



U.S. Department of Energy

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*Office of Legacy Management*  
**Information and  
Records Management**

# Transition Guidance

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## Executive Summary

The Office of Legacy Management (LM) is an integral part of the U.S. Department of Energy's (DOE's) strategy to ensure that legacy liabilities of former nuclear weapons production sites are properly managed following the completion of environmental cleanup activities. LM will work with each site using an integrated team approach to ensure a successful transition. Part of this process will include transition of Government records and information.

The *Office of Legacy Management Information and Records Management Transition Guidance* focuses on LM's goal to preserve and protect legacy records and information. This guidance document establishes a framework for the transfer of records management responsibilities for sites transferring to LM. It describes the requirements, responsibilities, and procedures for the efficient and cost-effective transfer of custody, ownership, and management of records and other information products from the transfer site to LM.

Records management practices are critical to the functions of Federal agencies because records provide information about, or evidence of, the organization, functions, policies, decisions, procedures, operations, or other activities. Therefore, the information generated by an agency is created, maintained, and dispositioned through records management processes that ensure the appropriate preservation and retrieval of essential information. Because of their intrinsic value, best practices to preserve information and records should be utilized when records are transferred from one organization to another.

As the transfer program completes cleanup activities at closure sites, a transitional process will facilitate the transparent shift in the management of site records activities to LM. The roles and responsibilities of the transfer site and/or program and LM described in this document are a necessary foundation for cooperation and coordination and are essential to the successful transition of records and information responsibilities.

The DOE Office of the Chief Information Officer (OCIO) has a central role in DOE records management by providing guidance, expertise, and coordination to all DOE offices and organizations and coordination with the National Archives and Records Administration (NARA).

LM and the transfer site will complete an integrated transition plan which will integrate all transition elements including information and records. As part of the overall transition plan, an Information and Records Transition Plan will be developed consistent with the integrated transition plan for the site transfer and included as an attachment. The Information and Records Management Transition Plan will be developed to assist both organizations in organizing the tasks; establishing a timetable and milestones for their completion; and identifying manpower, funding and other resources that will be needed to complete the ownership transfer. In addition, the plan will provide a valuable exchange of institutional knowledge that will assist LM in meeting the obligations of responsibly managing legacy records. Guidance for the development of the plan is included in this document.

Records management concerns that may arise during site closure, such as management support, contract language and agreements, interactions with the OCIO and NARA, resource and budget considerations, and procedures to safeguard records are addressed. Guidelines and criteria for records management transition activities are also provided. These include LM expectations for the inventory, scheduling, and disposition of records; the management and transfer of electronic files, including databases and software; records finding aids, indices, and recordkeeping systems; and the process for the transfer of hard copy and electronic records to LM.

## 1.0 Introduction and Purpose

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The U.S. Department of Energy (DOE) is committed to ensuring effective and efficient management of its authorities and responsibilities. The Office of Legacy Management (LM) is an integral part of DOE's strategy to ensure that legacy liabilities of former nuclear weapons production sites are properly managed following the completion of environmental cleanup activities. LM's primary goals are to:

- Protect human health and the environment through effective and efficient long-term surveillance and maintenance;
- Preserve and protect legacy records and information;
- Support an effective, and efficient work force structure to accomplish departmental missions, and administer worker pension and medical benefits;
- Manage legacy land and assets, emphasizing safety, reuse, and disposition; and
- Mitigate community impacts resulting from the cleanup of legacy waste and changing departmental missions.

In meeting LM goals, records management serves a key function. In the area of environmental legacy management, records management is crucial to the protection of health, environmental, and legal interests of the Department and the public. As part of this long-term legacy mission, LM will assume ownership and custody of all records (with exceptions addressed on a site-by-site basis) from the closed sites for which LM has assumed responsibility.

It is the policy of LM to:

- Establish Records Management points of contact at closure sites and work with them to ensure a smooth transition of records to LM.
- Accept custody of all records from closure sites with some exceptions that will be addressed on a site-by-site basis.
- Manage all records in accordance with Federal regulations (36 CFR Chapter 12) and DOE policy and guidance documents.
- Preserve records consistent with applicable records schedules.
- Ensure that appropriate records are made available to stakeholders and the public in a timely manner and in accordance with appropriate security considerations.
- Maintain records in storage facilities that meet Federal requirements and DOE requirements for unclassified and classified material, as appropriate.
- Respond to requests for information (Freedom of Information Act, Energy Employees Occupational Illness Compensation Program Act, litigation, researchers, etc.) in a timely and cost efficient manner.
- Work with the Office of the Chief Information Officer regarding permanent records, records policy, schedule development, and other issues that require coordination with or approval by the National Archives and Records Administration.

The *LM Information and Records Management Transition Guidance* focuses on LM's goal to preserve and protect legacy records and information.

To facilitate the coordination of efforts between the transfer site and LM, LM will implement this guidance concurrently with the transition of site custody to LM. The coordination and interaction of the DOE Office of Environmental Management (EM) or other organization transferring a site to LM (referred to as "transfer program") and the LM records transition staff will ensure flexibility

in the implementation of the framework and provide the opportunity to identify and resolve issues on a case-by-case basis. Implementation will be coordinated with other site transition activities and will begin as soon as practical after a site is identified for transfer to LM and a schedule is established.

## 2.0 The Life Cycle of Records

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The life cycle of records consists of four phases: creation, maintenance and use, inactive storage, and final disposition (destruction or long-term preservation). Records must be managed throughout their entire life cycle according to Federal laws and regulations approved by the National Archives and Records Administration (NARA).

Records management practices are critical to the functions of Federal agencies because the contents of the records are evidential information of Federal activities and are, therefore, important and valuable to the Federal Government and the public. Records provide information about, or evidence of, the organization, functions, policies, decisions, procedures, operations, or other activities of the government. Therefore, the information generated by an agency must be created, maintained, and dispositioned through records management processes that ensure the appropriate preservation and retrieval of essential information.

Records may exist in various media, including hard copy, microform, maps, engineering drawings, databases, computer applications, audiovisual formats, and electronic document or image files. The records custodian has the responsibility to ensure that the records are usable and accessible throughout their lifetime, regardless of storage media.

