RECORDS MANAGEMENT GUIDE FOR DOWNSIZING AND TERMINATING PROGRAMS

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EXECUTIVE SUMMARY

The Department of Energy, like many other Federal agencies, is experiencing downsizing. As a result of reductions in programmatic funding, many organizations have eliminated or restructured programs. A Strategic Alignment Initiative has been instituted to streamline operations and the Department that emerges from this initiative will, among other changes, have a smaller staff, lower budget and consolidated, merged, discontinued or privatized programs and functions.

As part of the "Roadmap to the Year 2000", we have identified the need for guidance on closeout, consolidation or transfer of records. This may be related to a terminating program or project, the transfer of records within the agency, or transfer to an external entity. The guidance in this document is intended to provide the Records Manager with a "how to" approach for the overwhelming tasks ahead: getting organized, gaining management support, developing a plan, preparing a budget and timetable, recruiting help, and identifying obstacles that can be expected to occur.

It is important that records of an organization's structure, functions, policies, decisions and transactions be preserved and that the information necessary for the continuous, efficient operation of successor organizations be made available. The identification, protection and preservation of records should be the primary objectives during downsizing, terminations and changes in prime contractors. Section 1 of the guidance is a generic overview of the records disposition process. Part of this material is culled from several other accepted documents used in the Federal Government for records management purposes. Section 2 provides overviews of several transfer scenarios that have taken place within the Department. They reflect both the DOE and contractor perspectives. Specific overviews are:

o Project termination - The Superconducting Super Collider project was a DOE physics-related project located in Texas. It was terminated because of the cancellation of Congressional funding. Documentation provides an overview of the collection of records from the site, its contractors and subcontractors and the subsequent retirement of the records to the Federal Records Center at Fort Worth.

o Contractor consolidation - The five management and operating contractors used at the Idaho National Engineering Laboratory were consolidated into one contractor, Lockheed Idaho Technologies Company. The Idaho scenario is attached and provides an overview of how the process worked and the lessons learned as a result.

o Interagency transfer - The Nevada Operations Office has recently gone through the process of transferring a project from the Department of Energy to the Department of Defense. The documentation is attached and provides an overview of how this transfer was accomplished. Few problems were encountered with the transfer.

o Intra-agency transfer - The Pinellas plant attachment provides an overview of the relocation of documentation in support of the nonnuclear reconfiguration project. The Pinellas Plant was terminated and ongoing work

transferred to Kansas City (Allied Signal Plant) and the Los Alamos National Laboratory. This guidance documents a transfer of records within the agency.

o Receiver site - The Waste Isolation Pilot Plant (WIPP) will soon accept shipments of hazardous waste material. Records which identify the nature of the material must accompany the shipments. The WIPP facility has put together documentation on how the effort will be accomplished.

A team approach with representatives from contractor organizations, program offices and related functional areas has proven effective in ensuring the protection and preservation of the Department's records during downsizing and termination. Records closeout cannot be performed successfully without the support and cooperation of management and staff members.

I. GENERIC SITUATIONS

Regardless of the closeout scenario, additional emphasis will be placed on records. The question becomes one of how to manage the workload ahead with decreasing resources. The following situations are generic to any closeout/ transfer effort. Each is discussed briefly and suggestions are offered to assist you.

Seek support

The cooperation and assistance of staff that is necessary to a large disposition effort can be gained only through Management support. The higher the Management level that supports the initiative, the easier your task will become. Monthly meetings and status reports will keep Management apprised of progress and maintain visibility for the project.

When dealing with staff, you will find that most are willing to provide the assistance requested of them. However, terminations can be stressful and patience and tact will be required.

Plan and budget

Experience indicates that a records management plan and accompanying disposition procedures should be developed, approved by management, and implemented as soon as possible. If completed, the records inventory will provide you with enough information to determine the potential scope of your efforts and approved schedules will provide clear disposition instructions. This will help you identify the resources necessary to effectively collect the records and prepare them for shipment to storage or to another DOE site.

Be prepared for changes in operating budget. It is estimated that in order to properly preserve documentation (which includes inventorying, scheduling, assembling, packaging, sampling and shipping) the cost is $216 per cubic foot. In rare instances, if records management has enough visibility during the project, budgets can increase in order to guarantee the preservation of significant documentation. Reductions in funding are more probable and may jeopardize the adequacy of documentation, and the collection and preservation of existing records. If related activities such as microfilming are curtailed, the volume of paper records (and ultimately storage space) will be effected. Additionally, DOE facilities are funded from multiple program budgets. Pro-rating the cost of records maintenance and disposition over multiple funding codes may also be required.

Team approach

Many issues will arise that cannot be addressed by records management staff alone. A team approach with representatives from major programs and functions has proven most effective in addressing records issues. Legal, contract and personnel concerns, work-in-progress, environmental restoration, etc. have significant impact and should be addressed by experts. Closeout is a Herculean task, don't try to do it alone. Remember to keep the lines of communication open.

Training and awareness
Provide training and awareness campaigns for records disposition. Use computer messages, recorded reminders, posters, pamphlets, and even a records hotline to get the message across. Be innovative. Your job will be easier if records generators understand their responsibilities and the requirements under which records are governed. Keep in mind that your audience may vary widely and include the penalties for willful destruction and alienation of Federal records.

Federal records or personal papers
The difference between Federal records and personal papers is often an issue. Many staff members are protective of what they consider to be their property, when in fact the records belong to the Federal Government. Be sure to convey the difference by including a definition for each in all training and awareness materials. It is also a good idea to enact a policy whereby individuals are required to account for records when they terminate employment. The Office of Personnel should be able to provide you with a listing of exiting personnel and their termination dates.

Contract language
Refer to the contract when downsizing or termination is anticipated. For records management, contract language determines the liability of the contractor under the specifications of the contract (i.e., functions that will be performed, documents delivered, etc.). However, all records created with Federal funding are the property of the U.S. Government even if that fact is not clearly stated in the contract. This applies to both contractors and subcontractors. Refer to the Code of Federal Regulations (CFR) (36 CFR, Chapter 12) for further guidance.

In extreme cases, contract modifications may be necessary to provide additional funding for records disposition. The time to amend the contract for proper records management scope and content is NOW. Contract changes are extremely costly and time consuming when being handled in a crisis mode. Don't allow contract issues to be left open to interpretation.

Aggressive disposition
Institute aggressive disposition procedures that include retiring inactive records to a Federal Records Center (FRC) as soon as possible. Shipments to FRCs are sometimes delayed creating backlogs in onsite vaults and holding areas and storage and handling problems.

You may find that important program records reside at Headquarters or another DOE site. Program officials may agree to the integration and transfer of these records. If not, reference should be made to their existence and location(s).

Abandoned records and loss of knowledge
The lost of technical and scientific staff may mean that programs are not adequately documented. Impress upon Managers the need for debriefings that focus on work-in-progress, actions taken and knowledge gained. Technical debriefings should be a routine part of a personnel exit and a documented recordkeeping requirement.

Staff may also lose interest in protecting the records and abandon them altogether when they depart. Some records may be in electronic format and Records Managers may be left without passwords or access to the data. One way to combat this problem is to centralize files, while projects are still viable. Another way is to determine from Personnel the names and termination dates of departing employees and use that information to schedule assistance visits with them to ensure that records have been dispositioned properly.

Access

If downsizing or termination is well publicized, researchers may be anxious to gain access to the records. FRCs have excellent research facilities, which is a good reason to retire the records as soon as possible.

If the project is transferred, how will people get access to the records in future? Remember to designate points of contact.

Electronic records

Get involved initially in any efforts to computerize records, especially on the design reviews for products and software. Interject suggestions for records disposition during design. Preserving information in hardcopy may be preferable over electronic data, which may or may not be retrievable in the future due to hardware or software changes. Note that NARA has very specific requirements for storage of electronic data that may become burdensome if the issue is addressed at the end of a project.

