Records
COFF semiannually. Destroy when 6 months old.

- b. One year. Files having a retention period of 1 year shall be cut off at the end of the fiscal year, held 1 year in the current files area, and destroyed. Example:

3.3 Printing requisitions
COFF annually. Destroy when 1 year old.

- c. Two or more years. Files having a retention of 2 or more years shall be cut off at the end of each fiscal year, held 2 years, and destroyed or retired to a FRC, based on the disposition instructions. Example:

3.8 Grant Administration
COFF annually, hold 2 years, and retire to FRC. Destroy when 7 years old.

- d. Event or action. Records disposable upon the occurrence of an event, such as supersession or obsolescence, or the accomplishment of administrative action, shall be withdrawn from active files upon the occurrence of the event or accomplishment of the action. Do not confuse these records with those described in Part f below. Example:

16.1.7 Project Policies and Procedures
Destroy when superseded or obsolete.

- e. Time period after an event or action. Record disposable after a specific retention period following the occurrence of an event, such as an audit, final payment, closing of a case, completion of a project, or the accomplishment of an administrative action, shall be placed in an inactive file upon the occurrence of the event or accomplishment of the action. The inactive file shall then be cut off and disposed of in the same manner as for the other files with comparable retention periods. Example:

11.2.0 Office Leases
COFF at expiration of lease. Retire to FRC. Destroy 6 years after expiration.

- f. Permanent files. These files shall be cut off, retired (when specified), and offered to the National Archives and Records Administration (NARA) in accordance with the instructions in DOE Order 1324.2A. Many permanent files are offered to the NARA in 5-year blocks. These files are cut off at the end of the 5th year, retired to a FRC, or in some cases held in office space until offered to the NARA. Example:

5.0 Budget Policy Files
COFF in 10-year blocks. Offer to NARA in 10-year blocks when 25 years old.

Figure 2. Representative cutoff instructions

Files maintenance audits — Periodically, but at least once a year, an audit of a representative sample of the UMTRA Project Office central files will be conducted by the DOE UMTRA quality assurance (QA) manager to ensure that the records management system is effectively controlling duplication of records, misclassification, and misfiles. A report will be prepared with the results of the audit and sent to the UMTRA Project staff Records Management Officer (RMO).

2.6 GUIDELINES FOR INVENTORYING UPAFC RECORDS

2.6.1 Purpose

To describe the procedures and responsibilities involved in the inventorying of UPAFC records. The records inventory provides the information needed to develop a records schedule. The inventory also helps identify various records management problems. These problems include inadequate documentation of official actions, improper applications of recordkeeping technology, deficient filing systems and maintenance practices, poor management of nonrecord materials, insufficient identification of vital records, and inadequate records security practices.

2.6.2 Scope

These guidelines apply to all UPAFC records generated, received, and maintained by the UMTRA Project Office. All records, regardless of the physical medium (paper, audiovisual, electronic, photographs, tapes, charts, drawings, etc.), shall be inventoried. This includes all records created, maintained or used by administrative, scientific, and technical staff.

2.6.3 References

The following directives were used to develop these guidelines:

- DOE 1324.2A, *Records Disposition*, September 13, 1988.
- DOE 1324.5A, *Records Management Program*, April 30, 1992.
- DOE 1324.8, *Rights and Interests Records Protection Program*, October 12, 1991.
- DOE 5500.7B, *Emergency Operating Records Protection Program*, October 31, 1991.
- 44 USC, Chapters 29, 31, and 33.

2.6.4 Definitions

An **inventory** is a descriptive listing of each record series or system, together with an indication of location and other pertinent data. It is not a list of each document or each folder, but rather of each series or system.

UPAFC records are records dealing with internal DOE matters, contracts, personnel, budgeting, finance, and any other documents which are either of a sensitive nature or are not appropriate for handling by contractors (e.g., not appropriate for storage in the UPDCC).

2.6.5 Responsibilities

The UMTRA RMO shall supervise the inventory project. The RMO will assign inventory tasks to appropriate staff, establish a schedule, and ensure that all project members cooperate with the inventorying process.

2.6.6 Guidelines

1) Identification of records.

Records shall be inventoried in conjunction with their location (e.g., by office, desk, or central file).

2) Series inventory elements.

The inventory shall include certain elements of information for each series. These elements are described in the following sections. Although some elements are useful only for agency purposes (e.g., date prepared and identification of person conducting inventory), most are needed to provide information to the National Archives and Records Administration (NARA) for scheduling records through the submission of an SF-115, Request for Records Disposition Authority. As indicated, the NARA requires more complete information on records proposed for permanent retention than for those proposed for disposal. If an agency proposes for disposal records that the NARA later determines to be potentially permanent, it must then change the proposed disposition to permanent and give the NARA the necessary additional information. The series inventory elements, with related instructions, are as follows (see Figure 3):

a. Date prepared.

Date the inventory was prepared.

b. Office maintaining the files.

Name of the person maintaining the records. If this person received this series from another person or office, also indicate the name of that person or office and designate it as the "creating office."

c. Person conducting the inventory.

Name, position, and telephone number of person conducting the inventory.

SERIES INVENTORY FORM	
1. DATE PREPARED	2. OFFICE MAINTAINING THE FILES <i>(Name and symbol)</i>
3. PERSON DOING INVENTORY <i>(Name, office, phone number)</i>	4. SERIES LOCATION
5. SERIES TITLE	6. INCLUSIVE DATES
7. SERIES DESCRIPTION	
8. MEDIUM <i>(check all that apply)</i> ☐ Paper ☐ Microform ☐ Electronic <i>(use information system form)</i> ☐ Audiovisual <i>(use audiovisual form)</i>	13. REFERENCE ACTIVITY <i>(after cutoff)</i> ☐ Current <i>(At least once a month per file unit)</i> For how long after cutoff? _____ ☐ Semicurrent <i>(Less than once a month per file unit)</i> ☐ Noncurrent <i>(Not used for current agency business)</i>
9. ARRANGEMENT ☐ Subject file classification system ☐ Alphabetical by name ☐ Alphabetical by subject ☐ Geographical by <i>(specify)</i> ☐ Numerical by <i>(specify)</i> ☐ Chronological ☐ Other <i>(specify)</i>	14. VITAL RECORDS STATUS: ☐ Yes ☐ No <i>(If yes, indicate type here; use entry 15 to show any duplication.)</i> _____ Emergency-operating _____ Rights-and-interests _____ Both
10. VOLUME <i>(in cubic feet)</i>	15. DUPLICATION: Are documents in this series available in another place or medium? ☐ Yes ☐ No <i>(If yes, explain where and in what medium.)</i>
11. ANNUAL ACCUMULATION <i>(in cubic feet or inches)</i>	16. FINDING AIDS <i>(if any)</i>
12. CUTOFF <i>(e.g., end of FY)</i>	17. RESTRICTIONS ON ACCESS AND USE
	18. CONDITION OF PERMANENT RECORDS ☐ Good ☐ Fair ☐ Poor <i>Comment:</i>
19. DISPOSITION AUTHORITY: Does the series have an approved disposition authority? ☐ Yes <i>(List the schedule and item number, give the current disposition instructions, and justify any proposed change.)</i> ☐ No <i>(Propose an appropriate retention period.)</i>	