Because of their intrinsic value, best practices to preserve information and records should be utilized when records are to be transferred from one organization to another. Complete inventories, schedules, finding aids, indices, records databases, and other related information should be kept current and transferred to the new custodian with the records. In addition, other supporting materials, such as oral histories or exit interviews with key staff members should be conducted and documented prior to transfer to facilitate the transition of records management responsibilities.

## 3.0 Organizational Responsibilities

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**Note:** The roles and responsibilities of the individual transfer site compared to the transfer program vary from site to site. For example, responsibility for the transfer of a site from the Formerly Utilized Sites Remedial Action Program belongs to the U.S. Army Corps of Engineers (a transfer program), whereas the responsibility for the transfer of the Fernald, Ohio, site may be conducted by the site itself (a transfer site) with participation of the DOE Ohio Field Office and the EM Program. In recognition of differences in the management structure of closure sites, the phrase "transfer site/program" is used.

The management of legacy records is an important mission area for LM. As the transfer program completes cleanup activities at closure sites, a transitional process will facilitate the transparent shift in the management of site records activities from the transfer site/program to LM. This section presents the roles and responsibilities of the transfer site/program and LM that are the necessary foundation for cooperation and coordination.

Mutual agreement between LM and the transfer site/program on principles and responsibilities is essential to the successful transition of records and information responsibilities. Critical areas include ongoing records management activities at the time of closure (including medical studies, Freedom of Information Act [FOIA] requests, and Energy Employees Occupational Illness Compensation Program Act [EEOICPA]), the management of litigation records, the sharing of institutional knowledge, and continuing access to records.

The DOE Office of the Chief Information Officer (OCIO) has a central role in DOE records management by providing guidance, expertise, and coordination to all DOE offices and organizations. LM and the transfer sites/programs utilize the OCIO guidance for records and information management. The OCIO document *Records Management Guide for Downsizing or Terminating Programs* is an excellent guide for LM and transfer site/program records activities. In addition, LM and the transfer sites/program will rely on OCIO for appropriate coordination within DOE and with NARA.

### 3.1 Joint Responsibilities

- LM and the transfer site/program identify records and information points-of-contact (POCs) to participate in the Site Transition Team to coordinate the transition of information and records. LM and transfer site/program leads must be notified immediately of any POC personnel changes.
- LM and the transfer site/program management and staff members work together to ensure that the transition of records from the transfer program to LM is consistent with Federal and DOE guidelines and the *LM Information and Records Management Transition Guidance*.
- LM and the transfer site/program provide sufficient resources to allow LM to gain a level of familiarity with the institutional framework of transfer program records and information. Adequate staffing facilitates the orderly transfer and receipt of closure site records and systems and ensures efficient and timely responses to record and information requests.

- LM and the transfer site/program prepare and maintain a schedule with milestones which identifies information and records activities that need to be accomplished to support site transition and transfer.
- LM and the transfer site/program prepare agreements and notifications that are required to support the transition and transfer of records management responsibilities to LM (e.g., NARA custodial transfer).
- LM and the transfer site/program advise each other of any significant issues, contracts, grants, cooperative agreements, and announcements or solicitations relating to records management and information activities.
- LM and the transfer program ensure that the pension and health records of former contractor employees remain under DOE custodianship.

### **3.2 Transfer Site or Transfer Program Responsibilities**

- The transfer site/program maintains managerial support and staff personnel with the skills and expertise necessary to operate a comprehensive records management program consistent with all regulatory requirements and adequate to support LM transitional needs until transfer of the site to LM is completed.
- The transfer site/program, with assistance from LM, prepares an Information and Records Transition Plan for the site's records program. The Transfer Site Transition Lead and the LM Transition Lead approve the plan.
- The transfer site/program prepares an inventory of all active and inactive records that includes volumes, media types, and locations. The transfer site/program provides the associated indices and identifies tracking/control/management databases and finding aids in a format that is agreeable to both the transfer site/program and LM.
- The transfer site/program identifies and segregates records that will be transferred to LM as part of site transition, including special collections (e.g., historical, epidemiological, classified, photographs, videos, x-rays,) and records needed to support post-closure activities. The transfer of records includes a transfer of custody, ownership, and management responsibilities for all transfer site records with exceptions to be addressed on a site-by-site basis. Records that will not be transferred to LM include transfer site/program records related to ongoing (pre-closure) litigation activities.
- The transfer site/program ensures that all records are appropriately scheduled and dispositioned until the records are transferred to LM. If the transfer site/program identifies unscheduled records, the transfer site/program, LM, and OCIO work together to develop new schedules as required.
- The transfer site/program identifies records that show evidence of deterioration and consults with LM and OCIO to determine the management of those records.
- The transfer site/program will transfer the active and inactive records that will be transitioned to LM to an LM-recommended storage area.



- The transfer site/program disposes of non-record materials and should not transfer non-record materials to LM unless specifically identified during the transition process.
- The transfer site/program ensures that resources for records management and responses to records requests for FOIA, Privacy Act, medical studies, EEOICPA claims, litigation, and personnel records are available until transfer of record responsibilities to LM is completed.
- The transfer site/program funds transportation, storage, and retrieval costs of its records, including records at LM-recommended records storage facilities, until custody of the records is transferred to LM.

### **3.3 LM Responsibilities**

- LM provides sufficient managerial and support staff that have the skills and expertise necessary to ensure that a comprehensive, efficient, and effective records program is established to support the transition and management of transfer site/program records.
- LM provides assistance to the transfer site/program in preparation of an Information and Records Transition Plan for the site's records program. The Transfer Site Transition Lead and the LM Transition Lead approve the plan.
- LM performs periodic reviews and a final readiness review to verify the status of records transition.
- LM identifies recommended records storage facilities.
- LM accepts the records and information from the transfer site/program consistent with the established schedule and agreements. The records and physical locations must meet regulatory requirements and quality agreements between LM and the transition site before LM will accept transfer. Records transfer acceptance criteria are included in the Legacy Management Transition Checklist in Appendix C.
- LM will provide the transition program with reasonable access to records in LM's ownership and custody so that DOE can be responsible for requests for information, including records requests, in a timely and cost-effective manner that meets applicable deadlines.
- LM will be responsible for responding to FOIA/Privacy Act requests, medical studies, EEOICPA claims, and other requests initiated after the transfer of ownership and custody of records from the transfer site/program to LM.