Ongoing work

The project may remain active until the actual date of termination or there may be work related to the mandate of the project or program after termination. All efforts will not cease when records retrieval begins. Expect records to be created as termination progresses. Records will also be created as a result of the termination process. These volumes can be surprisingly large. Site restoration may also be required. If so, some existing records will be needed onsite and new records created well after the termination date.

If Federal expertise is not available to do so, a support services contract may be necessary to manage and dispose of the records.

Do a quality job

Something that needs no reiteration to Records Managers, is the importance of a quality job. Many of our current projects are unique and consequently the documentation is historically valuable. Researchers will thank you if the records are in good logical order and easily retrievable. This holds true for project transfers as well as retirements to storage. Future programs may hinge upon the retrievability, adequacy, and condition of inactive records.

Audits and litigation

If your site is undergoing a major termination, you can probably expect an audit. Audits can be labor intensive, however, they are usually conducted over a relatively short period of time. Audits are usually limited to finance, accounting, and contract-related records.

The Department may experience lawsuits due to terminations and reductions in contracts. General Counsel, in preparation for or anticipation of litigation, may need to identify and have access to large volumes of records. Again, expect this exercise to be labor intensive. Coordinate as soon as possible with site counsel to anticipate their records requirements. Remember that litigation records create a unique series and should be scheduled as such. The documents will require copying since they are also part of other records series.

II. PROCESS ELEMENTS

A. ORGANIZATION

1. Planning. Begin by preparing a management plan for the initiative ahead. This will assist you in identifying and organizing the tasks involved, developing a timetable for completion, and identifying the manpower, funding and other resources required. Each of the following processes should be addressed in the plan: inventorying; scheduling; copying and integrating (if needed); indexing; assembling, packaging and shipping the records.

The plan should include each Department of Energy site, management and operating contractor, and subcontractor that has been designated for reduction or termination. The plan should be developed jointly by Records Managers and the Records Management Program Coordinator (RMPC) responsible for oversight of the project or program. Meetings with Archivists and Records Liaisons should be held during plan development to coordinate details. This will help to ensure that a comprehensive plan is developed and that all parties understand and accept the tasks as outlined.

A preliminary draft of the plan should be forwarded to the local FRC for review and comment. Their experience is invaluable and their input often includes a level of detail that would not otherwise be considered. FRC representatives should also be invited to attend initial planning meetings. Other points of contact such as scientific and technical staff engaged in writing program or project summaries also have an interest in the records and may wish to participate in the planning process.

2. Contracts and Agreements. Refer to the language of the contract for agreements regarding the management of records created by contractors and subcontractors. Memoranda of Understanding (MOU) and Cooperative Research and Development Agreements (CRADA) are also sources of information for the records created under partnerships with other Federal agencies, States, universities, private companies, and foreign governments. Counsel at the site will be of assistance in clarifying contract clauses or other legal issues that may be in question.

Contractors and subcontractors are sometimes surprised to learn that the Department expects to assume custody of the records. If records disposition has not been addressed in the contract or funds have not been budgeted for disposition, contract modifications may be required. Disputed or unresolved records issues between the Department, its contractors and subcontractors should be clarified in writing as soon as possible.

3. Management Support. Commitment to records management should be obtained at the beginning of a program or project and procedures instituted at that time. It will be difficult to develop and implement procedures during a termination or reduction effort. Resources will disappear rapidly, staff will diminish and increased burden will fall on those employees that remain. Under such conditions management commitment is essential. Cooperation of staff will be nonexistent without it.

To solicit support for the work ahead, the finalized plan should be presented to the site Manager for approval. If possible, a briefing should be provided to explain the importance of records disposition and to convey a clear understanding of the goals and scope of the initiative. The briefing should include a summarization of the Federal regulations (36 CFR Chapter 12) and Management's responsibilities in accordance with those regulations. Resource requirements, any unresolved contractor issues, records ownership, and adequacy of documentation should be addressed. A short status report on the records program as it currently exists will provide a basis from which to assess the volume of work that remains to be accomplished.

After it is approved, the plan should be distributed to principal points of contact and management and program levels that are deemed appropriate. Widespread distribution will be beneficial. Project or milestone charts are excellent ways of keeping everyone informed of changes as they occur and of monitoring progress. Meetings should be held as often as necessary to ensure that problems are resolved and progress is achieved.

4. Recruiting Assistance. An essential step in the process is contact with the FRC and the Departmental Records Officer. The FRC staff are important allies. They will assist you with many of the disposition activities; i.e., developing procedures for collecting, indexing and integrating contractor and subcontractor records, determining the amount of space that will be required for storage, developing a timetable for transferring the records, reviewing draft schedules, etc.

The Departmental Records Officer and the Records Management Team can also be of assistance in these areas, as well as in soliciting management support, developing draft schedules, providing Departmental policy, and resolving issues with the National Archives and the FRCs.

To alleviate unnecessary activities and to ensure completion of essential ones, early and continual communication with these offices is a must.

5. Notification of Termination. The National Archives and Records Administration (NARA) requires that agencies submit written notification of impending termination of any of its major components. The notification should include anticipated impact of the downsizing or termination on the agency's records program and the anticipated impact on NARA. They must also be notified of the estimated volume of records that may be transferred to FRCs and the National Archives, the volume of classified records, and the volume of records in each format that will require special storage conditions. It is

the Records Manager's responsibility to report this information in a timely manner to the Departmental Records Officer.

6. Secure the Records. Office of Management and Budget (OMB) guidance states that in the event of a Government shutdown, all Federal records must be properly stored and security measures followed prior to closing the agency. Further information is provided in numbered memo RM 95-57.

As stated in 36 CFR 1220.40, procedures should be in place to ensure that departing employees do not remove Federal records from the custody of the Department. A reminder to all employees of these procedures and the sanctions provided for the unlawful removal or destruction of Federal records would be appropriate. An explanation of the difference between personal papers and Federal records would also be helpful in clarifying the requirements.

7. Records Liaisons and Other Support. The following information is provided as an example of how to recruit assistance from existing staff. This approach ensures that all organizations are involved in the initiative and that sufficient manpower is available (at least initially) to do the job. Periodic meetings will help to detect problem areas and provide a forum for finding solutions in a timely manner. Progress, or the lack thereof, should be monitored on a routine basis.

A Records Liaison should be designated for each major project, program or office. These individuals should assume responsibility for overseeing records inventorying and disposition activities for their organization(s); i.e., inventory, schedule application, identification of unscheduled records, copying, indexing, and assembling records for transfer, etc. They should be empowered by management and trained in records management policies and disposition procedures. The Records Manager and Records Liaisons should work together to develop comprehensive plans and timetables to accomplish disposition tasks. Records Managers should provide training, answer questions and offer assistance as required.

Records Liaisons should, in turn, identify secretarial, clerical and other administrative staff to assist with the disposition activities of their organization(s), ensure that the assistants receive pertinent training, monitor their progress, and offer help to resolve problems as they occur.

Temporary assistance from an experienced support services contractor is an alternative approach and may be the best solution if time is short and staff limited. The advantage in using experienced professionals to assist existing staff is the expertise they bring to the job and the need for limited versus extensive training of staff members. However, funding for additional contractor support may be difficult to obtain during a termination.

8. Records Holding Area Staff. The staff of the records holding area may become overburdened during a major reduction or termination. Temporary support may be necessary depending on the volume of records and timetable involved, the amount of ongoing service provided, problems with incoming records, and whether or not integration or reindexing of contractor

and subcontractor records is required. Careful planning of incoming shipments and records transfers may help to alleviate some of the workload. If contractor support is not an option due to funding limitations, a temporary detail of personnel from other areas of the organization or DOE sites should be considered.