Figure 3. Series inventory form

d. Series location.

Precise location of the series (example: building address, office number). If the series is located in more than one office, it is only necessary to inventory once and then indicate multiple locations.

e. Series title.

Title of each series. Titles may be generated by:

- The DOE or the UMTRA Project Office, which may be using a generally accepted title in its normal day-to-day procedures. Examples: employee locator file, project progress report.
- Individuals conducting the inventory. Examples: property control records, meeting transcripts file, loan analysis file.

f. Inclusive dates.

The earliest and latest dates of the records in each series. This information supplements or is a part of the description and is needed to schedule records proposed for permanent retention. It is also needed to determine when to cut off, or break, records and transfer them to a FRC or agency storage facilities. Finally, it can provide a clue to the rate of growth of the series. For case files or correspondence files, express the earliest date as the year only. For series being created at the time of the inventory, indicate the latest date by the designation "to date" or "to present."

The NARA requires agencies to give inclusive dates for records proposed for permanent retention and also for nonrecurring records proposed for immediate destruction.

g. Series description.

A clear description of the series. This is necessary for the NARA's later appraisal of the records. It may also be needed to clarify the series title. Examples of such language are:

- "Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Consist of audit reports, correspondence, and supporting working papers."
- "Records relating to the office's internal administrative, or housekeeping, activities rather than the functions for which the office exists. Include records on office organization, staffing, procedures, and communications; the expenditure of funds, including budget files; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. May also include the office's copies of

internal activity and workload reports, such as work progress, statistical, and narrative reports forwarded to higher levels."

- "Photographs of routine award ceremonies, social events, and other nonprogram activities."
- "Requests from the public for forms and publications."
- "Record set of formal directives distributed as orders, circulars, or manuals, announcing major changes in the agency's policies and procedures, and relating to program functions."
- "Correspondence on division matters prepared for the director's signature and related documents."
- "Case files of grants to individual institute for the funding of research related to mining and mineral resources. Include pre-proposals, proposals or applications, patent information, project reports, studies, certificates, agreements, memorandums, letters, and other records relating to the receipt, review, award, evaluation, status, and monitoring of grants along with the allocation of funds and project budgets."
- "Record sets of newsclippings from newspapers in the area of remediation."

Inventory items shall not emphasize form numbers, especially when case files or transaction files are being described. Such files, which consist of numerous forms and related correspondence, constitute the bulk of all federal records. Examples include contract files, claims files, loan files, clinical files, and personnel files.

It is permissible to combine into a single inventory item a number of very small series of temporary records if they serve the same function and are proposed for the same retention period. For example, separate series relating to an office's housekeeping, or internal administrative, activities may be merged into a single item called office administrative files. However, each series of potentially permanent records must be described and scheduled separately. See Section 2.8 for guidelines on determining if records should be permanently retained.

Each series description shall contain enough information to show the purpose, use, and subject content of the records. Avoid terms, such as "miscellaneous" or "various," that add nothing to the description. Give special attention to describing potentially permanent records because the NARA requires more detailed information on them.

h. Medium.

An indication as to whether the record medium is paper, microform, electronic, audiovisual, or a combination of these.

i. Arrangement.

The arrangement, or system of filing, used. Examples include subject classification systems; arrangements that are alphabetical by subject or alphabetical by proper name; geographical by state; numerical by contract number; chronological by date of report. If a series has no apparent arrangement, mark it "unarranged." If there are subordinate patterns of arrangement within the series, list them also. The NARA requires agencies to indicate the arrangement of records proposed for permanent retention but not those proposed for disposal.

j. Volume.

The volume of records expressed in cubic feet rather than in linear feet or any other unit of measurement. Since it represents height, width, and depth, a cubic foot figure provides a realistic idea of the amount of space actually occupied. Also include the volume of older records, which may be wrapped in bundles or packages, or of oversized materials, which are too large to be stored in conventional filing equipment.

Although volume information is important, the figure for each series need not be measured with extreme accuracy. In calculating the volume of a series, do not include fractions, but simply round all figures to the nearest cubic foot. If the series totals less than half a cubic foot, list the volume as "negligible" or "less than one."

Precision accuracy is not needed in gauging the volume of any series that is obviously large. Simply sample the file drawers to see if they are relatively full, and then multiply the number of full file drawers by the pertinent conversion ratio (for conversion ratios, see Figure 4). For those records not stored in filing equipment, estimate the number of file drawers the records would occupy, and then apply the appropriate conversion ratio.

The NARA requires agencies to give volume figures for records proposed for permanent retention and also for nonrecurring records proposed for immediate destruction.

k. Annual accumulation.

The annual rate of accumulation for each series if the records are current and continuing. The NARA requires agencies to furnish the rate of accumulation of such records proposed for permanent retention but not those proposed for disposal. If the records no longer accumulate, indicate "none."

l. Cutoff.

How often the records are cut off and when the last cutoff occurred. If they are not cut off, explain how inactive records are separated from active ones.