### **3.4 Transfer Program Responsibilities**

- The transfer program retains the responsibility for paying the costs of responding to pre-existing or ongoing information requests.

- The transfer program is responsible for responding to FOIA and Privacy Act requests, medical studies, EEOICPA claims, and other requests initiated prior to the transfer of ownership and custody of records from a transfer program to LM.
- The transfer program is responsible for ongoing litigation or claim support and all contracts related to ongoing litigation. This includes management and custodianship of records needed for ongoing litigation.
- The transfer program provides LM with access to transfer program subject matter experts and records so that DOE can be responsive to requests for information, including records requests, in a timely and cost-effective manner and meet applicable deadlines.
- The transfer program will provide cost recovery for LM records activities which support transfer program records requests.

### **3.5 Preparation of the Information and Records Transition Plan**

The transfer site/program, with the assistance of LM, shall prepare an integrated transition plan which includes an Information and Records Transition Plan. The Information and Records Transition Plan will identify transition activities required to transfer information and record holdings effectively and efficiently to LM. The plan will assist both organizations in organizing tasks; establishing a timetable and milestones for task completion; and identifying manpower, funding, and other resources that will be needed to complete the records transfer. In addition, the plan will provide a valuable exchange of institutional knowledge that will assist LM in meeting the obligations of responsibly managing legacy records.

Development of the plan should be undertaken in conjunction with other site closure and transition planning efforts at the DOE Headquarters or the field site level. Meetings with records and information POCs should be held to coordinate the details to help ensure that a comprehensive and achievable Information and Records Transition Plan is developed. Appendix B provides guidance on preparation of an Information and Records Transition Plan.

After the LM and Transfer Site Transition Leads approve the Information and Records Transition Plan, the document will be distributed to all appropriate POCs, management, and program levels. Thereafter, the Information and Records Transition Plan will serve as a useful communication and progress tracking tool to help identify and resolve issues, support resource requests, monitor progress, and plan for post-transfer records responsibilities. Meetings to discuss progress will be held as often as necessary, and changes in scope, schedule, and resources will be monitored and brought to the attention of the LM and Transfer Site Transition Leads.

## **4.0 Effective Transition Practices**

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This section provides a discussion of different areas that must be considered and addressed before records transfer to ensure a smooth transition of records management responsibilities. It highlights some of the issues that must be addressed, such as contractor and subcontractor records and interactions with OCIO and NARA. In addition, this section provides suggestions for records management activities through site closure.

### **4.1 Continued Management Support**

A commitment to manage information and records efficiently and cost effectively is necessary by the transfer site. If not, it may be difficult to develop and implement procedures and put processes in place during transition or site closure. Resources may disappear, the number of staff personnel may decrease, and an increased burden may be passed to the remaining employees.

The transfer site's commitment to manage and preserve Government records is essential. The LM and Transfer Site Transition Leads, who are responsible for site transition from the transfer program to LM, should be apprised of the status of records and information management activities, should ensure that necessary support and resources are available to accomplish the objectives of a smooth and effective transition of records, and should adhere to Federal regulations and LM site transition policies and procedures.

### **4.2 Contract Language and Agreements**

Record and non-record materials generated by contractors and subcontractors during the execution of their responsibilities conducted on behalf of a Federal agency are the property of the Federal Government. Other than specifically identified contractor-owned records, documents created in support of Federal activities are not the property of a contractor or individual contractor employees and should not be removed from the site without proper authorization. In addition, the contractor and subcontractor(s) have an obligation to manage these records consistent with Federal records management policies and procedures.

The transfer site/program should review applicable contracts for agreements regarding the ownership, management, and disposition of records created by contractors and subcontractors. Memoranda of Understanding (MOUs), grants, and Cooperative Research and Development Agreements (CRADAs) may also identify Federal records created under partnerships with other Federal agencies, states, universities, private companies, and foreign governments that must be transferred to LM. In some cases, legal consultation may be needed to clarify contract clauses and other legal issues related to records ownership and custody.

If records ownership and disposition responsibilities have not been addressed in the contract or funds have not been budgeted for disposition, contract modifications may be required to support the transition process. Disputed or unresolved records issues between the transfer site/program and its contractors and subcontractors should be identified in writing as soon as possible in the site transition process. Any issues not resolved prior to site transfer should be reported to the LM and Transfer Site Transition Leads for action.

### **4.3 Assistance**

The primary POCs for records management issues are the transfer site/program and LM records POCs for the site and information technology POCs. They may be able to answer questions directly and ensure proper communication and collaboration with OCIO staff to resolve difficult issues.

The DOE Records Officer and OCIO staff personnel can assist in records management areas by soliciting management support, facilitating the development of draft schedules to meet new requirements, interpreting departmental policy, and raising issues with NARA. OCIO will coordinate any issues that involve working with NARA officials. Issues or questions that might require NARA participation should be identified early in the transition process. OCIO and NARA can assist the transfer site/program with many of the disposition activities (e.g., 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; and reviewing draft schedules). To avoid performance of unnecessary activities and to ensure completion of essential ones, early and continual communication among all organizations is necessary.

### **4.4 Notifications (NARA and DOE OCIO)**

NARA requires that agencies submit written notification of impending termination of any of its major components. NARA must be notified of the estimated volume of records that will be transferred to the Federal Records Centers (FRCs), the volume of permanent records being accessioned to NARA, the volume of classified records, and the volume of records in any format that will require special handling or storage conditions.

NARA requires timely notification of a change in records custody, such as from the transfer site/program to LM. This requirement also applies if records are moved to a non-Federal records storage facility. OCIO submits these notifications to NARA on behalf of the involved organizations.

### **4.5 Budget Considerations**

As sites approach closure, transfer site/program management and staff personnel are often focused on the physical completion of site cleanup. Nevertheless, resources needed for information and records transition activities must be available to satisfy Federal and DOE records management requirements and agreements with LM. LM and Transfer Site Transition Leads should be briefed on a regular basis regarding cost estimates, funding, and human resource availability. In addition, cost and resource estimates should be addressed in the Information and Records Transition Plan for the site (see Appendix B).