9. Other Points of Contact. Assistance can also be obtained from other areas; i.e., General Counsel, Contracting Officer(s), Archivist(s), Personnel Officer(s), Privacy Act and Freedom of Information Officer(s), Librarian, Declassification Officer(s), Science and Technical Information Officer, and representatives from the Historians' Office and the Office of Environment, Safety and Health (EH). Security Guards may also become valuable allies if you ask them to alert you to any unauthorized removal of records. Movers from Administrative Services can be of service in relocating records boxes to storage or holding areas. Records Managers should contact these offices early in the planning process to determine how best to mutually support downsizing and termination activities.

10. Team Approach. A team or committee approach is effective in managing records closeout and dealing with the issues that will arise. The number of team members should be kept at a working level, perhaps no more than six or eight. The RMPC, Records Managers, the Scientific and Technical Information Officer(s), Archivist(s), and others as determined should be permanent members of the team. Other representatives that crosscut the organization may be selected, such as technical staff from the program or project. Recruit others on an as-needed basis and refer to the Other Points of Contact paragraph above for areas that should be represented.

The team should meet frequently to review progress and determine how best to resolve the issues that will arise. Important meetings should be attended by Management and, if appropriate, representatives from the regional FRC. The timetable and milestones that are included in the management plan should be used by the team to monitor and report progress. While the remainder of the organization is downsizing or terminating, records management issues will continue to surface and workload can be expected to increase. It will be necessary for the team to remain active until the final termination date.

11. Budget Preparation. Resources disappear quickly during downsizing and termination. To ensure that funding is available for all closeout activities, include cost estimates or at least a listing of items that may require funding in the management plan.

The budget for records closeout may include funding for:

- Purchase of supplies such as file folders, records storage boxes, drawing tubes, etc.

- A support services contractor(s) to assist with inventorying, collecting, copying, integrating, packaging, and shipping the records.

- Contract modifications for both prime and subcontractors to cover records management aspects of termination missing in the contract.

- Travel and/or meeting costs incurred to resolve issues with contractors and subcontractors.

- Records copying fees (where records are shared or owned jointly).

- Transfer or shipping charges for records sent to FRCs, the National Archives, and other Departmental sites, Federal or State agencies.

- Storage, maintenance, and disposition of records that may be required on site after termination, such as environmental restoration records.

Try to ensure that the budget is comprehensive, that cost estimates are accurate, and that estimates are presented to management during initial meetings. Do not be reluctant to include all of the items listed above if you deem them necessary. It is better to overestimate the cost of closeout rather than to underestimate and ask for additional funding at a later date. The money may not be available at that time and lack of funding will jeopardize the success of the initiative.

B. IMPLEMENTATION.

1. Recordkeeping Policies and Practices. Each DOE Field site, management and operating contractor, and subcontractor may have different recordkeeping policies and practices. The incompatibility of indexing methods, filing systems, and recordkeeping requirements represents potential problems to efficient records disposition. Inconsistent documentation and the possible need to integrate related contractor/subcontractor records series becomes a challenge, especially if work on the project continues until the date of termination. The closeout team or committee must deal with these issues as well as addressing records identification, location and collection.

Many programs and projects are matrixed and may involve more than one contractor, subcontractor or DOE location. There are various documents that will be of assistance to you in identifying related records; i.e., Work Breakdown Structures (WBS), Annual Work Plans, budgets, program and project summaries, organization charts and plans, authorities and responsibilities, records inventories, file plans and indexes. These documents can be used to identify, describe and associate the records of a downsizing or terminating project, program or site.

2. Program and Project Records. If the following issues have not been addressed in recordkeeping policies and procedures, they should be considered during the inventorying and scheduling process.

Do organizations maintain a comprehensive program/project/case file or are file series decentralized according to work locations? Should the records be

collected and integrated or should each location maintain and schedule the portion it generated? If each location schedules, packages and ships its records to storage, how will reference to related records be made?

Is the contents of the file consistent with recordkeeping requirements and is adequacy of documentation appropriate? Are files comprehensive (all inclusive) or do they exclude (but reference) decentralized records collections (i.e., reports collections, laboratory notebooks, purchase orders, procurement data, specifications, design data, etc.)?

Are deliverable information products such as scientific and technical reports included in central collections or are reference lists substituted for the documents? Has the Office of Scientific and Technical Information (OSTI) received copies of all scientific and technical reports? (OSTI can provide you with a listing of the reports they have on file.)

All scientific and technical records are not necessarily of historical value and should not automatically be considered permanent. The retention periods for scientific and technical records can vary from 5 years after closeout of the project to permanent, depending upon the subject matter and justification.

Series that are contained in a centralized program, project, or case file should have the same retention period as those that are decentralized. How will you coordinate the records retention periods? Is terminology consistent between locations, making like series easily identifiable?

Has determination been made to transfer the records to another Department site, to a regional FRC or, in the case of permanent records to the National Archives? If it is anticipated that the Department may have further use for the records (i.e., litigation, site restoration, etc.) or the program/project will be continued at another location, the records should be shipped to a designated DOE site. If the records are seldom referenced by the Department, they should be transferred to a FRC for temporary storage. The Department retains legal custody when their records are stored at FRCs. Permanent records, if no longer needed by the Department, should be transferred to the National Archives. Ownership will transfer with the records, so you will want to be sure that the Department has no further need for them before they are shipped to the National Archives.

3. Inventory. In order to properly protect and preserve the records of the Department, they must first be inventoried, their value determined and disposition instructions assigned. These tasks are the essence of the inventorying and scheduling process.

If it has not already been accomplished within the last two years, a survey or inventory of record and nonrecord materials should be undertaken. If an inventory has been completed within the last two years, an update of the records created since that time will suffice.

Records are inventoried and scheduled according to category or series. Records series are determined by arrangement or filing system. They are the units that relate to a particular subject or function or result from the same

activity or transaction. Items in a records series will have a relation-ship based on their creation, use, or receipt. Categorizing the records into series can be confusing. Documents such as inventory worksheets, file indexes, and work breakdown structures can be of help to you in properly associating the records. Assistance from technical and scientific staff may also be needed.

A sample Inventory Worksheet is attached (Exhibit A), or you may create a new temporary form. All of the data elements on the sample form should be included. Guidance for conducting a records inventory can be found in the GUIDE TO RECORDS MAINTENANCE AND DISPOSITION.

Refer to Section II, paragraph A. to help you identify the support needed to conduct an inventory. If time is short and existing staff limited, you may decide to use a support services contractor; or, if a detail can be arranged, borrow experienced records management personnel from another DOE site.

If training is required, the FRC will be able to assist you or training documents may be obtained from Headquarters or other DOE Field sites.

4. Disposition Schedules. The inventory will determine whether or not the records have been scheduled (assigned final disposition instructions that have been approved by NARA).

Once unscheduled records series have been identified a description should be created for each. Descriptions should reflect the contents and characteristics of the record series. Series title, description, proposed retention period and disposition instructions complete the records schedule.

Temporary and permanent records are scheduled in the same manner. However, additional information is required by NARA to schedule permanent records. To assist you, a checklist of data elements for permanent records is attached (Exhibit B). The checklist can also be used to prepare schedules for temporary records to ensure that all pertinent information has been included.

However, all of the information on the checklist is not required by NARA for temporary schedules.

Approved disposition schedules are found in the General Records Schedule (GRS) and the DOE records schedules. Copies of schedules that have been approved by NARA since publication of these documents can be obtained from the Records Management Team at Headquarters.