UNITS FOR MEASURING RECORDS

CONVERSION FACTORS FROM LINEAR FEET TO CUBIC FEET

Letter size	Lin. ft. x 0.8 or 1.25 lin. ft. = 1 cubic foot
Legal size	Lin. ft. x 1.0 or 1.0 lin. ft. = 1 cubic foot
Ledger size	Lin. ft. x 1.5 or 0.6 lin. ft. = 1 cubic foot
Document size	Lin. ft. x 0.27 or 3.7 lin. ft. = 1 cubic foot
Tab cards and checks	Lin. ft. x 0.1 or 10.0 lin. ft. = 1 cubic foot

FILE CAPACITY

Letter size drawer	1.5 cubic feet
Legal size drawer	2.0 cubic feet
Letter size cabinet, four drawers	6.0 cubic feet
Letter size cabinet, five drawers	8.0 cubic feet
Legal size cabinet, four drawers	8.0 cubic feet
Legal size cabinet, five drawers	10.0 cubic feet
Letter size drawer or box	1.5 cubic feet
Legal size drawer or box	2.0 cubic feet
Letter size, 36" shelf	2.0 cubic feet
Legal size, 36" shelf	2.5 cubic feet
3 x 5 card, ten 12" rows	1.0 cubic foot
3 x 5 card, five 24" rows	1.0 cubic foot
4 x 6 card, six 12" rows	1.0 cubic foot
4 x 6 card, three 24" rows	1.0 cubic foot
5 x 8 card, four 12" rows	1.0 cubic foot
5 x 8 card, two 24" rows	1.0 cubic foot
Tab card, five 14" boxes	1.0 cubic foot
Tab card, three 24" rows	1.0 cubic foot

BOXES

Standard Records Center carton (15" x 12" x 10") (letter/legal size)	1.0 cubic foot
One letter size transfer file	1.5 cubic feet
One legal size transfer file	2.0 cubic feet

FLOOR SPACE REQUIREMENTS

Letter size cabinet (room to pull out drawer + person)	6.0 square feet
Legal size cabinet	7.0 square feet

SHEETS OF PAPER PER LINEAR FOOT

Letter size or legal	3000 including guides and folders
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SHEETS OF PAPER PER INCH

100 medium weight cards	1 inch
175 sheets ordinary paper	1 inch
250 sheets bond	1 inch
500 sheets tissue	1 inch
334 sheets file copy	1 inch

Figure 4. Cubic volume conversion tables

Note: To cut off records means to break, or end, them at regular intervals to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files.

m. Reference activity.

How often a record series is accessed. After the regular cutoff, this is rated by placing the series in one of three categories:

- Current, or active (used more than once a month per file drawer)
- Semicurrent, or semiactive (used less than once a month per file drawer).
- Noncurrent, or inactive (not used for current operations).

Information on reference activity, or frequency of use, is especially important for paper records because it affects the timing and type of disposition, particularly in reference to off-site storage. For example, if voluminous records are still current, or active, keep them in office space rather than transferring them to a FRC. Transfer semicurrent, or semiactive, records to a FRC, if other conditions are met, to await the final disposition prescribed by a NARA-approved records schedule.

n. Vital records status.

Specify whether the series are emergency operating records, rights-and-interest records, or both. Also indicate whether they are the originals or duplicates.

o. Duplication.

The existence of duplicate copies of the series in other locations. This may occur in the following ways:

- Carbon copies or other types of copies may be in the same organization unit or elsewhere in the DOE. The copies may contain significant differences or notations.
- Similar data or information may be available elsewhere in the DOE, either physically duplicated or in summarized form.

If the duplication is only partial, state its extent. If the information is recorded on both electronic and paper media, both must be inventoried and scheduled.

p. Finding aids.

Indexes, document lists, lists of file headings or containers, and classification or filing manuals. Note the existence of any finding aids for

the series, especially if the records are to be proposed for permanent retention. Finding aids identify the contents of particular series so that users can locate individual documents, file units, or other parts of the series. If they cover more than one series, note that fact. If the finding aids are not in the same office or area as the related series, indicate their location.

q. Restrictions on access and use.

Restrictions on access to and use of the particular series. Such restrictions may result from statutes, executive orders, or agency directives. The two most common types of restrictions are:

- Personal privacy — These files are restricted because they contain information about individuals whose privacy would be violated if the information were made known to others. Examples are tax returns, medical records, and some personnel investigative files.
- National security — These files bear classification markings, such as "top secret," "secret," or "confidential." They do so because their release, or the release of information in them, to unauthorized persons might harm national security. UMTRA Project records are not typically classified.

Executive orders govern national security classification policies and procedures. The intelligence agencies classify many of their files under special statutory and executive authority. In dealing with access and restriction matters, also comply with the Freedom of Information Act (5 USC 552) and the Privacy Act (5 USC 552a), as amended. Whenever necessary, consult with the agency officials responsible for such matters.

The NARA requires agencies to indicate any Privacy Act restrictions on records proposed for eventual destruction and any Freedom of Information Act restrictions on records proposed for immediate transfer to the National Archives.

r. Condition of permanent records.

Physical condition of records that are actually or potentially permanent, especially those stored off the site. Identify threats to records preservation and security and take appropriate corrective action. Threats include overhead water pipes, electrical equipment, excessive heat and/or humidity, vermin, and inadequate security.

s. Approved disposition authority.

Using the General Records Schedule (GRS), or the DOE Records Schedule (DOERS), list the schedule (major category under which the series falls; e.g., Facility Records, Communications Records) and item number and then the retention period. If the series has no such authority, list the series as "unscheduled." SF-115 must be prepared for unscheduled records.

t. Information transfer.

Transfer applicable inventory information to the RIDS in preparation for assigning disposition instructions for each records series.

2.7 GUIDELINES FOR EVALUATING AND SCHEDULING RECORDS FOR DISPOSITION

2.7.1 Purpose

To provide guidelines for evaluating UPAFC records for eventual disposition instructions. The objective of the evaluation, which includes information analysis and decision-making, is to determine if records have administrative, fiscal, or legal value, or some combination of the three.

2.7.2 Scope

These guidelines apply to all UPAFC records generated, received, and maintained by the UMTRA Project Office that have been inventoried in accordance with DOE and NARA regulations as set forth in this manual.

2.7.3 References

The following directives were used to develop these guidelines:

- DOE 1324.2A, *Records Disposition*, September 13, 1988.
- DOE 1324.5a, *Records Management Program*, April 30, 1992.
- DOE 1324.8, *Rights and Interests Records Protection Program*, October 23, 1991.
- DOE 5500.7B, *Emergency Operating Records Protection Program*, October 12, 1991.
- 44 USC, Chapters 29, 31, and 33.
- National Archives and Records Administration, *Disposition of Federal Records*, NSN 7610-01-055-8704, Washington, D.C., 1992.