### **4.6 Safeguarding Records for LM**

The transfer site/program should require exit interviews with all personnel to identify and collect their records. Additional information should be collected from key personnel to document what they have worked on, when and where they worked on it, and the type of records they generated. No departing officer or employee shall remove any Government records or non-record materials. Copies may be made only if the cost is not prohibitive or does not hinder the efficient, continued functioning of the office or of successor officials or employees. Copies of Government records may be removed unless they relate to any pending or contemplated civil,

criminal, or administrative proceeding or other program activity when the information, if released, would impair or prejudice the outcome of the proceeding or Government policy determinations, decisions, or other actions.

#### **4.7 Recordkeeping Policies and Practices**

To ensure that the transfer site/program identifies and addresses all records to be transferred to LM, the transfer site/program should review documents such as its Work Breakdown Structure, Annual Work Plans, program and project summaries, past records inventories, current and archived file plans, and indices to record collections. This review is important because recordkeeping policies and practices may have changed over time and may vary between site contractors and subcontractors. Incompatible indexing methods, filing systems, and recordkeeping represent potential problems to efficient records disposition and retrieval. Inconsistent documentation and the need to integrate related contractor/subcontractor records could become an unsolvable problem for LM. Many cleanup programs and projects are matrixed and may involve more than one contractor, subcontractor, or DOE location.

## 5.0 Records Management Guidelines

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This section provides LM guidance on the types of records and records management activities that are necessary for a smooth transfer of records responsibilities from the transfer site/program to the LM records program.

### 5.1 Non-Record Materials

Non-record materials are Government-owned informational materials that are excluded from the legal definition of records or do not meet the requirements of that definition. Non-records include extra copies of documents kept for convenience or reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibition. An unnecessary delay in disposing of such materials increases the need for additional storage and adds to overhead storage costs. As a general practice, LM will not accept non-record materials from a closure site.

Non-record materials should be filed or maintained separately from record material. If non-record material is not segregated within an organization, it can be difficult to determine whether a document is record or non-record. In most cases, office records are kept together and not within an individual's working files, but this is not always true. Therefore, it is important for a site to have an exit interview policy that facilitates the identification of record and non-record materials among office documents.

Some documents are non-records because they have not been managed as records. For example, undocumented photographs or negatives are of no evidential value and should not be retained as records or transferred to the LM records program. Conversely, materials that ordinarily would be considered non-records may be considered records because of their inclusion in a specific and unique collection of evidential materials or because of regulatory or procedural requirements. The transfer site/program will work with LM to identify and resolve concerns of this type related to document collections.

Libraries and reading rooms are other sources of non-record materials. The transfer site/program should identify whether non-record materials maintained specifically for site or public reference should be retained to support LM activities, including public interaction. While these documents do not belong within the LM records management program, they could be incorporated into the LM information management program, as appropriate.

### 5.2 Inventory and Schedule

The transfer site/program should provide an up-to-date inventory of records holdings. As part of the inventory process, a DOE Records Inventory and Disposition Schedule (RIDS) should be completed for the records. This process requires that the record inventories adhere to NARA-approved schedules for records disposition. If an appropriate records disposition schedule does not exist, the transfer site/program will notify LM. LM will work with the transfer site/program and OCIO to develop an appropriate records schedule for submission to NARA for approval. Appendix F includes an example of a DOE RIDS form.

If the appropriate records schedule is not available in the DOE Administrative or Program-Specific Schedules, the transfer site/program must submit a Standard Form (SF) 115, Request

for Disposition Authority, for NARA approval prior to records disposition. Appendix F includes an example of an SF 115.

Appendix F includes examples of NARA and U.S. Environmental Protection Agency (EPA) inventory forms for reference.

### **5.3 Unscheduled Records**

LM will not accept unscheduled records other than those needed for long-term surveillance and maintenance or those for which a draft schedule is pending approval from NARA. The transfer site/program must make every effort to ensure that all records are scheduled prior to transfer to LM. If an appropriate records schedule does not exist, the transfer site/program should identify this problem early in the transition process so that a draft schedule can be developed and submitted to NARA for approval. Ideally, NARA will approve the schedule before the records are transferred to LM. However, LM will accept unscheduled records if a draft records schedule has been prepared and submitted to NARA. LM will work with the transfer site, OCIO, and NARA to ensure that the records schedules reflect the long-term needs for LM access to information and records.

### **5.4 Disposition**

LM will not accept ownership or custody of any records that are not appropriately inventoried, scheduled, and dispositioned by the transfer site. In addition, the transfer site/program will develop all recordkeeping documentation necessary for records disposition and provide the documentation to LM, OCIO, and NARA, as appropriate. The SF 258s, Request to Transfer, Approval, and Receipt of Records to the National Archives of the United States, should be completed and submitted to NARA with all permanent records transferred to the National Archives.

Records that are transferred from the transfer site/program to LM should be accompanied by a records inventory for each box and completed SF 135s, Records Transmittal and Receipt. Finding aids and indices should also accompany records transferred to LM. All Federal records in the possession of the transfer site/program contractors and the agency will be transferred to an LM-preferred storage location. Appendix F includes examples of the SF 258 and the SF 135.

During the site closure process, issues may arise relating to the "loan" or transfer of current records or records past their retention date to outside entities or other Federal agencies. The transfer site/program will work with LM, OCIO, and NARA to determine the appropriate action. The LM and Transfer Site Transition Leads, with NARA approval, will make the final decision.

### **5.5 Abandoned Records and Lost Information**

Agency- and past and present contractor- and subcontractor-held Federal records are important documentation of DOE actions and decisions. The transfer site/program is responsible for ensuring that these records are not abandoned or lost but are accounted for and responsibly managed until they are transferred to LM.

Until site closure, many records are actively used and maintained to perform work at the closure sites. Records can be lost or abandoned in the movement of people and activities at the closure site. To ensure that site records are retained through closure, sites should implement accountability procedures to protect these records.

Employees should be held accountable to management for the preservation of site records in their custody and should be prohibited from abandoning records. Individual custody of records can be discouraged through the establishment and use of centralized files, thereby reducing the volume of paper stored in work areas. As employees transfer to other organizations, records that are retained in the central location are protected.

Responsible management of records should be made part of the employee transfer or closeout process. The transfer site should implement a program of exit interviews that focus on the institutional knowledge gained in technical areas and document actions taken and outcomes. Written reports of the content of these interviews should be retained as a recordkeeping requirement until the information is no longer needed for documentation of a set of records.

