Subject:	Effective Date:	Initiated by:
Records Management	June 6, 2014	John DeLooper Head, Best Practices and Outreach
	Supersedes: Revision 2 dated 9/13/2013	**Approved:** Stewart Prager Director

Management System (Primary): 12.00 Assurance and Improvement
Management System Owner: Head, Best Practices and Outreach
Management Process: 12.28 Records Management
Process Owner: Head, Best Practices and Outreach
Subject Matter Expert (SME): Head, Best Practices and Outreach; Head, Best Practices; Best Practices Analyst

Applicability

This procedure outlines the Laboratory's program for records management. It is applicable to all activities, Departments, Projects and personnel at PPPL and all Laboratory records (see Definitions).

Introduction

The contract between Princeton University and the U.S. Department of Energy requires the Laboratory to implement a records management program. PPPL has chosen to implement a distributed records program where each Department, Project, and staff member is responsible to manage its records. This requires that all records be identified, inventoried, and maintained until disposition according to approved Record Schedules (Attachments 1 and 2). These schedules list each type of record series, cutoff dates, and required retention periods.

Most PPPL records are "temporary" and may be destroyed at the end of the retention period. Certain categories are designated "permanent" and must be retained or transferred to the government (Attachments 1 and 2).

Only the "primary copy" of a record need be kept. Other "convenience copies" may be destroyed when they are no longer needed. The primary record may or may not be the original of a document. For example, the primary record of correspondence is likely to be a duplicate of the original sent to the addressee. Electronic files may also be deemed primary records and must be retained according to the appropriate records schedule. Electronic files require additional documentation and controls (Attachment 5).

Certain documents are not considered to be records (see Definitions) and, consequently, are excluded from the inventorying and scheduling requirements. For example, library or museum materials made or acquired and preserved for reference or exhibition purposes, convenience copies and stocks of publications, are not records.

Individuals who willfully and unlawfully destroy, remove or obliterate PPPL records will be subject to fines and imprisonment of up to three years.

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Reference Documents

Contract No. DE-AC02-09CH11466, between Princeton University and Department of Energy
DOE Records Disposition Schedules (Office of the Chief Information Officer)
DOE Order 200.1A Information Technology Management
DOE Order 243.1A, Records Management Program
DOE Order 243.2, Vital Records
Title 5, United States Code, Section 552, Freedom of Information Act
Title 18, United States Code, Crimes and Criminal Procedure
Title 36, Code of Federal Regulations, National Archives and Records Administration
Title 41, Code of Federal Regulations, Public Contracts and Property Management
Title 44, United States Code, National Archives and Records Administration
OMB Circular No A-130, Management of Federal Information Resources

Definitions

Cut off Date: Selected period of time when a file is closed. As an example, correspondence records may be "cut off" at the end of the fiscal year.

Documentary materials: records and nonrecord materials for all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of the recording. (36CFR1220.14)

Nonrecord materials: those Federally owned informational materials that do not meet the statutory definition of records. Extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials are excluded. (36CFR1220.14)

Permanent record: any Federal record determined by the National Archives and Records Administration to have sufficient value to warrant its preservation in the National Archives. (36CFR1220.14)

Quality Record: is a document or media that provides objective evidence of an item, service or process and is retained for its expected future value. Typical quality documents and records include records documenting the design basis, review, and revision; project procedures, plans, and manuals; project operations records; project test results; accident reports; audit reports, checklists, and schedules; training records; document control records; certification, inspection and test records; and drawings. Additional requirements are imposed on quality records, including definition of quality records; preparation, review, approval, revision, and distribution process; protection, preservation, revision, traceability, accountability, and retrievability; and method for storage including protection from damage, loss, and deterioration. A small subset of these quality records should be maintained for the lifetime of a project. These might include records that: document the capability of an item to be safely operated; how an item is maintained, reworked, repaired or modified; document significant details as to the cause of an accident or malfunction; or provide a baseline for future inspections.

Record: 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 Untied States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency because of the informational value of data in them. Library and museum material made or acquired and preserved solely for

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reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included. (44USC3301)

Records Management: planning, controlling, directing, organizing, training, and other activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the Federal Government. (44USC2901(2).

Temporary record: any record which has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by the National Archives and Records Administration. This determination may take the form of records designated as disposable in a General Records Schedule. (36CFR1220.14)

Vital Record: is any information critical to effective emergency response management and ensure the protection of the legal rights and interests of citizens, PPPL employees, subcontractors, visitors and Governments. Emergency Operating Records are records vital to the essential functions of the Federal Government for the duration of an emergency if the country is attacked. These records include: records necessary for the military effort; the mobilization and protection of material, personnel resources of services and of systems; the maintenance of public health, safety, and order; and the conduct of essential defense activities. Rights and Interests Records are records essential to the preservation of the legal rights and interests of citizens and their Government.