2.7.4 Definitions

Standard Form 115 (SF-115) is a government form that must be filled out to request special permission from the NARA to either change an existing disposition instruction or to identify a new record type that has no disposition period assigned to it. In the latter case, recommendations for length of retention of the document are solicited by the NARA.

2.7.5 Responsibilities

The UMTRA Project RMO shall supervise the evaluation and scheduling of UPAFC records. The RMO shall assign tasks to appropriate staff, establish a schedule, and ensure that all project members cooperate with the scheduling and evaluating process.

2.7.6 Procedures

1) Evaluation of records.

Records shall be evaluated from the DOE's and the NARA's perspective to determine their final disposition. This perspective includes three major evaluation categories:

- Administrative value.

All records have administrative value because they are necessary to conduct the agency's current business. The duration of this value may be long or short. Some records, such as program directives, have long-term administrative value. Others, such as messenger service files, have short-term administrative value. Many records at operating levels have short-term administrative value because they are correspondence duplicated elsewhere, reports summarized at higher agency levels, or logs serving as temporary controls.

- b. Fiscal value.

Along with general administrative value, some records may have fiscal value. Records with fiscal value document the agency's financial transactions and obligations. They include budget records, which show how expenditures were planned; voucher or expenditure records, which indicate the purposes for which funds were spent; and accounting records, which classify and summarize agency expenditures. Such agencies as the Office of Management and Budget, the General Accounting Office, the Treasury Department, and the General Services Administration prescribe the form and content of many fiscal records. In most instances, only the data on the forms differ from agency to agency. Consequently, the GRS provides dispositions authorities for many temporary fiscal records.

- c. Legal value.

Besides administrative and fiscal value, records may also have legal value. Some legal values relate to records that the law requires the government to create and maintain in the course of its operations. Others, however, are quite broad and do not necessarily involve an agency's operations. Instead, they are intended to protect the rights of individuals and organizations. Such records are useful in documenting legally enforceable rights or obligations, both those of the government and those of persons directly affected by an agency's activities.

Legal value has long been associated with records documenting such matters as benefits and property ownership. More recently, however, it has also been identified with records documenting environmental and potential health concerns, such as the handling or regulation of chemical and nuclear materials.

Examples of records with legal value include formal decisions and legal opinions; documents containing evidence of actions in particular cases, such as claims papers and legal dockets; and documents involving legal agreements, such as leases, titles, and contracts. Also included are records relating to criminal investigations, workers' compensation, exposure to hazardous material, and the issuance of licenses and permits.

Special concern for legal value applies only to temporary records, because if records are permanent they will always be available to protect legal rights. The GRS designates as temporary many records with legal value, such as those relating to contracts, claims, property disposal, payroll, and civilian personnel.

The duration of legal value varies with the matter at hand. For example, the legal value of contracts and claims records diminishes rapidly after final settlement and ends when relevant statutes of limitations expire. Based on statutes of limitations and fraud, other statutory provisions, and practical considerations such as lifespan, records with legal value may be disposable, although they may require a long retention period.

Before recommending retention periods for records that may have legal value, the advice of legal counsel should be sought. Factors to be considered in determining retention periods include applicable statutes of limitations, regulatory limits for claims or prosecution, the potential for fraud, and litigation trends involving procedural or substantive rights. Adequate documentation should be maintained to show that legal rights have been fully considered in proposing retention periods for temporary records.

2) Preparing disposition instructions.

Once the records inventory has been completed and all records have been evaluated for disposition, the individual responsible for the evaluation of the records will write recommended cutoffs, retention periods, and other disposition instructions for all records, along with necessary instructions for nonrecord materials. Records with potentially permanent value will receive special attention. Schedule instructions will be clear, especially those on the final disposition of records. The timing of destruction or transfer to the NARA will not be left to chance or be subject to possible misinterpretation.

Normally, DOE records will fall into the following three categories:

- Record items covered by the GRS or the DOERS.
- Nonrecord items,
- Record items not covered by records schedules.

The GRS and DOERS will be used for scheduling all UPAFC records unless one of two situations exist:

- The DOE has received approval of a shorter retention period in a NARA-approved SF-115. In this situation, a shorter retention period may apply unless the NARA advises otherwise.
- The NARA has approved an SF-115 granting an exception to the GRS-prescribed disposition authority.

The GRS is not used for program records; it is applied only to administrative, or housekeeping, records.

The DOERS contains NARA-approved disposition authorizations on records unique to the DOE. When records are created which are not described in the GRS or the DOERS, their creator is responsible for initiating action to obtain their authorization for disposition.

Records are described in many of the schedules in general terms, instead of in specific terms, to describe individual filing series. Since filing series are described on the RIDS in terminology familiar to the organization for which the RIDS are prepared, often the descriptions will not coincide exactly with the descriptions in the authorized schedules. Judgment is required in finding appropriate standards for comparable records. Personnel who prepare the RIDS should contact their RMO when it is not clear which standards apply. The RMOs will review the RIDS to ensure there is agreement.

Occasionally, it may be necessary to establish longer or shorter periods than prescribed in the records schedules. If the criteria on which the disposition was originally based have changed, a SF-115 should be prepared giving the reason for the change. The form is forwarded by the Headquarters or field element RMO to the Information Management Division (AD-242), Office of IRM Policy, Plans, and Oversight (AD-24) after proper coordination at the local level. AD-242 will obtain the necessary NARA and other approvals. If a local situation requires that records be temporarily retained for 1 year or less beyond the authorized retention period, Headquarters or NARA approvals are not required. Extensions of over 1 year require approval from Headquarters and the NARA.

3) Identifying and evaluating nonrecord material.

Nonrecord materials are federal government-owned documentary materials excluded from the legal definition of records, either by failing to meet the general conditions of a record or by falling under one of three specific categories:

- a. Extra copies of documents preserved only for convenience of reference.
- b. Stocks of publications and of processed documents.
- c. Library and museum material made or acquired and preserved solely for reference or exhibition purposes.

Refer to *Disposition of Federal Records*, National Archives and Records Administration, Washington, D.C. 1992, pages II-2 and II-3 for detailed definitions of records and examples of nonrecords. These examples should be used in identifying nonrecord filing series described on the RIDS. Each nonrecord filing series is designated on the RIDS by entering "nonrecord" in column 7, "Disposition Authority." If the determination of nonrecord is based on physical duplication, also indicate the office responsible for keeping the record copy.