5. Appraisal. Appraisal is the process of determining the value (and therefore the final disposition) of unscheduled records series. The appraisal is made by NARA; however, a recommended disposition must be included in the draft schedule. Deciding whether the records are temporary, setting a

Exhibit A

INVENTORY WORKSHEET

1. RECORDS SERIES:

2. DESCRIPTION: (INCLUDE A SHORT DESCRIPTION IF SERIES TITLE IS NOT SUFFICIENT FOR IDENTIFICATION)

3. CURRENT LOCATION:

4. FILE CUSTODIAN:

5. ACTIVE _____ INACTIVE_____ BOTH_____

6. SCHEDULED_____ UNSCHEDULED_____

7. RETAIN _____

8. TRANSFER_____ HOLDING AREA_____

   SPECIFY LOCATION(S) AND IDENTIFY FILE CUSTODIANS:

9. DUPLICATE_____ NUMBER OF COPIES _____

   FORWARD COPIES TO: (SPECIFY OFFICE AND FILE CUSTODIAN)

10. GROUP/TEAM LEADERS SELECTED FOR COORDINATION:

Exhibit B

SERIES INVENTORY FORM

1. Date prepared

2. Identification of the office (maintaining the files)

3. Identification of the person conducting the inventory

4. Location of the series

5. Title of the series

6. Description of the series

7. Inclusive dates

8. Type of files (and medium used)

___ Case files
___ Case working files
___ General correspondence (or subject) files
___ Reading (or chron) files
___ Transitory correspondence files
___ Convenience files
___ Technical reference files
___ Vital records: Have they been duplicated, and are the duplicates located off-site?
[ ] Yes [ ] No
___ Special records: Specify variety--
  ___ Electronic records (USE INFO SYSTEM FORM)
  ___ Audiovisual records (USE SPECIAL FORM)
  ___ Microform records
  ___ Cartographic and remote-sensing imagery records
  ___ Architectural and engineering records
  ___ Printed records (e.g., publications and issuances)
  ___ Card records

8A. Medium used

___ Paper
___ Microform
___ Electronic (USE INFO SYSTEM FORM)
___ Other (specify)

Exhibit B

9. Arrangement

___ Subject file classification system
___ Alphabetical by name
___ Alphabetical by subject
___ Geographical by (specify)
___ Numerical by (specify)
___ Chronological
___ Other (specify)

10. Volume (in cubic feet or inches)

11. Cutoff

12. Rate of accumulation (per year in cubic feet or inches):

13. Duplication: Are documents in this series available in another place or medium? [ ] Yes [ ] No. If yes, explain where and in what medium.

14. Type of reference activity (after cutoff)

___ Current (At least once a month per file unit):
For how long after cutoff? _____
___ Semicurrent (Less than once a month per file unit)
___ Noncurrent (Not used for the agency's current business)

15. Disposition authority: Does the series have an approved disposition authority?

[ ] Yes (List the schedule and item number, give the current disposition instructions, and justify any proposed change.)

[ ] No (Retain the files and indicate how long they are needed for the agency's current business.)

16. Finding aids (if any)

17. Restrictions on access and use

18. Condition of (actually or potentially) permanent records

retention period or proposing that they become permanent should be a joint effort. The Records Manager, the records creators and the technical and scientific staff who use the records (if they are available) should work together to determine the value of the records. In order to make these decisions for program or administrative records, their administrative, legal and fiscal value should be considered. Scientific and technical records should be viewed for the national or international level of distinction of the project, the prominence of the investigator, significance or contribution of the research, the improvements, impacts or developments made or attention gained by the work. Retention periods and disposition instructions are subject to approval (and change) by NARA.

6. Approval. A title and description, proposed retention period and disposition instructions should be created for each unscheduled records series, and a completed SF-115 attached. The package should be forwarded to the Departmental Records Officer for review and signature. The Records Officer will, in turn, forward the package to NARA for approval.

NARA's approval process is complex and can take considerable time to complete. If termination is eminent, you may request that the FRC accept unscheduled records based on a draft schedule or formal submittal of an SF-115. The Headquarters Records Management Team can assist you with this request.

7. Collection and Integration. Coordinate with the oversight program office at Headquarters and any other Field sites that maintain related or duplicate records. A decision should be made on whether the related records will be collected and integrated with those of the terminating site. If the records are not unique and therefore appropriate for integration, action should be taken to ensure that duplicate copies are not retired to an FRC.

Records collected from subcontractors may also require integration. This decision should be made by the contractor Records Managers concerned and the RMPC, with advice and guidance from representatives at the FRC. Duplicate records should be removed before shipping.

8. Packaging and Shipping. Refer to Section II, Paragraph D.3. for instructions on packaging and shipping records.

C. RECORDS OF SIGNIFICANCE.

1. Permanent Records. Attached (Exhibit C) is a listing of the types of records that should be considered for permanent retention. Descriptions and examples are offered for each.

2. Contract-Related Records. Note: Under no circumstances is a contract file to be closed that is under litigation or appeal or where a termination has taken place and all termination actions have not been completed.

With these exceptions, the general rules for contract closeout are as follows:

o Small purchases files should be considered closed when the Contracting Officer receives evidence of receipt of property and final payment.

o Files for all firm fixed-price contracts other than small purchases should be closed within six months of the month in which the Contracting Officer received evidence of physical completion.

o Files for contracts requiring settlement of indirect cost rates should be closed within 36 months of the month in which the Contracting Officer receives evidence of physical completion.

o Files for all other contracts should be closed within 20 months of the month in which the Contracting Officer receives evidence of physical completion.

The attached table (Exhibit D) prescribes time periods before which certain types of documents may <u>not</u> be destroyed. It is a ready reference to the types of contractual documents and the minimum retention periods for each. The table is divided into Federal and contractor records. (Refer to DOE records schedules to verify retention periods.)

Closed contract files are usually not physically kept longer than one year before transferring them to the regional FRC. Storage at an FRC makes final disposition of the files according to the rules of the Federal Property Management Regulation, 41 CFR 101-11.4.

Contractors should retain contract records for 3 years after final payment (or as indicated in the DOE records schedules or the attached table, whichever period expires first.) The retention periods for contractor records are calculated from the end of the contractor's fiscal year (September 30 or December 31). If a contract clause specifies a longer retention period, the contractually specified retention period prevails.

Federal contract file documentation is most often made up of three separate files: the contracting office, the contract administration file, and the paying office file. These files may be combined when award and closeout of contracts are accomplished by the same organizational entity. The following types of records should be maintained. Duplicate copies may exist in the separate files; however, they should be purged when the files are combined.

a. <u>Contracting Office File</u>

i. <u>Pre-Solicitation</u>

o Purchase or procurement request, acquisition, planning information (market surveys, research, etc.), and pre-solicitation documents such as minutes of conferences, etc.

o Justifications and approvals, determinations and findings, and associated documents regarding full and open competitions or sole source requests.

Exhibit C

PERMANENT RECORDS APPRAISAL GUIDELINES

These appraisal guidelines take the form of 15 general series and system descriptions intended to illustrate the types of records normally appraised by NARA for permanent, or archival, retention. Records officers should use these descriptions as guides to help identify all 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.

Many of the records described in this table may be created in multiple formats. Sometimes the format is specified, such as in the case of audiovisual and graphic records; but many textual records are increasingly being created electronically, often along with related electronic indexes. So if an agency maintains in electronic form any of the records described in this table or any indexes related to them, it should bring such records to NARA's attention and not destroy them without NARA's prior approval.

The guidelines in this table apply only to current records whose life cycle has been carefully controlled. More inclusive guidelines apply to records created early in American history when the maintenance and disposition of Federal records were not so closely regulated. Because many important pre-20th century records were destroyed by fire, flood, and neglect, otherwise routine administrative, or housekeeping, records are often preserved for that period to document the Government's organization, functions, and activities.

1. Records on Organization and Functions.

a. Organizational charts and reorganization studies. Organizational charts are graphic illustrations providing a detailed description of the arrangement and administrative structure of the functional units of an agency. Reorganization studies are conducted to design an efficient organizational framework most suited to carrying out the agency's programs and include materials such as final recommendations, proposals, and staff evaluations. These files also usually contain administrative maps showing regional boundaries and headquarters of decentralized agencies, or the geographic extent or limits of an agency's programs and projects.

b. **Functional statements.** These are formally prepared descriptions of the responsibilities assigned to the senior executive officers of an agency at the division level and above.