## **5.6 Recordkeeping Systems**

LM must receive all documentation and information associated with the records that are being transferred to LM, such as SF 135s, SF 258s, finding aids, indices, and other available information related to the record collections. All data from transfer site recordkeeping systems must be transferred to LM to support the LM records management program. LM has chosen Hummingbird software as its standard electronic records management system. Data requirements for the LM system are based on the data available in closure site recordkeeping databases and LM records management needs. LM and the transfer site/program will work together to develop the necessary data interfaces that will enable a data transfer from the transfer site system to the LM system.

## **5.7 Electronic Documents and Data Formats**

A cost-effective method for accurate electronic media transfer will be coordinated between the transfer site/program and LM. The types of media accepted by LM are based on the availability of electronic media formats at the site and on LM needs and access requirements. LM requires that Federal Information Processing Standards (FIPS) and other common standards such as American National Standards Institute (ANSI) and Extensible Markup Language (XML) are used in electronic formats and systems and that the Federal Geographic Data Committee data standards be applied to spatial and geographic data. LM and the transfer site/program will also follow Federal guidelines regarding the management and archival of website information.

An inventory of electronic data, databases, software, e-mail, and documents should be developed as part of the records management activities at the transfer site. In addition, electronic records will be scheduled and dispositioned. If appropriate records schedules are not available, new schedules will be drafted and submitted to NARA. These electronic records will be managed consistent with NARA guidelines on the management of electronic records. Environmental, monitoring, or survey data that are needed for generating documents (e.g., drawings, tables, and maps) should be transferred to LM in electronic and paper formats. Appendix D includes information about environmental monitoring data and mapping data layers.

Databases or software and electronic or digital copies of site documents may be available, in addition to electronic formats of data. Depending on the file format, electronic documents can vary in the degree that they mirror the original document and correspondingly vary in the purpose for which they can be used. "Picture-like" copies identical to the original can be retrieved from electronic file formats such as .pdf, .tif, or .jpg files; copies that mirror the text and formatting of the original document can be retrieved from word processing, spreadsheet, or



other office-support software formats if the default printer is known; and basic content without formatting can be retrieved from .txt formats. Optical character recognition file formats may also be available to support text search capabilities.

Generally, the availability of documents in electronic format represents efficiency for the site; however, the specific electronic file format greatly affects how the electronic file can be used. For LM to receive the greatest benefit from the electronic documents available from the site, the transfer site should provide information on the use, purpose, and software related to each electronic file format. LM must know whether the electronic document is a record copy or a duplicate copy maintained for information or for convenience.

When documents are available in electronic format, records management practices can become more complicated. Common problems include the management of electronic records past their retention schedules and the existence of duplicate electronic copies of records. The transfer site should make every effort to separate record from non-record electronic files. LM, in consultation with the transfer site, will determine the fate of non-record electronic files.

The transfer of all electronic files will be coordinated between LM and the transfer site/program to ensure that all information and documentation necessary to support the use of the electronic files are also transferred. For example, software transfers should include system requirements, system documentation, and source code. If specific software is required for the use of electronic files, the software will be identified and any related issues will be resolved prior to file transfer. The file-naming conventions, an index of files, and a list of related documentation should accompany electronic file transfers. The transfer site is responsible for ensuring that the transfer is efficient and the format is both readable and usable by LM. Appendix F provides an example of a NARA inventory form for information systems and for audiovisual records.

## **6.0 Records Transfer Procedure**

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All Federal records in the possession of the transfer site/program contractors and the agency that are transferred to LM will be transferred to an LM-recommended storage facility. This facility may be a NARA records storage facility, a DOE records storage facility or site, and/or a commercial records storage facility.

### **6.1 Preparing Hard Copy Documents**

The original records or best available copies should be provided to LM. If copies rather than original documents are provided to LM, the transfer site should provide documents that are reproduced on white paper and are legible and reproducible. Documents should not be reduced in size, and color copies should be provided of color pages.

The transfer site shall organize the file folders by the same records series and place them in shipping boxes as described in the following sections. A sequential number shall be placed on each box, and a detailed index of the contents shall be placed in each box with the box number clearly identified at the top of the index. A photocopy and an electronic file of each index should also be included.

### **6.2 File Folders**

The transfer site shall place all documents in labeled file folders. Appropriate size accordion-style file folders are acceptable for large documents and case files. All labeling configurations shall be coordinated with the LM Records POC.

### **6.3 Boxing Documents for Shipment**

Folders must be placed in the boxes in an upright position so that all folder labels are visible when the box is opened. File folders of the same records series shall be placed in one box until it is full and then in successive boxes until they are filled. If file folders of a records series do not completely fill a box, then the box should be filled with folders from the next series. Partial boxes shall be packed to prevent the contents from shifting during shipping. Records transferred to NARA or other inactive records storage locations must be in NARA-approved boxes.

Active records transferred directly to LM for post-closure management of the site should be in corrugated cardboard boxes that are of the same uniform size, shape, and strength with lids (not flaps) that open in the same manner. Boxes should have two holes on opposite sides of the box to be used as handholds. The boxes should hold approximately 1 to 1.5 cubic feet of files and should not be overfilled so that the seams are stressed by volume or weight. Boxes must be securely sealed for shipping.

LM will perform a receipt inspection of the boxes that includes:

- Assessing the condition of the records on receipt and reporting any significant deficiencies.
- Reconciling the number of boxes shipped with the number of boxes received.
- Verifying box contents to transmittal form.
- Signing and returning the acknowledgement receipt to the transfer site

## 7.0 References

Title 36, *Code of Federal Regulations* (CFR), Parts 1220 through 1238.

Title 44, *United States Code* (U.S.C.), Chapter 29, *Records Management by the Archivist of the United States and by the Administrator of General Services*, Chapter 31, "Records Management by Federal Agencies," and Chapter 33, "Disposal of Records."

Title 18, U.S.C., Title 18, Part I, Chapter 101, "Records and Reports."

Title 18, U.S.C., Section 2071, covering criminal penalties for unlawful, concealment, removal, or destruction of Federal records.

Title 18, U.S.C., Sections 793, 794, and 798, covering unlawful disclosure of certain recorded information pertaining to national security.

General Accounting Office (GAO), *Policy and Procedures Manual for Guidance of Federal Agencies, Records Management*.