Nonrecord items are evaluated to determine appropriate disposal times. Short periods (less than 2 years and often not more than 1) should be established for nonrecord filing series, since they are usually duplicated elsewhere in the organization and are retained for convenience of reference only. The disposal dates are posted in column 8 of the RIDS. Nonrecord material may be disposed of without NARA or other authority.

4) Record items not covered by schedules.

New records retention standards must be developed for any filing series that does not have an established disposition standard. Because several months are usually required for obtaining new authorizations, "to be obtained" is entered in column 7 of the RIDS and "to be developed" is entered in column 8. In this way the RIDS can be completed and disposition actions for other records and those established for nonrecord material can be applied immediately.

5) Cutoff instructions and retirement periods.

The completed RIDS includes a timetable for the removal of noncurrent records from office space and equipment and transfer to lower cost storage. This timetable provides instructions for file cutoff, retirement, transfer, or destruction. Retirement and transfer periods are developed only after the disposition is determined. The instructions for file cutoff, retirement, transfer, or destruction are entered in column 9 of the RIDS, after which the RIDS is ready for preparation in final form, approval, and application.

2.8 GUIDELINES FOR DETERMINING IF RECORDS QUALIFY FOR PERMANENT RETENTION

2.8.1 Purpose

To assist in determining if UPAFC records qualify under the NARA's guidelines as permanent records.

2.8.2 Scope

These guidelines apply to all UPAFC records generated, received, and maintained by the DOE UMTRA Project Office. It specifically excludes all nonrecord materials and all records held in the UPDCC.

2.8.3 References

The following directives were used to develop these guidelines:

- 36 CFR, Chapter XII, Subchapter B, *Records Management* (1994).
- National Archives and Records Administration, *Disposition of Federal Records*, Office of Records Administration, Washington, D.C. NSN 7610-01-055-8704. 1992.

2.8.4 Definitions

Permanent records are records appraised by the NARA as having sufficient historical or other value to warrant continued preservation by the federal government beyond the time they are needed for administrative, legal, or fiscal purposes. These are sometimes called archival records.

Nonrecord materials are records that fall under one of the three following specific categories:

- Extra copies of documents preserved only for convenience of reference.
- Stocks of publications and of processed documents.
- Library and museum material made or acquired and preserved solely for reference or exhibition purposes.

On the basis of these conditions and the categories specifically cited in the law, nonrecord materials include:

- Information copies of correspondence, directives, forms, and other documents on which no administrative action is recorded or taken.
- Routing slips and transmittal sheets adding no information to that contained in the transmitted material.
- Tickler, follow-up, or suspense copies of correspondence, provided they are extra copies of the originals.
- Duplicate copies of documents maintained in the same file.
- Extra copies of printed or processed materials for which complete record sets exist, such as current and superseded manuals maintained outside the office responsible for maintaining the record set.
- Catalogs, trade journals, and other publications that are received from other government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken.

- Physical exhibits, artifacts, and other material objects lacking evidential value.

2.8.5 Guidelines

The NARA provides 15 general series and system descriptions to illustrate the types of records normally appraised for permanent, or archival, retention. The RMOs should use these descriptions as guides to help identify permanent records, regardless of physical form or characteristics. Because of the wide variety of records accumulated by the government and because of differences in agency organizations, functions, and recordkeeping systems, these guidelines cannot include all the records that may be eligible for permanent retention. The 15 categories are summarized below. For a more detailed explanation of each category, refer to *Disposition of Federal Records, A Records Management Handbook*, National Archives and Records Administration, Office of Records Administration, Washington, D.C., page IV-4.

1) Records on organization and functions.

Usually only of permanent value for higher echelon of agency offices. Used for historical purposes to illustrate total governmental management and reporting responsibilities within the executive branch of the government. Functional statements for agency officials at the division level and above.

2) Formal minutes of boards and commissions.

These document substantive policy and procedural decisions, especially when a board or commission, rather than an individual appointee, gives an agency executive direction. Minutes may be literal transcriptions or edited summaries. Audio or video recordings of the meetings also should be preserved.

3) Records of internal agency, interagency, and non-federal committees.

These include minutes, agendas, proposals submitted for review, and final recommendations of meetings of ad hoc committees as well as more formally established councils, conferences (e.g., White House conferences), and task forces and study groups attended by senior agency officials. Meetings may be limited to internal agency personnel or may include representatives from other federal agencies or non-federal groups.

4) Legal opinions and comments on legislation.

These are memorandum prepared by an agency's legal counsel or program officials on interpretations of existing laws and regulations, or the effects of proposed laws and regulations governing the agency or having a direct effect on its operations. Records selected concern the agency's primary missions and normally exclude general opinions and comments relating to other federal agencies. Included are formal comments on pending legislation prepared at the request of the Congress or the office of Management and Budget. Most of these records are permanent when created in the offices of general counsels of departments and independent

agencies. Excluded are copies of bills, hearings, and statutes held for convenient reference. Similar records maintained below the departmental level may or may not be permanent depending on their content and relationship to records of the departmental counsel.

- 5) Formal directives, procedural issuances, and operating manuals relating to program functions.

These are orders, circulars, or manuals announcing major changes in policies and procedures.

- 6) Selected evaluations of internal operations.

These are studies conducted to determine the effectiveness of the procedures adopted to achieve established policy goals. Audit case files are generally excluded. The studies may include evaluations of both program and administrative operations and may be made by the agency itself (inspectors general) or by outside oversight agencies (e.g., General Accounting Office [GAO]). Only those studies recommending significant changes in policies and procedures merit preservation. Studies prepared by outside oversight agencies should be proposed as permanent by the creating agency. All other copies that have not been annotated or integrated into operational files are disposable.

- 7) Analytical research studies and periodic reports.

These include analytical research studies and periodic reports prepared by the DOE, or by private organizations or individuals under contract to the DOE or in receipt of a grant from the DOE. Studies and reports selected for permanent retention may be statistical or narrative and may be recorded on paper, electronic, audiovisual, or other medium. Regional reports prepared by field offices and forwarded to the agency's headquarters are frequently permanent because they contain information on ethnic, social, economic, or other aspects of specific localities.

- 8) Agency histories and selected background materials.

These consist mainly of narrative DOE histories and histories of DOE programs, including oral history projects completed by DOE historians, public affairs officers, or private historians under DOE contract. Some background materials, such as interviews with past and present personnel, generated during the research stage may also be selected for permanent retention.