2. Formal Minutes of Boards and Commissions.

These are minutes of meetings of boards and commissions of Federal agencies documenting substantive policy and procedural decisions, especially when a board or commission rather than an individual appointee gives an agency executive direction. Typically, these agencies are regulatory bodies but also include organizations such as the Pension Benefit Guaranty Corporation and the Commission of Fine Arts. 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 are minutes, agenda, 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 officers. These meetings may be limited to internal agency personnel or may include representatives from other Federal agencies or non-Federal groups. The minutes may be summaries, verbatim transcripts, or audio or video recordings. Records selected for permanent retention to document interagency meetings normally are limited to the agency designated as the group's secretariat.

4. Legal Opinions and Comments on Legislation.

These are memorandums prepared by an agency's legal counsel or program officers 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 with records of the departmental counsel.

5. Formal Directives, Procedural Issuances, and Operating Manuals Relating to Program Functions.

Formal directives are distributed as orders, circulars, or in loose-leaf manual form announcing major changes in the agency's policies and procedures. Normally these are issued by authority of the agency's head. Extensive procedures are frequently detailed in lengthy operating manuals. NARA generally designates as permanent those formal directives, procedural issuances, and operating manuals relating to program functions, but not generally those relating to routine administrative, or housekeeping, functions.

6. Selected Evaluations of Internal Operations.

These are studies conducted to determine the effectiveness of the procedures adopted to achieve established policy goals. Excluded are audit case files, which are disposable. 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). 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.

7. Analytical Research Studies and Periodic Reports.

This category includes analytical research studies and periodic reports prepared by the agency, or by private organizations or individuals under contract to the agency or in receipt of a grant from the agency. Studies and reports selected for permanent retention may be statistical or narrative and may be recorded on paper, electronic, audiovisual, or other media. 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. Sometimes only selected studies and reports are designated as permanent. Excluded from selection are published studies and reports included elsewhere in the agency's record set of publications (see guideline 11 for publications permanently retained).

8. Agency Histories and Selected Background Materials.

This category consists mainly of narrative agency histories and histories of agency programs, including oral history projects completed by agency historians, public affairs officers, or private historians under agency 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. They are created to inform agency heads and their senior advisors of the agency's current status or of major issues confronting the agency, or else to prepare such officials for hearings, press conferences, or major addresses.

10. Public Relations Records.

a. Speeches, addresses, and comments. These include remarks made at formal ceremonies and during interviews by agency heads or their senior assistants concerning agency programs. The speeches and addresses may be presented to executives from other Federal agencies, representatives of state and local governments, or private groups, such as college and university students, business associations, and cultural organizations. Interviews may be granted to radio, television, or printed 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 agency's public affairs office for distribution to the news media regarding such significant events as the adoption of new agency programs, termination of old programs, major shifts in policy, and changes in senior agency personnel. The medium selected may be paper, audiovisual, microform, or electronic. Generally excluded are news releases that provide only transitory or routine information.

11. Publications.

This category consists of formal publications printed or issued by the Government Printing Office, the National Technical Information Service, or the agency itself. Examples include annual reports to the Congress; studies conducted by the agency or under contract for the agency; and procedural brochures, pamphlets, and handbooks distributed for guidance to other Federal agencies, state and local governments, and private organizations and citizens. They also include maps as well as instructional and educational materials in audiovisual form (audio or video recordings, motion picture, filmstrips, and slide-tape productions) and film productions and television and radio programs prepared to furnish information on agency policies or 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 agency-originated motion picture film, still photography, posters, sound and video recordings, cartographic materials, or 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. Examples include instantaneous recordings or photographic coverage of significant scientific or technological phenomena and significant nonrecurring events, such as combat operations, lunar and planetary explorations, extemporaneous occurrences, discussions, and interviews; maps recording topographic information for specific geographic areas; and architectural/engineering drawings of significant Federal buildings and other structures.

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 the 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; deputy secretary; assistant 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 agency's important programs are not documented in correspondence maintained at these higher levels, NARA generally designates as permanent similar records created at lower office levels.

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 no 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 media, documenting a specific action, event, person, place, project, or other matter. Sometimes called project, or transaction, files, they document particular agency activities from start to finish. Although the case files in most series or systems are scheduled for disposal, occasionally NARA designates all of those in a series or system for permanent retention, especially when they are electronic, or machine-readable, master files. More often, however, NARA selects only part of those in a series or system for permanent retention. Normally individual case files are 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 is selected to document agency procedures rather than capture information on the subject of the individual file.

Criteria "a" through "e" indicate the exceptional nature of particular case files, whereas criterion "f" 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. 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, or machine-readable, 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. Unsummarized social and economic data. These are unsummarized, or micro-level, 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.

Record Retention by Federal Agencies

Exhibit D

	Document	Retention Period
(a)	Records pertaining to exceptions or protests, claims for or against the United States, investigations, cases pending or in litigation, or similar matters.	Until final clearance or settlement, or until the retention period otherwise specified for the document in ¶¶ (b) - (n) below is completed, whichever is later.
(b)	Signed originals of (1) contracts and (2) modifications thereto.	Six years and three months after final payment.
(c)	Signed originals of justifications and approvals and findings, and copies of documents, supporting the determinations and findings.	Six years and three months after final payment.
(d)	Signed originals of small purchases and modifications thereto and construction contracts under $2,000.	Three years after final payment.
(e)	All unsuccessful offers or quotations that pertain to contracts below the appropriate small purchase limitation.	Retain one year after date of award or until final payment, whichever is later, but if the Contracting Officer determines that the files have future value to the Government, retain as long as advisable.
(f)	Contract status (progressing), expediting, and production surveillance records.	Six months after final payment.
(g)	Rejected engineering change proposals.	Six months after final payment.
(h)	Labor compliance records, including employment opportunity records.	Three years after final payment.
(i)	Documents pertaining generally to the contractor.	Until superseded or obsolete.
(j)	Other records or documents pertaining to contracts below the appropriate small purchase limitation.	One year after final payment.

(k)	Other records or documents pertaining to contracts above the appropriate small purchase limitation.	Six years and three months after final payment.
(l)	Files for canceled solicitations.	Five years after cancellation.
(m)	Solicited and unsolicited unsuccessful offers and quotations above the appropriate small purchase limitation.	
	(1) When filed separately from contract case files.	Until contract completion date.
	(2) When filed with contract case files.	Six years and three months after final payment.