In addition, various statutes and implementing rules provide for the confidential or protected treatment of certain information in the custody of the U.S. Government and restrict the removal of such recorded information. For example, such statutes include, but are not limited to, 18 U.S.C. 798 governs the disclosure of security classified information; 18 U.S.C. 1905 prohibits the unauthorized disclosure of confidential information relating to the business of financial affairs of identifiable businesses; 13 U.S.C. 9 provides for the confidentiality of certain census information; 50 U.S.C. Appendix 2411 covers confidentiality of certain information obtained under the Export Administration Act; and 5 U.S.C. 552a provides for specified protection of certain personnel information about individuals.

U.S. Department of Energy Order 20-28, *Office of Federal Assistance and Management Support*, dated August 24, 1990.

U.S. Department of Energy Order 200.1, *Information Management Programs*.

U.S. Department of Energy Guide 200.1, *Implementation Guide for Use With 36 CFR Chapter 112, Subchapter B, Records Management*.

U.S. Department of Energy Order 414.1A, *Quality Assurance*

U.S. Department of Energy Manual 471.2-1C, *Classified Matter Protection and Control Manual*

U.S. Department of Energy Office of the Chief Information Officer (OCIO) Guide, *Records Management Guide for Downsizing or Terminating Programs*.

## **Appendix A**

### **Abbreviations and Definitions**

## Abbreviations

**AR:** Administrative Record

**CERCLA:** Comprehensive Environmental Response, Compensation, and Liability Act of 1980

**CFR:** *Code of Federal Regulations*

**CRADA:** Cooperative Research and Development Agreement

**DOE:** U.S. Department of Energy

**EA:** Environmental Assessment

**EEOICPA:** Energy Employees' Occupational Illness Compensation Program Act

**EM:** U.S. Department of Energy Office of Environmental Management

**FOIA:** Freedom of Information Act

**FONSI:** Finding of No Significant Impact

**FRC:** Federal Records Center

**FUSRAP:** Formerly Utilized Sites Remedial Action Program

**GAO:** General Accounting Office

**GRS:** General Records Schedules

**IG:** Inspector General's Office

**LM:** U.S. Department of Energy Office of Legacy Management

**LTS&M:** Long-term surveillance and maintenance

**MOA:** Memorandum of Agreement (internal to an agency)

**MOU:** Memorandum of Understanding (external to an agency)

**NARA:** National Archives and Records Administration

**NEPA:** National Environmental Policy Act

**NPL:** National Priorities List (Related to CERCLA)

**NRC:** U.S. Nuclear Regulatory Commission

**NWPA:** Nuclear Waste Policy Act

**OCIO:** U.S. Department of Energy Office of Chief Information Officer

**OSTI:** U.S. Department of Energy Office of Scientific and Technical Information

**POC:** Point of contact

**RCRA:** Resource Conservation and Recovery Act of 1976

**ROD:** Record of Decision

**SARA:** Superfund Amendments and Reauthorization Act of 1986

**UMTRA:** Uranium Mill Tailings Remedial Action Project

**UMTRCA:** Uranium Mill Tailings Remediation Control Act of 1978

**USACE:** United States Army Corps of Engineers

**U.S.C.:** *United States Code*

**WBS:** Work Breakdown Structure

## Definitions

**Adequate and proper documentation:** A record of the conduct of government business that is complete and accurate to the extent required to document the organization, function, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the government and of individuals directly affected by the agency's activities.

**Accession:** (1) The transfer of the legal and physical custody of permanent records from an agency to the National Archives. (2) The transfer of agency records to a Federal records center for temporary storage. The agency retains legal custody of the records. (3) The records so transferred. Also called accessioned records.

**Active record:** see CURRENT RECORD

**Administrative Record:** A set of documents that forms the basis for selection of a response action under Section 113(j) of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), as amended by the Superfund Amendments and Reauthorization Act of 1986 (SARA). Judicial review of any issue concerning the adequacy of any response action is limited to the record.

**Administrative records:** Those records created by several or all Federal agencies in performing common facilitative functions that support the agency's mission activities, but do not directly document the performance of mission functions. Administrative records relate to activities such as budget and finance, human resources, equipment and supplies, facilities, public and congressional relations, and contracting.

**Alienation:** Unlawfully transferring records or losing custody of them to an unauthorized organization or person.

**Case files:** Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. They are usually filed by a unique name or number and a particular event or action causes the case to be closed or become inactive.

**Current records:** Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.

**Cutoff:** The breaking, or ending, of files at regular intervals, usually at the end of a fiscal or calendar year to permit their disposal or transfer in complete blocks and to permit setting up new subject correspondence files. Case files are generally cut off at the end of the year in which the case is closed.

**Disposition:** The action taken with regard to records after their appraisal by the National Archives and Records Administration (NARA). It includes  
Destruction of temporary records no longer needed for the conduct of business;  
Transfer of inactive records to a Federal Records Center;  
Transfer of permanent records to NARA that have sufficient historical or other value to warrant continued preservation; or  
Donation of temporary records to an eligible person or organization after the authorized retention period had expired and after NARA has approved the donation.

**Documentary materials:** A term for records, nonrecord materials, and personal papers that refers to all media containing recorded information, regardless of the nature of the media or the method(s) or circumstance(s) of recording.

**Electronic records:** Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 U.S.C. 3301.  
(Source: 36 CFR 1234.2)

**E-mail records or system:** The process or result of sending and receiving messages in electronic form via remote computer terminals.

**Evidential value:** The usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. Considered by NARA in appraising records for permanent retention.

**Federal records:** (see RECORDS)

**Federal Records Center (FRC):** A records center operated by the Federal Government through the National Archives and Records Administration (NARA).

**File custodian:** A files custodian, or records custodian, is an individual who has been assigned responsibility or is accountable for the operation of a file station or, in some cases, a particular records series.

**File plan:** A document containing the identifying number, title or description, and disposition authority of files held in an office.

**File station:** Any location in an organization at which records are maintained for current use.

**Filing system:** A set of policies and procedures for organizing and identifying files or documents to facilitate their retrieval, use, and disposition. Sometimes called a recordkeeping system.

**Finding aids:** Indexes or other lists, whether manual or automated, that are designed to make it easier to locate relevant files or retrieve information.

**Geospatial data:** Digital geographic data primarily for use in geographic information systems (GIS), image processing systems, and other modeling software. These data collections can be searched through a single interface based on their descriptions or metadata.