Procedure

A. Designation of Records Coordinators

RESPONSIBILITY	ACTION
Department/Project Head	1. Identifies an individual(s) to serve as the Records Coordinator(s) for the Department or Project.
Records Coordinator	2. Implements this procedure with assistance of personnel in the Department or Project. (Note: Attachment 1 identifies which Departments are responsible for specific records series.)
Laboratory Staff	3. Coordinate records inventory, classification, and disposition with assistance from the Records Coordinator for the Department or Project.

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B. Identification, Classification, and Storage of Records

RESPONSIBILITY	ACTION
Laboratory Staff and Records Coordinator	1. Performs inventory of all records under their control using "Series Inventory Form" or "Audiovisual Records Series Inventory Form" (Attachments 3 or 4). Guidance on identifying records is provided in Attachment 9. Note: The inventory requires the coordinator to distinguish between record and non-record copies of documents.) For electronic records, completes "Information Systems Description Form" (Attachment 5) in addition to the "Series Inventory Form." NOTE: as an option, the records can be recorded on a matrix as show in Attachment 8 in lieu of using the other attachments.
	2. Identifies quality or vital records (guidance on these records in provided in Attachments 9 and 10).
Laboratory Staff and Records Coordinator	3. Identifies retention schedule for all documents under their control utilizing the information and the links found in Attachments 1 and 2 to determine the length of time. (Note: if a record is not identified in Attachment 1 or 2, go to part D of this procedure).
	4. Destroys temporary records that have reached their retention period. (Note: Temporary records may be retained for longer periods when the Records Coordinator or owner of the record determines that it is in the best interest of the Laboratory.)
Records Coordinator	5. Arranges for storage of records at Federal Records Center (FRC) by completing and submitting "Records Transmittal and Receipt Form for the Federal Records Center," Attachment 7. Note: a. Coordinator may retrieve records as needed: b. records can be retained at PPPL after the specified period when it is determined to be in the best interests of the Laboratory.
Federal Records Center	6. Provides accession numbers to Record Coordinator, and authorizes records to be shipped to the Center.
Warehouse Personnel	7. Ships records to Federal Records Center.
Federal Records Center	8. Notifies Records Coordinator of intent to destroy temporary records when retention period is met.
Records Coordinator	9. Requests an extension for temporary records about to be destroyed via a written request with 90 days of the FRC destruction notice, when appropriate.

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C. Subject Matter Expert on Records Management

RESPONSIBILITY	ACTION
Head, Best Practices and Outreach / Designee	1. Provides advice and information to Records Coordinators and serves as the Laboratory's Subject Matter Expert. 2. Reviews requirements (NARA and DOE) annually and updates requirements specified in this procedure, as appropriate. 3. Coordinates records management activities with the DOE, as appropriate.

D. Unscheduled Records

RESPONSIBILITY	ACTION
Records Coordinator	1. Completes SF-115, "Request for Records Disposal Authority," (Attachment 6) as necessary for unscheduled record series, i.e., those not covered in the PPPL Records Schedules or the General Records Schedules available from the National Archives and Records Administration (NARA) or when retention periods differing from these Schedules are sought. 2. Submits SF-115 to Head, Best Practices and Outreach for submission to NARA.
Head, Best Practices and Outreach	3. Approves and submits SF-115s to the National Archives and Records Administration (NARA). 4. Notifies Records Coordinator of NARA schedule information when received.

E. Training

RESPONSIBILITY	ACTION
Head of Best Practices and Outreach	1. Provides training as follow: Target Audience: Council Members, Division Heads, Supervisors, and Department/Project Records Coordinators Frequency: X Upon each revision of this procedure Training Methods: X Provides a briefing to Council Members at the Laboratory Management Meeting on the purpose and general requirements of this procedure and instructs them to

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communicate the procedure to their Division Heads for implementation.

X Ensures this procedure is distributed to all supervisors via email notification.

X Ensures this procedure is distributed to all Department/Project Records Coordinators via email notification.

Head of Best Practices and Outreach or Designee

2. Notifies the Human Resources Training Office of the training so that they will be aware of the training requirements and be able to provide assistance and guidance in the course development, implementation, tracking, and maintenance.