Exhibit D

Record Retention by Contractors

	Document	Retention Period
(a)	Accounts receivable invoices, adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, and other documents which detail the material or services billed on the related invoices.	4 years
(b)	Material, work order, or service order files, consisting of purchase requisitions or purchase orders for material or services, or orders for transfer of material or supplies.	4 years
(c)	Cash advance recapitulations, prepared as posting entries to accounts receivable ledgers for amounts of expense vouchers prepared for employees' travel and related expenses.	4 years
(d)	Paid, canceled, and voided checks, other than those issued for the payment of salary and wages	4 years

Document	Retention Period
(e) Accounts payable records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: remittance advices and statements, vendors' invoices, invoice audits and distribution slips, receiving and inspection reports or comparable certifications of receipt and inspection of material or services, and debit and credit memoranda.	4 years
(f) Labor cost distribution cards or equivalent documents.	2 years
(g) Petty cash records showing description of expenditures, to whom paid, name of person authorizing payment, and date, including copies of vouchers and other supporting documents.	2 years
(h) Payroll sheets, registers, or their equivalent, or salaries and wages paid to individual employees for each payroll period; change slips; and tax withholding statements.	4 years
(i) Clock cards or other time and attendance cards.	2 years
(j) Paid checks, receipts for wages paid in cash, or other evidence of payments for services rendered by employees.	2 years
(k) Store requisitions for materials, supplies, equipment, and services.	2 years
(l) Work orders for maintenance and other services.	4 years
(m) Equipment records, consisting of equipment usage and status reports and equipment repair orders.	4 years

Exhibit D

	Document	Retention Period
(n)	Expendable property records, reflecting accountability for the receipt and use of material in the performance of the contract.	4 years
(o)	Receiving and inspection report records, consisting of reports reflecting receipt and inspection of supplies, equipment, and materials.	4 years
(p)	Purchase order files for supplies, equipment, materials, or services used in the performance of a contract; supporting documentation and backup files including, but not limited to, invoices, and memoranda: e.g., memoranda of negotiations showing the principal elements of subcontract price negotiations.	4 years
(q)	Production records of quality control, reliability, and inspection.	4 years

o Evidence of availability of funds; i.e, commitments prior to solicitation, or "subject to availability of funds" documentation.

o Synopsis of proposed acquisition as published in the Commerce Business Daily or reference thereto.

o The list of sources solicited, approval of and justification for limiting the number of sources, and a list of any firms or persons whose requests for copies of the solicitation were denied, together with the reasons for denial.

o Set-aside decision and justification; two or more offers from small and disadvantage businesses, labor surplus areas at a reasonable price, etc.

o Independent Government cost estimate of contract price.

ii. Solicitation and Award

o A copy of the solicitation and all amendments in sequence; invitation for bid, request for proposal.

o Security requirements and evidence of required clearances.

o A copy of each offer or quotation, the related abstract, and records of determinations concerning late offers or quotations. Unsuccessful offers or quotations may be maintained separately, if cross-referenced to the contract file.

o Contractor's representations and certifications.

o Pre-award survey of the contractor reports or reference to previous pre-award survey reports relied upon.

o Source selection criteria documentation.

o Contracting Officer's determination of the contractor's responsibility and ability to perform.

o Small Business Administration Certificate of Competency, if the small business is determined to be not responsible.

o Records of contractor's compliance with labor policies including written confirmation of equal employment opportunity policies for contracts over $1 million.

o Cost or pricing data and certificates of current cost or pricing data or a justification for waiver for exemptions.

o Packaging and transportation data.

o Documentation of cost or price analysis (comparison to fair and reasonable cost).

o Audit reports or Findings and Determinations for waiver.

o Findings and Determination for use of other than fixed price contract (cost reimbursement contracts).

o Authority for deviations from the acquisition regulations, statutory requirements, or other restrictions.

o Evidence of legal review and required approvals of award.

o Notice of award.

o The original of: (1) the signed contract or award; (2) all contract modifications, and (3) documents supporting modifications executed by the contracting office.

o Synopsis of award or reference thereto.

o Notice to unsuccessful quoters or offerors and record of any debriefings (minutes).

o Acquisition management reports.

o Bid, performance, payment, or other bond documents, or a reference thereto, and notices to sureties.

o Report on or minutes of post-award conferences (with prime and large subcontractors and Department representatives.)

o Notice to proceed, stop orders, and any overtime premium approvals granted at the time of award.

o Documents requesting and authorizing modification in the normal assignment of contract administration functions and responsibilities.

o Approvals or disapprovals of requests for waivers or deviations from contract requirements.

o Rejected engineering change proposals. (These proposals may be filed separately for early disposal.)

o Royalty, invention, and copyright reports (including invention disclosures) or reference thereto.

o Contract completion documents.

o Documentation regarding termination actions for which the contracting office if responsible.

o Cross-references to pertinent documents that are filed elsewhere.

o Any additional documents on which action was taken or that reflect actions by the contracting office pertinent to the contract.

o A current chronological list identifying the awarding and successor Contracting Officers (from first to last day of contract), with inclusive dates of responsibility.

o All certifications required by the DEAR.

o For contracts and modifications in excess of $100,000 a record of all persons or classes of persons authorized to have access to proprietary or source information and, to the maximum extent practicable, the names of all individuals within the class.

b. Contract Administration Office File

o Copy of the contract and all modifications, together with official record copies of supporting documents executed by the contract administration office.

o Any document modifying the normal assignment of contract administration functions and responsibility.

o Security requirements.

o Cost and pricing data, Certificates of Current Cost or Pricing Data, cost or price analysis, and other documentation supporting contractual actions executed by the contract administration office.

o Pre-award survey information.

o Purchasing system information. For contracts over $1 million, a contractor purchasing system review must be done every 3 years.

o Consent to subcontract or purchase.

o Performance and payment bonds and surety information.

o Post-award conference records.

o Orders issued under the contract.

o Notice to proceed and stop work orders.

o Insurance policies or certificates of insurance or references to them.

o Documents supporting advance or progress payments.

o Assignment of Claims documents.

o Progress, Expediting, and Production Surveillance (deliverables) records.

o Quality assurance records (final and interim inspection by the Department.)

o Property administration records (accountability).

o Documentation regarding termination actions for which the contract administration office is responsible.

o Cross-reference to other pertinent documents that are filed elsewhere.

o Any additional documents on which action was taken or that reflect actions by the contract administration office pertinent to the contract.

o Contract completion documents.

c. Paying Office File

o Copy of the contract and any modifications.

o Bills, invoices, vouchers, and supporting documents.

o Record of payments and receipts.

o Other pertinent documents collected at time of closeout.

3. Scientific and Technical Records. A program, project, task or study file is developed and maintained to ensure adequate documentation of research and development or administrative programs or projects, to provide sufficient information to facilitate efficient followup on the activity, and to provide an adequate historical record. A research and development (R&D) record file is defined by its approved Field Task Proposal Authorization (FTPA) or any other approved budget document. The retention of the R&D file is based upon the value and timeliness of the information.

The R&D file should be rich in content. The files are usually located in the office of the program or project director or lead researcher. The following materials should be included in the file:

o Correspondence of significance written about the project or program; i.e., letters of agreement and memoranda of understanding specifying arrangements for collaboration between laboratories.

o Copies of all relevant FTPAs and approved budget documents that define the scope of work and specify deliverables.

o Relevant personnel lists and organization charts.

o Minutes or notes of meetings that affect the course of the program or project; i.e., Advisory Committees, laboratory or review panels, etc.

o Indexes (identification number and subject) to the following files:
  Note: Most of these records will be found in the files of the research staff.
  --Proposal and planning documents
  --Design data and specifications

--Gauge and machinery data
--Drawings
--Photographs
--Technical, final narrative, and financial reports
--Research and laboratory notebooks
--Experiment logbooks
--Testing and data analysis records
--Collaboration documentation (Faxes, electronic mail messages, etc.)

o Final recommendations, program/project summaries, other deliverables and information products.

o Copies of materials that the researchers think will add significantly to the documentation of the project or program.

There are key records which provide evidence of research for virtually all experiments. They include: Laboratory Directors' files; records of Advisory Committees and panels; proposals to the laboratories; contracts of collaborations between laboratories; research division files on experiments; design data, drawings and specifications; special databases on experiments, innovative techniques, and literature; and technical reports. (Refer to Permanent Records for categories that may warrant permanent retentions.)

Attached is a table (Exhibit E) that identifies the components of the scientific and technological processes, and the records that may be generated for each. This is a comprehensive listing and also includes administrative records series; i.e., contract and grant instruments, salary and wage records, etc.

Where documentation is inadequate or nonexistent, and historical significance warrants, the Project Director or Team Leader should be asked to provide group level documentation of the project, task, experiment, or innovative technique. Gaps in documentation should be filled before transferring records to storage.