**Inactive records:** Inactive records, also called non-current records, are records that are no longer required to conduct agency business and, therefore, are ready for final disposition.

**Index:** A manual or automated listing arranged by record series or system to speed retrieval files.

**Holding/staging area:** Agency Space assigned for the temporary storage of records after their cutoff and removal from office space but before their destruction or their transfer to a Federal or agency records center or to the National Archives. Also called staging area. (See also RECORDS CENTER).

**Management Information System (MIS):** (1) An organization's procedures for accumulating, processing, storing, and retrieving valuable information. (2) Management aided by automatic data processing (ADP).

**Metadata:** Data about the data, that is, the description of the data resources, its characteristics, location, usage, and so on. Metadata are used to identify, describe, and define user data.

**Microform:** A medium containing greatly reduced images or microimages. Types of microforms include microfilm, microfiche, x-rays, aperture cards, and computer output microfilm.

**Non-record materials:** Federally owned informational materials that do not meet the statutory definition of records (44 U.S.C. 301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

**Noncurrent records:** Records that are no longer required to conduct agency business and are therefore ready for disposition.

**Permanent records:** Records with sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or other fiscal purposes. Sometimes referred to as archival records.

**Personal papers:** Personal papers are of a private nature and are related solely to an individual's own affairs. Personal papers do not meet the definition of Federal records, are not associated with agency business, and are not owned by the Government (e.g., documents related to professional organizations, copies of personnel actions). Personal papers shall be clearly designated as such and shall at all times be maintained separately from official Federal records.



**Quality assurance record (NQA-1):** Records for work licensed by the U.S. Nuclear Regulatory Commission (NRC) or an NRC Agreement State and subject to the quality assurance requirements of that agency. Title 10 *Code of Federal Regulations* Part 50 provides the applicable regulations.

**Records:** "All 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 U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stacks of publications and of processed documents are not included." (44 U.S.C. 3301)

**Records Center:** A facility for the low-cost storage and servicing of records pending their disposal or transfer to the National Archives. Includes NARA-authorized agency records centers, NARA-operated Federal records centers, and commercial records storage facilities.

**Records management:** The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance, use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.

**Recordkeeping requirements:** All statements in statutes, regulations, Department orders, and operating unit directives that provide general and specific guidance for personnel on particular records to be created and maintained.

**Recordkeeping system:** A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. (Source: 36 CFR 1220.14)

**Records schedule:** A document that prescribes mandatory retention periods and final disposition instructions when records are no longer needed for current Government business. Records disposition schedules must be approved by NARA. By regulation, Federal records may not be destroyed without an approved records disposition schedule.

**Record series:** File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind or transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access or use.

**Records Transition Plan:** Documents the various elements of the site records collection and the methodology to transfer information and records.

**Semicurrent Records:** Records required so seldom to conduct agency business that they should be moved to a holding area or directly to a records center. (See also CURRENT RECORDS, NONCURRENT RECORDS).

**Site Transition:** Site transition is the interim period while remediation is being completed and prior to transfer of a site to LM. During the transition period, activities may include preparation of a transition plan(s), long-term stewardship, transferring real property, legal agreements, and identification and acquisition of records and data necessary to continue site maintenance, operations, and commitments.

**Standard Form 115, Request for Records Disposition Authority:** The form used by Federal agencies to obtain disposition authority from NARA for records to which the General Records Schedules are inapplicable. See Appendix F.

**Standard Form 135, Records Transmittal:** The form to be submitted by agencies to a Federal Records Center when transferring records. See Appendix F.

**Standard Form 258, Request To Transfer, Approval, and Receipt of Records to National Archives of the United States:** The form used by Federal agencies to transfer legal custody of permanent records to the National Archives. See Appendix F.

**Subject correspondence files:** Records arranged and filed according to their general informational or subject content. Such files are mainly letters and memorandums but may also consist of forms, reports, and other materials, all relating to program and/or administrative functions, not to specific cases.

**Temporary record:** Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposable records or nonpermanent records. All records that are not "permanent" are temporary records.

**Transfer site:** A transfer site is established when the site's selected remedy has been implemented and there is no ongoing mission at that site. Transfer sites include DOE closure sites.

**Unscheduled records:** Records whose final disposition schedule has not been approved by NARA.

**Vital records:** Records that 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 the Government's actions (legal and financial rights records). Vital records must be protected against damage and loss. The most common method of protection is creation of duplicate copies for off site preservation.

**Working files:** Preliminary drafts, rough notes, and similar materials that were used to prepare final copies. Working files may meet a statutory definition of records and shall be maintained to ensure adequate and proper documentation if:

- a They are circulated and made available to employees other than the creator for official purposes such as approval, comment, action, recommendation, follow-up, or to communicate with agency staff about agency business; and
- b They contain unique information, such as substantive annotations or comments, or provide a clear path to a proper understanding of the agency's formulation and execution of policies, decisions, actions, or responsibilities.

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## **Appendix B**

### **Information and Records Transition Plan Guidance**

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# Records and Information Transition Plan (*example*)

## 1.0 Purpose

This document establishes the requirements and responsibilities for the efficient and cost-effective transition of records and other information products from the transfer site to the U.S. Department of Energy (DOE) Office of Legacy Management (LM).

This document applies to all transfer site records as defined under the Federal Records Act (44 *United States Code* [U.S.C.] 3101), “regardless of media” that were created, collected, processed, used, stored, or dispositioned by DOE organizations and those contractors acting as their agents.

In addition to the broad strategy and considerations discussed in the *LM Information and Records Transition Guidance* document, each transfer site faces a number of challenges, each with its own unique set of issues, as it proceeds toward closure. LM also faces challenges as it readies to accept records from transfer sites. The transfer site should include detailed information in its Information and Records Transition Plan about the types of records described in this appendix.

## 2.0 General Records Information

The Records Transition Plan should provide current and historical information about the site’s record collections, including

- Federal and contractor points of contact for records management issues, information technology, etc.
- Inventory of all records.
- Current records volumes.
- Estimated volumes at time of site transfer (identifying active and inactive records).
- Finding aids.
- Inventories of Standard Forms 115, 135, and 258 and any other documents describing record transfers, destruction, or other disposition of Government records.
- Record storage locations (classified and unclassified records), including on-site, commercial, Federal Record Centers, and any other storage locations.
- Record storage costs, leases, services, etc.
- Timetables, milestones, etc.