F. Records Requirements specific to this procedure

Records Custodians must assure records are maintained as follows:

Record	Record Custodian	Location	Retention Time
Series Inventory Form	Department/Project Records Coordinator	Department/ Project files	Temporary - 1 year after completion of disposal (A14 4)
PPPL Records Schedule	Head, Best Practices and Outreach	Original Document Files	N/A – this is a working document and must only be kept until superseded
Audiovisual Records Series Inventory Form	Department/Project Records Coordinator	Department/ Project files	Temporary - 1 year after completion of disposal (A14 4)
Records Transmittal and Receipt Form	Department/Project Records Coordinator	Department/ Project files	Temporary - 1 year after completion of disposal (A14 4)
Audiovisual Records Series Inventory Form	Department/Project Records Coordinator	Department/ Project files	Temporary - 1 year after completion of disposal (A14 4)
Information Systems Description Form	Department/Project Records Coordinator	Department/ Project files	Temporary - 1 year after completion of disposal (A14 4)
Accession Numbers for Records	Department/Project Records Coordinator	Department/ Project files	Temporary - 1 year after completion of disposal (A14 4)
Request for Records Disposal Authority, SF-115	Head, Best Practices and Outreach	Department/ Project files	Temporary - 3 Months (A14 2)

Attachments

1. DOE/PPPL Record Schedules links and information
2. PPPL Research & Development Schedule
3. Series Inventory Form
4. Audio/Visual Record Series Inventory Form
5. Information Systems Description Form
6. Request for Records Disposal Authority
7. Records Transmittal and Receipt Form for Federal Records Center
8. Records Schedule Matrix
9. Guidance on Records Inventory
10. Guidance on Quality Records

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Click on this link to view the current online PPPL Records Schedule and to determine the categories and retention requirements of your records.

http://spportal.pppl.gov/bp/Lists/RecordsSchedule/AllItems.aspx

1) Notes: The PPPL Records Schedule is based on these DOE and Federal records schedules:
   DOE Administrative Records Schedules
   DOE Programmatic Records Schedules
   Export Administration Regulations 15 CFR 762.2
2) The most conservative destruction time frames were chosen to assure compliance with these approved schedules.
3) Records identified as epidemiological must not be destroyed.

DOE Administrative Records Schedules

No.	Title
A1	DOE Administrative Records Schedule 1, Personnel Records
A2	DOE Administrative Records Schedule 2, Payroll & Pay Administration Records
A3	DOE Administrative Records Schedule 3, Procurement, Supply & Grant Records
A4	DOE Administrative Records Schedule 4, Property Disposal Records
A5	DOE Administrative Records Schedule 5 Budget Preparation, Presentation, & Apportionment Records
A6	DOE Administrative Records Schedule 6 - (DRAFT) Accountable Officers' Accounts Records
A7	DOE Administrative Records Schedule 7, Expenditure Accounting Records
A8	DOE Administrative Records Schedule 8, Stores, Plant, & Cost Accounting Records
A9	DOE Administrative Records Schedule 9, Travel & Transportation Records
A10	DOE Administrative Records Schedule 10, Motor Vehicle Maintenance & Operation Records
A11	DOE Administrative Records Schedule 11, Space & Maintenance Records
A12	DOE Administrative Records Schedule 12, Communications Records
A13	DOE Administrative Records Schedule 13, Printing, Binding, Duplication, & Distribution Records
A14	DOE Administrative Records Schedule 14, Informational Services Records
A15	DOE Administrative Records Schedule 15, Housing Records
A16	DOE Administrative Records Schedule 16, Administrative Management Records
A17	DOE Administrative Records Schedule 17, Cartographic, Aerial Photographic, Architectural & Engineering
A18	DOE Administrative Records Schedule 18, Security, Emergency Planning & Safety Records
A20	DOE Administrative Records Schedule 20, Electronic Records
A21	DOE Administrative Records Schedule 21, Audio Visual Records
A22	DOE Administrative Records Schedule 22 - (DRAFT) Audit/Investigative Records
A23	DOE Administrative Records Schedule 23. Records Common to Most Offices
A24	Information Technology Operation and Management
A25	Ethics Program Records
A26	Temporary Commission's, Boards, Councils and Committees
A27	Records of the Chief Information Office

DOE Programmatic Records Schedules

No.	Title
CC	Cancelled Checks Issued by Contractors
ER	Environmental Records
NW	Nuclear Weapons Records
RD	Research & Development Records
OSTI	Scientific & Technical Reports, OSTI
SNF	Spent Nuclear Fuels Records
WX	Weapons X-Rays Records
WFO	Work for Others & CRADAs
Y2P	Year 2000 Project Records

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4) Criteria for the selection of architecturally, historically and technologically significant files:

Architectural Significance

Original Design. Primary consideration should be given to buildings and facilities, which are essentially original in design. Although it may incorporate standard features, a uniquely designed building or facility is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.