- 9) Briefing materials.

These consist of statistical and narrative reports and other summaries, including audiovisual materials, created to inform agency heads and their senior advisers of the agency's current status or of major issues confronting the DOE. They may be used to prepare such officials for hearings, press conferences, or major addresses.

10) Public relations.

a. Speeches, addresses, and comments.

These include remarks made at formal ceremonies and during interviews by DOE heads or their senior assistants concerning agency programs and activities. The speeches and addresses may be presented to executives from other federal agencies, representatives of state and local governments, or private groups, such as university students and members of business associations and cultural organizations. Interviews may be granted to radio, television, or print news commentators. The medium selected may be paper, audiovisual, microform, or electronic.

b. News releases.

These consist of one copy of each prepared statement or announcement issued by the DOE public affairs office for distribution to the news media regarding such significant events as the adoption of new DOE programs, the termination of old programs, major shifts in policy, and changes in senior agency personnel. The medium selected may be paper, audiovisual, microfilm, or electronic. Excluded are news releases that provide only transitory or routine information.

11) Publications.

These are formal publications printed or issued by the Government Printing Office, the National Technical Information Service, an outside contractor, or the DOE itself. Examples include annual reports to the Congress; studies conducted by the agency or under contract for the DOE; and procedural brochures, pamphlets, and handbooks distributed for guidance to other federal agencies, state and local governments, and private organizations and citizens. Also included are maps and posters as well as instructional and educational materials in audiovisual form (audio or video recordings, motion pictures, filmstrips, and slide-tape productions), film productions, and television and radio programs prepared to furnish information on agency policies or to promote agency programs and operations. Even though there may be reference copies of audiovisual publications in non-federal depositories, the government still needs to retain the original production elements and related textual records required to ensure the preservation and facilitate the use of such audiovisual publications.

12) Selected audiovisual and graphic records.

These consist of DOE-originated motion pictures, still photographs, posters, audio and video recordings, cartographic materials, and architectural drawings created to record substantive events or information that cannot be or normally is not recorded in written form, along with related records needed to identify and facilitate the use of such records.

13) General correspondence, or subject, files documenting substantive agency programs.

These files include correspondence with the President and the Executive Office of the President, members of Congress and congressional committees, other federal agencies, and private organizations and individuals; internal agency memorandums; narrative and statistical reports; budget estimates and justifications; and other records documenting all of the agency's substantive program functions. Whether in paper or electronic form, these records show the development of major policies and procedures and are often designated for permanent retention when created at the following levels: secretary; under secretary; administrators, chairpersons, commissioners, and directors of administrations, bureaus, and services within a department; and heads of independent federal agencies and their chief assistants. When the DOE's important programs are not documented in correspondence maintained at these higher levels, the NARA generally designates similar records created at lower office levels as permanent.

How many general correspondence files are selected as permanent depends not only on their importance, but also on the extent of their duplication at various office levels. Where substantial duplication exists, those created at the highest level should be chosen. Where little or not duplication exists, those at more than one level may be chosen for permanent retention.

14) Selected case files.

Many federal records are maintained as case files, which are records, regardless of medium, documenting a specific action, event, person, place, project, or other matter. Sometimes called project or transaction files, they document particular agency activities from initiation to conclusion. Although the case files in most series or systems are scheduled for disposal, sometimes the NARA designates all of those in a series or system for permanent retention, especially when they are electronic master files. Occasionally, however, the NARA selects only a few of those in a series or system for permanent retention. Individual case files may be chosen because the case meets one or more of the following criteria:

- a. It establishes a precedent and results in a major policy or procedural change.
- b. It is involved in extensive litigation.
- c. It receives widespread attention from the news media.
- d. It is widely recognized for its uniqueness by specialists or authorities outside the government.
- e. It is reviewed at length in the agency's annual report to the Congress.
- f. It constitutes a significant accumulation of documentary material and information on a particular subject (a "fat file").

- g. It is selected to document agency procedures rather than capture information on the subject of the individual file.

Criteria "a" through "f" indicate the exceptional nature of particular case files, whereas criterion "g" relates to routine files chosen because they illustrate the agency's procedures. Individual case files selected as permanent under these criteria may include, but are not limited to, research grants awarded for studies; research and development projects; investigative, enforcement, and litigation case files; social service and welfare case files; labor relations case files; case files related to developing natural resources and preserving historic sites; and public works case files.

Sometimes a case file series may be approved for disposal because the agency maintains an electronic index containing extensive information on the cases. Such indexes themselves may be selected for permanent retention. The NARA may also select as permanent those final reports and decisions drawn from case files but maintained separately.

15) Selected data.

- a. Scientific and technical data.

These data result from observations of natural events or phenomena or from controlled laboratory or field experiments. They generally are created at project or operating levels rather than at higher office levels. They may be found in laboratory notebooks, completed forms, tabulations and computations, graphs, microforms, and electronic files. Generally data selected for permanent retention are unique, accurate, comprehensive, and complete, and they are actually or potentially applicable to a wide variety of research problems.

- b. Social and economic microdata.

These are unsummarized data collected for input into periodic and one-time studies and statistical reports including information filed to comply with government regulations. The information may be on such subjects as economic conditions, taxes, health care, demographic trends, education, discrimination, and other social science areas. It may also consist of data on natural resources including their use, condition, and ownership; emergency operations including military actions and civil strife; political and judicial proceedings; national security activities; and international relations. Although agency reports and studies, briefing materials, and official releases often summarize these data, the unsummarized information, usually in the form of electronic records, may have permanent value.

2.9 PROCEDURE FOR TRANSFERRING, RETRIEVING, AND DISPOSING OF RECORDS FROM THE ALBUQUERQUE OPERATIONS RECORDS CENTER¹

2.9.1 Purpose

To establish the procedure for the transfer, retrieval, and disposition of records to and from the Albuquerque Operations (AL) Records Center.

2.9.2 Scope

This procedure applies to DOE/AL site organizations who transfer and retrieve records from the AL Records Center. This includes the manager's office, assistant managers' offices, all organizational elements reporting to the manager, divisions and all subdivision organizations, project offices, and area offices. Any organization other than those listed above desiring the use of the AL Records Center must contact the AL RMO.