Records Managers and Records Liaisons should schedule meetings with key scientific and technical staff to discuss issues of ownership, identify the records in their possession or fill gaps in documentation. Such meetings are also beneficial in gathering information for (or clarifying) series descriptions.

4. Litigation Records. The General Counsel will assist you in identifying those records that are (or may be) needed for litigation. The documents will vary according to case; however, records used to document legally enforceable rights or obligations, both of the Federal Government and those of persons directly affected by the Department's activities (previously designated rights and interests records) will be of particular interest.

Table of Scientific and Technological Activities and Their Records

Exhibit E

Component Activities of the Scientific Process	Activities as Reflected in the Records	Component Activities of the Technological Process
	Administration of Research and Development	
Establishing Research Priorities Choose Problem Approve Problem Consider Political Factors	**Establishing Research Priorities** memoranda and correspondence, planning documents, minutes, grant or research proposals, contract specifications, revisions of proposals or specifications	**Establishing Research Priorities** Choose Problem Approve Problem Consider Marketing factors Consider Political Factors
Funding Write Grant Proposal Review Proposal Approve Proposal	**Funding/Allocating Resources** grant or research proposals, contract specifications, reviews of proposals, letters of award or rejection, letters of request, memoranda and correspondence, accounting records, final and annual reports	**Allocating Resources** Write Project Proposal Review Proposal Approve Project
Staffing	**Staffing** letters of application and application forms, curriculum vitae, letters of appointment, salary and wage information, annual performance reviews and evaluations, grievances, publication lists, awards and honors, letters of termination, letters of recommendation, memoranda and correspondence, telephone lists or directories	**Staffing**
	Research and Development	
Hypothesizing, Thinking, and Visualizing	**Hypothesizing/Thinking and Visualizing** General Records: research notes, grant and contract proposals, correspondence and memoranda Information Files: preprints, reprints, technical reports, correspondence	**Hypothesizing, Thinking, and Visualizing**
Planning Experiment Sketch Test Procedures Gather Materials Build and Test Apparatus	**Planning Experiment/Designing Process or Product** General Records: research notes, grant and contract proposals, work plans, interim and final reports, protocols, correspondence and memoranda, photographs Instruments: parts of or whole instruments; records documenting instrument's purchase or building: specifications, drawings, blueprints, photographs, research notes, correspondence, laboratory inventories, instrument lists, protocols, apparatus specifications, work plans, budgets, supply catalogues, purchase orders; records documenting instrument's operation and maintenance: operating instructions, maintenance manuals, operation logbooks, printouts from instruments; records documenting instrument's specific applications: operation logbooks, research notes, journal articles/technical reports, printouts from instruments, correspondence and memoranda; created documentation: photographs, oral histories, moving picture films	**Designing Process or Product** Develop Design Study Feasibility Draw Plans Revise Plans
Conducting Experiments and Analyzing Data	**Conducting Experiments and Analyzing Data/ Testing Designs and Analyzing Results** General Records: journal articles/technical reports; interim, progress, and quarterly reports; correspondence; annual reports; newsletters; photographs and motion picture film Data Records: bound volumes or loose papers; computer printouts, computer disks, printouts from instruments; photographs and motion picture film Specimen Collections: collections themselves Research Notes: bound volumes, loose papers	**Testing Designs and Analyzing Results** Test Model Construct Field Test Model Field Test
	Dissemination	
Communicating and Disseminating Findings Present Orally Publish Articles/Reports	**Communicating and Disseminating Findings/ Communicating and Issuing Technical Reports** journal articles, technical reports, reprints, preprints, drafts, illustrations, graphs, charts, drawings, page proofs, abstracts, memoranda and correspondence, presented papers, working papers, interim reports speech notes, slides, slide lists, newsletters, conference proceedings	**Issuing Technical Reports** Internal (oral/written) External (written)
Patenting	**Patenting** memoranda and correspondence, disclosure forms, patent applications, technical drawings, illustrations, letters patent, research notes, technical documents, reports, depositions and court transcripts	**Patenting**
Reviewing, Critiquing, Diffusing Cite Work Reuse Work Refute Work	**Reviewing, Critiquing, Diffusing** Probably no records in the collection	**Reviewing, Critiquing, Diffusing**

5. Sensitive and Classified Records. Classified records contain information that require, for national security reasons, safeguards against unauthorized disclosure. Limit access to these records in accordance with their classification. Access should also be limited to sensitive records; i.e., those protected by the Privacy Act such as personnel records of employees, medical records, and radiation exposure records. Safeguards should not be relaxed during records collection and assembly. Procedures should be implemented to ensure that sensitive and classified records are protected and access limited during all phases of closeout. Coordinate with the Declassification Officer at your site to facilitate inventorying, scheduling and disposition. Plans may already exist to declassify and disposition classified records (in accordance with Executive Order 12958).

All Federal Records Centers have not been approved to accept classified records. Verify the security clearance level of the FRC prior to shipping classified records. The Washington National Records Center in Suitland, Maryland, has been cleared to accept Top Secret and NSI and can be used if the FRC has not been granted appropriate clearance. Approval to use the WNRC, however, must be granted by NARA. The Department's Records Officer will assist you with the request.

6. Administrative Records are those that relate to budget, personnel, and other similar housekeeping functions, as opposed to technical and scientific records. Schedules for most administrative records can be found in the General Records Schedule or the DOE 1324.2A. Administrative records are sometimes required for litigation or may be subject to a moratorium on destruction; in which case, the records cannot be destroyed even if they have reached or exceeded their approved retention periods.

7. Environmental, Safety and Health Records are currently under a moratorium of destruction. A listing of records series included in the moratorium can be obtained from EH. Exemptions to the moratorium may be requested by memorandum to the Department's Records Officer.

8. Records that Require Special Handling and Storage. Refer to the GUIDE TO RECORDS MAINTENANCE AND DISPOSITION for instructions on handling and storage requirements.

D. CHECKLISTS AND INSTRUCTIONS

1. Records Manager.

Notify the Department's Records Officer of anticipated downsizing or terminations. Provide information on estimated total volume of record holdings, classified records, and records that require special storage requirements.

Notify the regional FRC and solicit their assistance with the tasks ahead.

Seek management support by briefing Team Leaders, Program Directors, and if possible the Field Office Director.

Develop a plan with due dates and milestones to assist you in managing closeout tasks.

Identify resource needs. Modifications to contracts may be required to include funding for the administrative cost of records disposition. Costs may include: support personnel; equipment such as file boxes, tubes, etc.; copying and shipping costs.

Establish a closeout committee or team with representatives from associated functions.

Monitor progress and report regularly to management. This will enable you to identify problems early and perhaps gain support for their resolution.

Determine if there is a definite cut off date for operations.

Determine whether functions will be dispersed to other program offices or agencies.

Implement procedures that ensure records are not lost, stolen, removed, destroyed or otherwise compromised until proper records schedules are developed and approved.

Work with Records Managers from contractor and subcontractor organizations to ensure that records are inventoried, scheduled, collected, integrated and correctly dispositioned.

Ensure that Records Liaisons and other contacts have been designated, training provided, and appropriate tasks assigned.

If necessary, determine whether additional staff may be detailed to help perform records closeout activities.

Meet often with Records Liaisons and other individuals involved in records closeout tasks.

Ensure that instructions are provided to Managers and staff regarding their records management responsibilities, the differences between personal papers and Federal records, and disposition procedures.

Work with site Personnel Officers to obtain lists of exiting personnel and their dates of departure, and those that will be transferring to successor programs or organizations.

Ensure that employees are contacted by a Records Liaison prior to their departure date.

Determine percentage of records that have been inventoried and date of the last inventory.

Ensure that procedures are in place to complete or update all inventories, apply disposition schedules, and identify unscheduled records. Determine due dates for accomplishing these tasks.