Standard or Repetitive Design. If building or facilities use a standard or repetitive design, it is not necessary to permanently retain a file for each building. However, a file should be retained for the building or facility most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.

Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.

Innovations. Buildings or facilities which include architectural or engineering innovations.

Historical Significance.

Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies.

National Events or Personalities. Buildings or facilities which are associated with events or persons who represent the broad history of the country.

Noted Architect Drawings by noted architects or engineers of both proposed and constructed buildings or facilities.

Controversial. Buildings or facilities which were involved in controversy in regards to their design, construction, or utilization. Projects terminated because of cost overruns, safety hazards, and environmental hazards are included.

Technological Significance.

This category includes files for such projects as first-of-a-kind energy research, development, or demonstration projects of other unique building or facility projects. Since this is a broad category which covers many different types of technical facilities, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as the National Aeronautics Administration, (NASA)'s spacecraft or Tennessee Valley Authority, (TVA's) hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variation. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard. It should be noted that comprehensive site development plans or master plans are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see Schedule 17), while individual buildings and facilities within the system can be evaluated on the basis of this schedule.

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DOE Research & Development Records Schedule Review Philosophy & Guidelines:

This schedule provides tools and guidelines to complete the review of R&D records and to establish levels for disposition. The records in this schedule shall be reviewed at project closure or file cutoff to determine the appropriate disposition. Each site should establish a review team composed of members who understand the records under evaluation and the records management function of the organization. The team should include the PPPL Records Subject Matter Expert, the principal investigator(s), project researchers, current records holders, and responsible project manager and/or department head. An R&D Checklist should be the starting point for the team. Ideally, the evaluation process would begin with an assessment of records written by the principal investigator(s) during or shortly after the close of a project. This provides a basis for the review team to use in their subsequent evaluation of the project. R&D records must be evaluated and assigned into one of the following three levels, unless otherwise indicated in the schedule. Records retired under this schedule will not be accepted by a Federal Records Center without an appropriate level designation.

Level I: Projects which received national or international awards of distinction; active participation of nationally or internationally prominent investigators; research which resulted in a significant improvement in public health, safety, or other vital national interests; scientific endeavors which were the subject of widespread national or international media attention and/or extensive congressional, DOE or other government agency investigation; show the development of new and nationally or internationally significant techniques which are critical for future scientific endeavors; or made a significant impact on the development of national or international scientific, political, economic, or social priorities.
Level I Disposition Instructions: Permanent. Cutoff after project/program completion, cancellation, or termination, or in 5 year blocks. Retire to Federal Records Center 2 years after termination of project/program. Transfer to National Archives and Records Administration 30 years after termination of project/program.

Level II: Research that leads to the development of a "first of its kind" process or product; improved an existing process, product, or application, or has implications for future research.
Level II Disposition Instructions: Cutoff after project/program completion, cancellation or termination, or in 5 year blocks. Retire to FRC 2 years after termination of project/program. Destroy 25 years after termination of project/program.

Level III: Research projects/programs that do not fall into Level I or II.
Level III Disposition Instructions: Cutoff after project/program completion, cancellation or termination, or in 5 year blocks. Retire to FRC 2 years after termination of project/program. Destroy 10 years after termination of project/program.

Research & Development Evaluation Checklist
The following list is intended for PPPL purposes only.
1. Full name of office or unit creating the records.
2. Official name of the project, project number or sub-project identifier, and summarized statement of work.
3. Summary of the project and its significance, including significant milestones (start, finish...).

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4. Name(s) of principal researcher(s).
5. Names of team members.
6. Location of principal researcher(s) and team members.
7. Funding and/or oversight DOE program.
8. Research methodology, procedures, and techniques unique to project.
9. Has a patent(s) been filed?
10. Are the records the subject of pending litigation? (Note: No document should be destroyed if it is related to a complaint or a claim which has been filed or is likely to be filed even if the retention has been reached or exceeded. Approved dispositions may be applied after resolution of the litigation and any subsequent appeals.)
11. Types of records (R&D Data, notebooks and specific information related to the R&D). Administrative files and records are dispositioned via attachment 1 of this procedure.
12. Medium of records (e.g., paper, diskette, microfilm...).
13. Location of records.
14. Evaluation of records for future research and historical use.
15. Suggested retention.