2.9.3 References

The following directives were used to develop this procedure:

- DOE Order AL 1324.5A, *Records Management Program*. Section j(5).
- *U.S. Department of Energy (DOE) Albuquerque Operations Office (AL) Records Management Plan for the AL Site*. January 1994.

2.9.4 Definitions

Inactive records are records that are no longer needed in the office to conduct current business. Inactive records should be transferred to the AL Records Center if further retention is required.

Nonrecord material is government-owned stocks of publications, library material, or copies of documents acquired and kept only for convenience of reference. Nonrecord material may be maintained within an organization as long as needed for reference purposes but must be inventoried and scheduled on the organization's RIDS. The organization has the authority to discard this material without further approvals. *Nonrecord material is not transferred to the AL Records Center.*

Official record copy is the original or copy of a record designated and agreed upon to be the official record copy. The office maintaining this copy has the responsibility to obtain the NARA's approval for the records disposition. *The record copy cannot be destroyed without the NARA's approval.* For DOE correspondence, the yellow concurrence copy is considered the official record copy.

Records include all books, papers, maps, photographs, electronic materials, or other documentary materials, regardless of physical form or characteristics,

¹Excerpted from DOE-AL Procedure No. RC-1, Revision 0, Effective Date April 19, 1993.

made or received by an agency of the federal government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government, or because of the information value of the data in them.

Unscheduled records are records for which a retention period and final disposition has not yet been approved by the NARA. *Unscheduled records cannot be transferred to the AL Records Center without approval from the AL RMO.*

2.9.5 Background

The AL Records Center is designed to cost-effectively store and protect those records that are no longer needed by the DOE/AL offices to conduct their daily activities but contain future value to the organization, DOE, other agencies, or the public. The AL Records Center is a service provided to the DOE/AL so organizations can make the best use of limited office space. *The AL Records Center does not accept nonrecord material or unscheduled records.* Only official record copies should be transferred and stored at the AL Records Center.

2.9.6 Procedure for record transfer

Responsibility	Action
Office personnel	1. Contact the designated Records Management Coordinator (RMC) for the office when needing to transfer inactive records to the AL Records Center.
RMC	2. Review records to be transferred to the AL Records Center. Ensure they meet the following criteria: <ul style="list-style-type: none"> a) All are official record copies, not nonrecord material. Nonrecord material should be destroyed in the office when no longer needed. b) Records have at least 2 years remaining on their retention period. c) Records have been properly scheduled. Contact the AL RMO if uncertain. 3. Ensure records are boxed in accordance with the following standards: <ul style="list-style-type: none"> a) Use only approved Records Center storage boxes. Contact AL Records Center staff for boxes. b) All records in the box should be scheduled for destruction within the same year. Don't mix records having different disposal dates (different years) in the same box. c) Box is at least half full. Allow 2 to 3 inches for retrieving and replacing records in the box. Note: Prior to submitting any records (boxes) to the AL Records Center, an AL-F-1324.2(1) must be completed and approved.

Responsibility	Action
RMC	<p>4. Ensure proper completion of AL-F-1324.2(1), Records Transmittal, Receipt, and Disposition Form.</p> <p>5. Sign and submit the AL-F-1324.2(1) to the AL RMO. Retain a copy until the AL Records Center returns the approved AL-F-1324.2(1).</p>
RMO	<p>6. Review the AL-F-1324.2(1) for proper completion.</p> <p>7. If approved go to step 10, if not continue to step 8.</p> <p>8. Return the AL-F-1324.2(1) to the RMC with reasons for rejection.</p>
RMC	<p>9. If necessary, revise and resubmit the AL-F-1324.2(1) to the AL RMO. If the AL-F-1324.2(1) was returned because some or all records described should not be submitted to the AL Records Center, then remove those records and return to step 2.</p>
RMO	<p>10. Send the approved AL-F-1324.2(1) to the AL Records Center.</p>
AL Records Center staff	<p>11. Review the AL-F-1324.2(1) and ensure the RMO that approval has been given.</p> <p>12. Assign an accession number to each box identified on the AL-F-1324.2(1) and indicate it on the form.</p> <p>13. Sign the AL-F-1324.2(1) and return a copy to the originating RMC.</p>
RMC	<p>14. Upon receipt of the approved AL-F-1324.2(1), the boxed records may be sent. Put a copy of the AL-F-1324.2(1) in the front of the first box and submit box(es) to AL Records Center. For large transmittals, AL Records Center staff can provide assistance.</p> <p>15. Maintain a copy of the approved AL-F-1324.2(1) for future record retrieval purposes.</p>
AL Records Center staff	<p>16. Compare the folders in the box to the descriptions on the AL-F-1324.2(1). If there are any discrepancies, contact the originator. If the boxes are returned to the originator, notify the AL RMO.</p> <p>17. If the boxes are accepted, determine the storage location, write the accession numbers on the boxes, store the boxes, and complete the AL-F-1324.2(1).</p> <p>18. Maintain a copy of the completed AL-F-1324.2(1) for 2 years after implementation of final disposition (i.e., when all boxes on the form are destroyed or transferred to the NARA).</p>

2.9.7 Procedure for record retrieval

Responsibility	Action
Office personnel	1. Identify the need for a record, file, or box that has been transferred to the AL Records Center.
	2. Notify the RMC of need.
RMC	3. Review the AL-F-1324.2(1) forms maintained within the organization to determine which AL-F-1324.2(1) was used to transfer the needed material to AL Records Center.
	4. Contact the AL Records Center staff. Provide the requested information and inform the AL Records Center staff if a designee will be picking up the requested records in place of the RMC.
RMC (or designee)	5. Bring the AL-F-1324.2(1) to the AL Records Center and give the form to the AL Records Center staff.
AL Records Center staff	6. Retrieve material from the storage location or escort the RMC (or designee) to the location so that the requested information may be reviewed.
	7. If the RMC (or designee) requests to remove a box from the AL Records Center, note on the AL-F-1324.2(1) the box number(s) removed and have the RMC (or designee) sign and date the form. A copy of the form may be provided to the RMC (or designee) but the AL Records Center staff will maintain the original.
	8. If the RMC (or designee) requests to remove specific records or folders, complete an outcard, have the RMC (or designee) sign and date the card, and put the outcard in the box in place of removed records or folders.
RMC	9. Follow transfer procedure when retrieved boxes are to be returned to AL Records Center.