Ensure that SF-115s are prepared for any unscheduled records series and forwarded to NARA for approval, through the Department's Records Officer. If termination date is eminent, work with Headquarters to obtain FRC acceptance of unscheduled records based on a draft or formally submitted disposition schedule.

Work with the Librarian to ensure that nonrecord reference materials contained in the library are offered to other DOE sites and that materials that may be of use to successor offices or agencies are forwarded to them.

Work with the Declassification Officer to ensure proper disposition of classified records and the regional FRC to determine if an appropriate clearance has been obtained for the facility.

Ensure that procedures are in place for records assembly, packaging, and monitoring and that quality checks are performed on records boxes prior to shipment.

Work to ensure that no record is destroyed unless it is covered by an approved disposition schedule and has met or exceeded the assigned retention period.

Prior to destroying records, verify that the record series do not come under the Department's moratorium on destruction.

Ensure that copies of SF-135s are made available to successor organizations and other appropriate points of contact prior to termination.

Work with the FOIA and PA Officers to ensure records are available for current and anticipated requests.

Determine whether there will be residual staff to phase out records for work completed during and after termination and ensure that points of contact have been designated.

Ensure that procedures are in place to properly manage and disposition records required on site after termination.

Ensure that a record set of scientific and technical reports is sent to OSTI.

2. <u>File Custodian and Records Liaison</u>.

Complete all filing. Ensure that all files are labeled and that all labels are legible.

Purge and destroy any nonrecord material from the files, such as extra copies of reference materials, publications and reports.

Remove any personal papers. Personal papers should not be filed with Federal records.

If possible, cutoff all files by the reorganization or termination date.

If work is ongoing and active files cannot be cutoff as of the closeout or termination date, identify the potential volume of records in question and inform the Records Liaison or the Records Manager for your organization.

Inventory all records by series. Refer to the inventory worksheet to assist you. You may also wish to include nonrecord materials in the inventory, for housekeeping purposes.

Identify, remove and box inactive files. If they are already scheduled, inactive files can be shipped immediately to the regional FRC. Records holding area personnel will arrange for shipping.

Refer to DOE 1324.2A and the GRS to determine appropriate disposition instructions for both active and inactive records series. Some records series will be eligible for immediate destruction, others should be forwarded to the regional FRC for temporary storage or to another DOE site until final disposition. All records designated permanent should be transferred to the National Archives.

Identify and prepare a listing of any unscheduled records series and forward that listing to the Records Liaison and Records Manager. Identify the originating office or organization and file custodian for each unscheduled series.

Work with the Records Liaison, Records Manager and technical staff to develop series descriptions and retention periods for any unscheduled records. This information will be used by the Records Manager to develop SF-115s.

NOTE: To date, NARA has been very cooperative in approving the transfer of unscheduled records to an FRC once a draft schedule for the records in question has been reviewed by the FRC. If program or project termination is eminent, this process can be used to speed records closeout.

Dispose of records that have met or exceeded their authorized retention period.

Purge publication and reference materials of obsolete items. Current, nonrecord materials contained in the Library should not be destroyed.

As the termination date draws near, active files should be reviewed frequently to determine if cutoff dates can be applied.

Become familiar with the copying policies of your organization. If copying costs are not excessive, a limited number of records may be copied by originators for their personal use.

If the program or project has been co-funded by another Federal agency, State or local government or organization, the records may be owned jointly and it may be necessary to reproduce copies. Check with your Records Manager to determine copy requirements based on contract language.

3. Assembly and Packaging Clerk.

(Instructions on how to properly prepare records boxes for shipment to a FRC can be obtained from your regional FRC.)

Use only records boxes and drawing tubes for storing and shipping records. Boxes and tubes will be obtained from the regional FRC and provided to you by the Records Holding Area at your site.

Boxes must contain only record material; i.e., no duplicate copies, reference documents, etc.

Assemble scheduled and unscheduled records series separately.

Do not mix records series within a box.

Box temporary and permanent records separately.

Do not pack the boxes too full. Leave about one inch of space for easier retrieval.

Three-ring notebooks and guide cards should not be packed in records boxes.

Use accordion folders for bulk files.

Accountable records must be filed separately by year; i.e., not more than 1 year per box will be accepted by an FRC.

Do not fold engineering drawings. Use tubes purchased specifically for drawings.

Prepare a file index of the folders included and place the index in the front of each records box or use a copy of the records transfer form.

Prepare a records transfer form when boxes are ready for shipment. Do not use abbreviations or acronyms. Include full title of the organization initiating the transfer of records.

Start with the first-tier organization and then work down to and including the office of creation for the records in question.

The records transfer form should list all of the series titles of each folder included in each box. The folders must be arranged in the box in the exact order that they are listed on the records transfer form.

Ensure that every folder is properly labeled. If more than one folder has the same title, mark as follows: 1 of 3, 2 of 3, 3 of 3, etc. Also, type the words "Bulk Folder" on the records transfer form.

When classified material is included in the box, be sure to mark the highest classification on the records transfer form. Also be sure the file folders are properly stamped to indicate their classification.

When the boxes are properly prepared for shipment and the records transfer forms are correctly processed, send the forms to the Records Holding Area with a note including the number of boxes to be transferred, classification of the records, destination (FRC, RHA, other DOE site), the contact person, their telephone number, building and room number.

The records holding area personnel will schedule records shipments. Do not attempt to move boxes or schedule moves to the holding area.

A Standard Form 135, "Records Transmittal and Receipt", will be prepared by the Records Holding Area for all shipments to the FRC. A copy will be returned to you with an assigned accession number in Item 6.a.b.c.

Using a broad black marker (only), write the assigned accession number on the upper left corner of each box. Be sure the numbers are clearly visible.

A separate SF-135 will be completed and a different accession number will be assigned to each box or set of boxes that have different disposal dates.

Scheduled inactive records can be moved to the records holding area for immediate shipment to the regional FRC.

Store unscheduled inactive records in your office until draft schedules have been developed, or if space permits, move them to the records holding area for temporary storage.

NOTE: To date, NARA has been very cooperative in approving the transfer of unscheduled records to an FRC once a draft schedule for the records in question has been reviewed and tentatively approved. If program or project termination is imminent, this process can be used to speed records closeout.

As the termination date draws near, active files should be reviewed frequently to determine if cutoff dates can be applied. If the records are scheduled they should be boxed and forwarded to the records holding area for disposition.

Check with your Records Liaison or Records Manager to determine if the holding area has additional preparation instructions or transfer requirements.

4. Records Holding Area Manager.

Provide routine service to ongoing projects.

Work with Records Liaisons and Records Managers to determine the quantity of records storage boxes and drawing tubes needed for closeout.

Order supplies (identified above) early to ensure that correct quantities are available.

Make storage boxes and drawing tubes available on an as-needed basis. Monitor excessive use.

Ensure that records holding area space and manpower is adequate to receive (and if necessary reassemble or integrate records series).

Submit additional space and manpower requirements to Management through the Records Manager.

Develop and implement procedures to monitor the collection and shipment of records boxes; i.e., anticipated versus actual volumes received and shipped.

Maintain appropriate documentation on records received and shipped.

Upon receipt of record transfer forms, prepare SF-135s, "Records Transmittal and Receipt", and assign an accession number. Return a copy to the Assembly and Packaging Clerk (Records Custodian or Records Liaison).

Arrange for movers to transport records to the holding area.

Coordinate shipments of records to appropriate destinations; i.e., the FRC, National Archives, or other DOE sites.

Identify and report to the Records Manager major delays in planned receipt of records and shipments to FRCs.

Provide quality assurance checks to ensure boxes are properly prepared for shipment.

Work with Records Liaisons and the Records Manager to identify contractor and subcontractor records that may require integration or reassembly. Implement appropriate action.

Report progress or the lack of it to the Records Manager on a routine basis.

III. UNIQUE SITUATIONS.

Note: This section will be included at final distribution.