Research & Development Records to be Evaluated

1. Design documentation including experimental set up, schematics, flow charts and logs, test controls and instructions, test records and certifications, measuring and test equipment control listings, and calibration records.
2. Basic data sheets & data logs.
3. Computer code documentation, software/hardware requirements, and data
4. Scientific documents which include: technical papers, final research data, statistical analyses, tables, charts, graphs, computer printouts or analyses of scientific or engineering data, and other accumulated records documenting the progress and completion of R&D projects.
5. Supporting scientific information which includes: preliminary reports, notes and working papers, computer printouts, draft copies of papers used by technical writers and any other preliminary or draft copies.
6. Raw data in various media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations used for reference in arriving at determinations in the conduct of research projects or determined to have probable value for secondary evaluations or future experiments.
7. Evaluated or summarized data resulting from study of raw data including memoranda, graphs, tabulations, reports, log books, and related papers after termination of project/program.
8. Researcher notebooks issued to document research results. These notebooks contain technical and scientific data accumulated from the conduct of research and development and are often not duplicated in technical reports or project case files. These notebooks frequently contain data essential in establishing patent or invention rights.
9. Records of boards and committees studying assigned technical research and development problems, including requirements for or the authorization of projects, the scheduling and phasing of projects or programs, and the control and coordination of various R&D project phases or programs. Records consist of agendas, directives, minutes of meetings, papers relating to the establishment, revision, or termination of projects, and other papers reflecting the boards or committees' actions, recommendations and accomplishments.

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Series Inventory Form

1. DATE PREPARED	**2. OFFICE MAINTAINING THE FILES (Name and symbol)**
3. PERSON DOING INVENTORY (Name, office, phone number)	**4. SERIES LOCATION**
5. SERIES TITLE	**6. INCLUSIVE DATES**
7. SERIES DESCRIPTION	
8. MEDIUM (check all that apply) ~ Paper ~ Microform ~ Electronic (use information system form) ~ Audiovisual (use audiovisual form)	**13. 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 current agency business)
9. ARRANGEMENT ~ Subject file classification system ~ Alphabetical by name ~ Alphabetical by subject ~ Geographical by (specify) ~ Numerical by (specify) ~ Chronological ~ Other (specify)	**14. VITAL RECORDS STATUS:** ~ Yes ~ No (If yes, indicate type here; use entry 15 to show any duplication.) ___ Emergency-operating ___ Rights-and-interests ___ Both **15. DUPLICATION:** Are documents in this series available in another place or medium? ~ Yes ~ No (If yes, explain where and in what medium.)
10. VOLUME (in cubic feet)	**16. FINDING AIDS** (if any)
11. ANNUAL ACCUMULATION (in cubic feet or inches)	**17. RESTRICTIONS ON ACCESS AND USE** (if any)
12. CUTOFF (e.g., end of FY)	**18. CONDITION OF PERMANENT RECORDS** ~ Good ~ Fair ~ Poor Comment:
19. 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 (Propose an appropriate retention period.)	

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Series Inventory Form Instructions

Complete an inventory form for each record series. A series is defined as file units or other documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use.

Entries 1-4, 13-15, and 19 are self-explanatory.

5. Give each series a title for brief reference. Examples include property control records and bills of lading.

6. List the earliest and latest dates of the records in each series. If the series is still being created at the time of the inventory, indicate the latest date by the designation "to date" or "to present." NARA requires agencies to give inclusive dates for records proposed for permanent retention and also for nonrecurring records proposed for immediate destruction.

7. Each series description should contain enough information to show the purpose, use, and subject content of the records. Follow these guidelines in describing the series:

(a) Avoid emphasizing form numbers, especially when describing case files.

(b) Consider combining 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.

(c) Avoid terms, such as "miscellaneous" or "various," that add nothing to the description.

(d) Give special attention to describing potentially permanent records, because NARA requires more detailed information on them.

8. Indicate whether the record medium is paper, microfilm, electronic, audiovisual, or some combination of these. If it includes electronic or audiovisual records, use special inventory forms, such as those in NARA publications.

9. Indicate the arrangement, or filing system, used. Examples include a subject classification system and arrangements that are alphabetical by subject, alphabetical by name of claimant, geographical by state, numerical by contract number, and chronological by date of report. NARA requires agencies to indicate the arrangement of records proposed for permanent retention but not those proposed for disposal.

10. Express the volume of records in cubic feet by using the conversion table provided. NARA requires agencies to give volume figures for records proposed for permanent retention and also for nonrecurring records proposed for immediate destruction. For microform and cartographic records, also give an item count.