2.9.8 Procedure for transfer of records to the Federal Records Center

Responsibility	Action
AL Records Center staff	<ol style="list-style-type: none"> 1. Prepare boxes received that have 5 years or more remaining on their retention period and do not contain classified material for transmittal to the Fort Worth FRC. 2. Complete an SF-135 and follow the FRC transfer procedures. 3. Update the corresponding AL-F-1324.2(1) to reflect the transfer and send a copy to the original submitting organization.

2.9.9 Procedure for record destruction

Responsibility	Action
AL Records Center staff	1. Notify an organization's RMC 30 days prior to the scheduled destruction of their records.
RMC	2. If for any reason the organization feels the records should not be destroyed, notify the AL RMO, otherwise notify the AL Records Center staff to destroy the records.
RMO	<ol style="list-style-type: none"> 3. Resolve issues regarding the destruction of the records. 4. If an extension is necessary, require the organization to complete necessary forms, notify the AL Records Center staff, and initial changes to disposal date on AL-F-1324.2(1). No further action required. If the extension is not approved, continue to step 5.
AL Records Center staff	<ol style="list-style-type: none"> 5. After receiving approval, destroy the records and complete the remainder of AL-F-1324.2(1). 6. Notify the owner of records destruction by forwarding a copy of AL-F-1324.2(1). <p>Note: No one other than the RMO can approve changes to the disposition dates for records.</p>

3.0 PLANS FOR RECORDS MANAGEMENT TRAINING

3.1 INTRODUCTION

Proper training is an essential part of a records disposition program. Training should involve those personnel directly concerned with developing and applying the schedules. These individuals include records liaison officers in field offices and files custodians.

The NARA's introductory records disposition curriculum provides a basis for internal training. In addition, RMOs and their staffs can keep current by participating in more advanced training offered by the NARA. These training opportunities are provided by the NARA's Office of Records Administration and its FRCs. These and other opportunities are described in the *Records Administration Training* brochure and the *Directory of Records Administration Training Programs in the Greater Washington Area*, both available from the NARA's Records Administration Information Center (RAIC).

UMTRA records liaison officers should periodically brief supervisors and other employees on their records responsibilities, particularly those relating to records disposition. Audiovisual recordings of training and briefing sessions may also be useful, especially for remote locations or regional offices.

3.2 REFERENCES

The following references were used to develop these plans:

- 36 CFR §§1220-1238 (1994).
- OMB Circular A-130, *Management of Federal Information Resources*.
- DOE Order 1324.5A, *Records Management Program*.
- DOE Order 5700.6C, *Quality Assurance*.
- GAO/RCED-92-88, *DOE Management: Better Planning Needed to Correct Records Management Problems*.

3.3 TRAINING MATERIALS

The UPAFC files custodian will maintain a library of pertinent records management publications for ready reference as required. The following documents will be available at a minimum:

Government regulations

- DOE Order 1324.2A, *Records Disposition*.
- DOE Order 1324.3, *Files Management*.
- DOE Order 1324.5A, *Records Management Program*.

- DOE Supplemental Directive AL 1324.5A, *Records Management Program*.
- DOE Order 1324.6, *Automatic Office Electronic Recordkeeping*.
- DOE Order 1324.6A, *Electronics Records Management Program*.
- DOE Order 1324.8, *Rights and Interests Records Protection Program*.
- DOE Notice 1324.13, *Disposition of Personal Papers and Official Records*.
- 36 CFR, Chapter XII, *National Archives and Records Administration* (1994).
- 41 CFR, Subchapter B, *Archives and Records* (1994).

NARA publications

- *A Federal Records Management Glossary*.
- *Checklist for Evaluating Recordkeeping Practices in Your Office*.
- *Evaluating Files Maintenance and Records Disposition Programs*.
- *Federal Records Management Laws and Regulations*.
- *General Records Schedules*.
- *Records Administration Training* (updated annually).
- *Your Records and the National Archives and Records Administration*.

GSA/NARA handbooks

- *Files Equipment and Supplies*.
- *Files Operations*.
- *Subject Filing*.
- *Files Maintenance*.

Other pertinent publications

- *AL Site Records Management Plan*.

3.4 TRAINING COURSES

UPAFC liaison officers and/or UPAFC file custodians will attend at least one records management training course per year for the purposes of acquiring and maintaining a thorough knowledge of federal records management procedures and regulations. At a minimum, the UPAFC file custodian will be trained in the disciplines of:

- Introduction to records management.
- Files improvement.
- Records disposition.
- Scheduling records.
- Evaluating records management.
- Promoting records management.

3.5 DOE-SPONSORED RECORDS MANAGEMENT CONFERENCES

UPAFC liaison officers and file custodians will attend the DOE-sponsored Records Management Conference held each year.

4.0 PLAN FOR AUDITING THE UPAFC RECORDS MANAGEMENT PROGRAM

4.1 PURPOSE

To describe the procedures and responsibilities involved in the auditing of the UPAFC Records Management Program.

4.2 SCOPE

This plan augments the policies and procedures set forth in DOE Order 1324.2A and Supplemental Directive 1324.5A

4.3 GUIDELINES

All records must flow smoothly through their life cycle. Therefore, provisions are made in this guideline for auditing the UPAFC Records Management Program.

4.3.1 Self-audits

The UPAFC files custodian shall devote at least one day each year to reviewing unit files to determine if all the principles of records management, as described in this manual, are being followed. The objectives of this review shall include:

- Disposing of unnecessary reference materials.
- Retiring eligible official files.
- Destroying eligible official files.
- Ensuring that all records are covered by the disposition standards set forth in this manual.
- Determining whether any disposition schedules need to be changed.
- Ensuring that office files are properly maintained; that legible, accurate labels are on all file drawers and folders; that staff members are using outcards; and that the UPAFC filing system is being used.

All staff members shall be notified annually of their responsibility to ensure that official files are not intermingled with personal files and that all official records are incorporated in the official files.

4.3.2 Audits by administrative officers

Once a year, in November, an UMTRA quality assurance representative will conduct a quality assurance audit of the UPAFC records management system, comparing actual practices against written procedures. A report of the findings

of the audit will be prepared and submitted to the UMTRA project manager and the Albuquerque Operations Office RMO.

Adverse findings will be promptly acted upon. A report detailing the action taken will be submitted to the UMTRA quality assurance representative within 30 days after receiving the audit report. A follow-up audit will be conducted within 4 months of the November audit to ensure all problem areas have been satisfactorily corrected.