Cubic Footage Conversion Table

- One letter-size file drawer holds *1.5 cubic feet* of records.
- One legal-size file drawer holds *2 cubic feet* of records.
- Seven reels of standard digital computer tape (2400 feet long. 1/2 inch wide) equal *1 cubic foot*.
- One standard records center carton holds *1 cubic foot*.
- Fifty 100-foot 35 mm microfilm reels equal *1 cubic foot.*
- One hundred 100-foot 16 mm microfilm reels equal *1 cubic foot*.
- One letter-size National Archives box holds *0.35 cubic feet* of records.
- One legal-size National Archives box holds *0.43 cubic feet* of records.

11. Estimate the annual rate of accumulation for each series if the records are current and continuing. 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."

12. Indicate how often the series is cut off and when the last cutoff occurred. If it is not cut off, explain how inactive records are separated from active ones.

16. Describe any finding aids, such as indexes, document lists, lists of file headings or containers, and classification or filing manuals. If they cover more than one series, note that fact. If they are not in the same office or area as the related series, indicate their location.

17. Note any restrictions on access to, and use of, the particular series, such as restrictions relating to personal privacy or national security. 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.

18. Note the physical condition of records that are actually or potentially permanent, especially those stored offsite. Identify any threats, such as overhead water pipes, electrical equipment, excessive heat and/or humidity, vermin, and inadequate security.

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Audiovisual Records Series Inventory Form

la. PREPARED BY	lb. ORGANIZATION	lc. PHONE NUMBER

2. SERIES LOCATION	3. CREATING OFFICE

4. SERIES DESCRIPTION

5. DATES	6. ARRANGEMENT	7. VOLUME

8. RESTRICTIONS	9. ANNUAL ACCUMULATION ~ Cubic Feet ~ Items

10. NATURE AND FREQUENCY OF USE

11. CUTOFF INSTRUCTIONS	12. RETIRE REGULARLY? ~ Yes ~ No

13. PRESENT DISPOSITION

14. RECOMMENDATIONS FOR DISPOSITION

15. COMMENTS

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Audiovisual Records Transmittal Form Instructions

1. Enter your name, organizational unit, and telephone number.
2. Include building and room number. If original material (e.g., motion picture preprint, master tapes, or still negatives) is not in the same place, where is it?
3. Which unit created these records?
4. Include the following in the description:
   a. Format (4x5, 16 mm, and 1/2-inch) and generation.
   b. Subject matter covered in the series.
   c. Purpose served by the series.
   d. Finding aids such as data sheets, shot lists, continuities, review sheets, catalogs, indices, and caption lists. Location of such aids.
   e. Related documentation. Do files exist elsewhere that include production contracts, scripts, or other documents concerning these records? Where?
5. What is the date span of the series?
6. What is the arrangement of the series (e.g., alphabetical by subject, chronological, or numerical)?
7. What is the volume of the series? (See conversion table.)
8. Are there restrictions on access to or release of items in the series? If so,' what statute, exemption to the FOIA, or regulation authorizes this restriction? Are any items copyrighted?
9. How many cubic feet (or, if negligible, items) were added to this series last year?
10. How many requests for copies does your unit handle in a month? Who requests the copies and why?
11. What is the basis for cutting off a series so earlier parts can be retired without disturbing the remainder of the series? (End of calendar year, every 5 years, etc.)
12. Have parts of the series been retired to agency storage areas or to a Federal records storage center? How often? If parts of the series have been retired to a Federal records storage center, attach copies of the SF 135's.
13. Which item of your agency's records schedule applies to this series? If none applies, what happens to the records your unit no longer needs?
14. How long does your unit intend to keep those items added to the series last year in order to respond to internal agency requests?

Conversion Table

All of these equal **1 cubic foot**:

Still Pictures

- Negatives 2,300 35mm 6-exposure strips
  8,640 2x2-inch mounted slides
  2,184 4x5-inch file sheets
  5,960 21/4x31/4-inch file sheets
- Prints 2,350 8x10-inch glossies
  9,400 4xS-inch glossies

Motion Pictures

6 35mm reels (1,000 feet)
11 16mm reels (1,200 feet)
15 16mm reels (800 feet)
32 16mm reels (400 feet)

Video Recordings

10 3/4-inch cassettes
3 2-inch reels
9 1-inch reels
43 1/2-inch reels

Sound Recordings

76 16-inch disc recordings
144 12-inch disc recordings
48 7-inch audiotape reels
16 10-inch audiotape reels

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1. SYSTEM TITLE	2. SYSTEM CONTROL NUMBER
3. AGENCY PROGRAM SUPPORTED BY SYSTEM	4. PROGRAM AUTHORITY

5. SYSTEM DESCRIPTION

5A. PURPOSE/FUNCTION OF SYSTEM

5B. SOURCE(S) OF DATA (Include inputs from other systems)

5C. INFORMATION CONTENT

5D. SYSTEM OUTPUTS (Include outputs from other systems)

6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)

7. AGENCY CONTACTS (Names, addresses, and phone numbers of system and program personnel who can provide additional information about the system and the program it supports.)

8. PREVIOUS DISPOSITION JOBS

9A. PREPARER'S NAME	9B. OFFICE NAME AND ADDRESS
9C. PHONE NUMBER	
SIGNATURE	DATE

NA FORM 14028 (9-88)

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Information System Description Form Instructions

Definition
An *Information System* is the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. NARA's concern is with the government information in the system, that is, with information created, collected, processed, transmitted, disseminated, used, stored, and disposed of by the Federal Government. An electronic information system includes the inputs and outputs that are generated, as well as the information on electronic media. The system may contain budgetary, fiscal, social, economic, scientific-technical or program-related data and information, operated in support of agency programs and management responsibilities.

Explanations

1. The commonly used name and acronym of the system [e.g., Budget System, Grain Monitoring System]

2. The internal control number assigned to the system for reference, control, or cataloging purposes [e.g., Information System Inventory Number, ADP Plan control number]

3. What agency programs or missions does the system support?

4. What laws, directives, etc., authorize these programs?

5. Description has the following sections:

   a. *Purpose/Function:* The reasons for and the requirements met by the system.

   b. *Sources of Data:* The primary sources or providers of data to the system [e.g., broadcast license holders, corporations doing business in the U.S.]. Does this system receive information from other systems, either from within or outside your agency?

   c. *Information content:* The principal subject matter, data coverage, time span, geographic coverage, update cycle, whether the system saves superseded information, major characteristics of the system, and whether the system contains microdata or summary data.

   d. *Outputs:* The principal products of the system [e.g., reports, tables, charts, graphic displays, catalogs, correspondence], and an indication of the frequency of preparation. Is information from this system transferred to other systems?

6. Self-explanatory.

7. Self-explanatory.

8. Citations of previous NARA disposition jobs approving disposition of components [e.g., input forms. printouts, COM, output reports] of the system.

9. Self-explanatory.

NA FORM 14028 BACK (9-88)

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A fillable Adobe PDF version of this form, with detailed instructions, is available at:
http://www.archives.gov/records-mgmt/policy/standard-form-115.html

REQUEST FOR RECORDS DISPOSITION AUTHORITY
(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER | 5. TELEPHONE

LEAVE BLANK (NARA use only)

JOB NUMBER

DATE RECEIVED

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE | ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required; ☐ is attached; or ☐ has been requested.

DATE | SIGNATURE OF AGENCY REPRESENTATIVE | TITLE

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

115-109 NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA
36 CFR 1228

Figure 5-2a. Standard Form 115

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Microsoft Word and Adobe PDF versions of this form, with detailed instructions, are available at:
http://www.archives.gov/frc/forms/sf-135-intro.html

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF PAGES

1. TO (*Complete the address for the records center serving your area as shown in 36 CFR 1228.150.*)

Federal Records Center

5. FROM (*Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address*)

2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (*Signature and title*)	DATE
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (*Name, office and telephone No.*)	
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (*Signature and title*)	DATE

Fold Line

6. **RECORDS DATA**

ACCESSION NUMBER			VOLUME (*cu. ft.*)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (*With inclusive dates of records*)	RESTRICTION	DISPOSAL AUTHORITY (*Schedule and item number*)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(*a*)	(*b*)	(*c*)	(*d*)	(*e*)	(*f*)	(*g*)	(*h*)	(*i*)	(*j*)	(*k*)	(*l*)	(*m*)

NSN 7540-00-634-4093 35-107 Standard Form 135 (Rev. 7-85) Prescribed by NARA 36 CFR 1228.152

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Type of Record*	Owner of Record	Custodian of Record	DOE Schedule*	Type* (Perm. or Temp.)	Quality/ Vital Record?	Retention Period*	Storage Location	Media (paper/ electr…)	Transfer to:*

*See Attachment 1

NOTE: Individual Departments may choose provide additional information on this form (information on this form is required).

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Records Coordinators have the responsibility to create a records disposition schedule which identifies a Department's records and how long they will be kept. As part of this disposition schedule, two smaller subsets of these documents must be identified: *quality records*, and *vital records* This attachment provides additional guidance in this process and addresses issues that have come up during the records identification process. Specifically, some of the retention schedules do not include all of the records that exist in a department

Inventory and Disposition Schedule

This procedure requires that Laboratory documents (hard copy and electronic) be inventoried and scheduled for disposition according to approved records schedules (Attachment 1):

1. All records must be identified, even temporary records (usually by category, e.g. procurement files vs. separate specific file folders). You need to be able to have an auditor go into an office and know whether there are any records in that particular room. For instance, a supervisor's copies of employee evaluations are defined in the US Government schedules as "temporary records" (the "record" is maintained in Human Resources as defined by our procedure). These temporary records need to be identified on your disposition schedule (if they are in fact within the supervisors office/files).
2. There are several ways to identify these types of records. Two possible approaches are:
   a. Assure that there are no "records" in an office. Include a note on the records disposition schedule that identifies all of the documents in a particular office (e.g. B352) as "temporary" and subject to removal and destruction by the owner (basically, these are an individual's convenience copies of records maintained in other locations).
   b. Maintain separate file cabinets or separate drawers for the "records" vs. an individual's personal copies of documents. Label the cabinet, drawer, or files as such. For example, a "project report" is a record; any copies maintained in other files are temporary records, which can be destroyed when no longer needed (in essence, a convenience copy). If the "record" is maintained in an individual's office, then it must be identified as the record in some way.
3. Correspondence can be considered a "record" if, for example, it contains facility safety issues, project history information, accounting information, etc. This correspondence can either be hard copy or electronic. If there is "correspondence" that needs to be saved for a period of time (say for one or more years), you need to capture that information in the records disposition schedule and the individual should maintain that correspondence or transfer it to the project files where it can be maintained. You should also note that the retention schedule allows you to destroy routine correspondence and memoranda that are not defined as a specific record in a Record Schedule, when no longer needed for reference.

Quality Records

Quality records are a subset of the records management system. Quality records are required on a graded approach – the more complex, dangerous, important, or costly a project, the greater the need for certain records to be controlled and defined. A quality record is a document or media that provides objective evidence that an item, service or process meets the design requirements and is retained for its expected future value. Typically, a project will define what documents will be considered as a quality record. A small subset of these quality records should be maintained for the lifetime of a project. These might include records that: document the capability of an item to be

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safely operated; how an item is maintained, reworked, repaired or modified; document significant details as to the cause of an accident or malfunction; or provide a baseline for future inspections.

Vital Records

Vital records are another smaller subset of the records management system. Vital Records are essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). These records are limited in that only Business Operation, Human Resources and Environment, Safety and Health and Infrastructure Support Groups would have such records. The Vital Records Protection Program is managed by the Site Protection Division, who can provide additional guidance.

Summary:

How do you know if you have met the intent of the law? One test is to imagine that you are an auditor, walking into a particular area or office. Would it be clear what documents are "records" vs. convenience or personal copies? Would you be able to distinguish the subset quality and vital records? If you can answer these questions for all of the areas under your control, then you have successfully fulfilled the records management requirements.

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Quality records (specified in 10CFR830, Subpart A and DOE O 414.1D) are a subset of the records management system. Quality records are required on a graded approach – the more complex, dangerous, important, or costly a project, the greater the need for certain records to be controlled and defined.

Projects specify the requirements that are imposed on quality records, including definitions of quality records; processes for the preparation, review, approval, revision, and distribution of quality records; traceability and accountability; and methods for storage including retrievability, protection from damage, loss, and deterioration. A small subset of these quality records should be maintained for the lifetime of a project. These might include records that: document the capability of an item to be safely operated; document how an item is maintained, reworked, repaired or modified; document significant details as to the cause of an accident or malfunction; or provide a baseline for future inspections.

Typical quality records include, but are not limited to:

- Human resources records relating to personnel education, training, skills, and experience.
- Design records, such as applicable codes and standards, computer or mathematical models used in designs, drawings, calculations and their checks, design review results, design specifications. If the work is associated with a Work Planning form, most of this information should be in the Operations Center with the drawings in Drafting.
- Procurement related records, including statements of work, specifications, drawings, and verification that a product or service meets the requirements
- Installation and fabrication records including inspection and test results, welding details (types of welds, filler materials used, etc.), as-built drawings, pressure test results.
- Calibration records including records that contain the results of calibrations, the basis used for calibration and the corrective actions taken when the equipment is found to be out of calibration.
- Preoperational and Start-Up Test Records documenting test procedures and results.
- Maintenance records, such as inspections, repairs, replacements.
- Operational records, such as records of system set-up.
- Records documenting non-conformances and their resolution.
- Records associated with assessments, such as management assessments, audits, lessons learned reviews, and accident investigations, including associated corrective actions.
- Any record that demonstrates that your process is working, such as formal plans or procedures, MOUs, permits, official forms, etc.

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