## 3.0 Special Requirement Records

### 3.1 Administrative Record

The Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), Section 113(k), and other acts and agreements stipulate that an Administrative Record shall be established to serve as the basis for an environmental response action. The regulations governing the implementation of the Administrative Record are contained in 40 *Code of Federal Regulations* (CFR) Chapter 300.800–825. This CFR identifies the responsibility for establishing and maintaining the Administrative Record at the site where the cleanup is performed. The transfer site shall provide information to LM on the contents of the Administrative Record, the media type, storage location, and any finding aids.

### 3.2 Audiovisual Records

Audiovisual records are records in pictorial or oral form that include still and motion pictures, graphic materials, audio and video recordings, and combinations of media, such as slides or video productions. These materials are considered records in the same way as a letter, memorandum, or case file is related to official business, and the basic principles and practices of managing paper records apply; these collections should be included in the transfer site's record inventory. The transfer site should provide LM with information about these collections and their storage locations.

### 3.3 Audit Records

Audits are usually limited to accounting and contract-related records. If the transfer site is undergoing any audits that require LM's support during and after transition, the audit number and the level of support required by LM must be included in the Records and Information Transition Plan.

### 3.4 Classified Information Systems

All classified information systems must be marked with the classification level of the contents. All classified electronic media must have the overall classification level and category (if Restricted Data [RD] or Formerly Restricted Data [FRD]) visible on the front and back of the medium. Media must be marked using Standard Forms (SF-710 for unclassified, SF-709 for classified, SF-708 for Confidential, SF-707 for Secret, and SF-706 for Top Secret). Locally developed labels containing the information on the Standard Forms may be used. Classifier markings are not required on the exterior of electronic media. When a platen or disk is removed from its manufacturer's case, it must be marked with the classification level and category (if RD or FRD) if it is not immediately destroyed. Unclassified Controlled Nuclear Information (UCNI) and Official Use Only (OUO) should also be properly marked.

### 3.5 Classified Material

During site transition, the protection of classified material shall be in accordance with DOE Manual 471.2-1C, *Classified Matter Protection and Control Manual* (this manual cancels DOE Manual 471.2-1B, dated 1-6-99, except for Chapter III, paragraphs 1 and 2 and Chapter IV) and the *Site Security Manual*, Chapter 6, "Information Security."

- a. Classified information, regardless of its form, shall be afforded a level of protection against loss or compromise commensurate with its level of classification.
- b. Classified matter shall be processed, handled, and stored in security areas providing control measures equal to or greater than those present in Limited Areas. When Top Secret or Secret matter is not processed, handled, and/or stored within Limited Areas or above, it shall be maintained in an accountability system as required by the DOE Manual.
- c. Facilities, buildings, rooms, structures, etc., shall be afforded the protection measures necessary to prevent unauthorized persons from gaining access to classified matter.
  - (1) Measures shall be in place to prevent unauthorized persons from having visual or audio access to classified information.
  - (2) If required, Technical Surveillance Countermeasure (TSCM) requirements will be followed as required by the *TSCM Procedural Manual*.

If a transfer occurs, information on the records and where the records were transferred should be provided to LM.

### **3.6 Compensation Programs**

DOE is required to process compensation claims and provide verification of employment, exposure information, medical data, and any other applicable information that may support the claim. Records that are being frequently used to support compensation programs, such as Energy Employees Occupational Illness Program Act (EEOICPA) and the Radiation Exposure Compensation Act (RECA), should be identified by accession number in this plan. The identification should include a description of the record series, volumes, and frequency of use.

### **3.7 Congressional Requests**

The transfer site should identify any congressional requests for information that are ongoing and must be supported by LM after transition.

### **3.8 Contaminated Records**

The transfer site will ensure that contaminated records containing external impurities that render the media on which the records are stored unsafe for human handling without special precautions are handled properly. The transfer site must identify the types of contaminated records maintained at its site. Include in this plan, if applicable, a matrix that outlines types of contamination and any applicable governing regulations. The transfer site should identify how the contaminated records will be processed to ensure LM does not receive contaminated records.

### **3.9 Contract/Proprietary Records**

The transfer site must not close any contract files that are under litigation or appeal or if a termination has taken place and all termination actions have not been completed. Contract closeout activities can extend for several years. Any contract actions that are to be inherited by LM must be identified in this plan. With the new small business initiatives undertaken by DOE, some contractors will have created a “contract file” that includes documents that are the property of the contractor. The transfer site must review these files to ensure that they do not contain Federal records.

### **3.10 Damaged or Deteriorating Records**

The transfer site is responsible for identifying in this plan any records or information systems that show premature signs of deterioration or are damaged. The transfer site should identify the recovery method and plan for these records.

### **3.11 Disaster Prevention and Recovery Program/Vital Records**

The transfer site must ensure that policies, plans, and procedures are in place during site transition to protect and to reconstruct records in the event of an emergency.

Vital records are divided into two categories. The first category is emergency operating records, which are records essential to the continued functioning or reconstitution of an organization before, during, and after an emergency. The second category is rights and interests records, which are records essential to protecting the rights and interests of an organization and the individuals affected by its activities. Vital records also are referred to as essential records and are an integral part of an agency’s disaster prevention and recovery program. LM is responsible for implementing a program to protect and recover vital records if there is a natural disaster, hazard, or civil defense emergency after transition. Lists of both Federal and contractor records vital records should be provided. The lists should include records series, volumes, backup storage locations, and associated costs.



### **3.12 Electronic Records**

Electronic records can be created using various types of computer systems, such as personal computers, distributed network environments, mainframe data processing environments, spatial data systems, or other multi-media systems. Electronic records can be stored on different types of storage media, such as hard disks, floppy diskettes, audio and videotapes, digital phones, CD-ROMs, optical disks, magnetic optical disks, Bernoulli disks, Zip disks, and digital videodisks. The transfer site should identify electronic records, whether the electronic record is the official record, and the proposed disposition.

Some electronic information systems at the transfer sites are not considered recordkeeping systems, but should be evaluated by LM prior to their destruction. Both the electronic systems and the information contained on those systems must be maintained according to approved retention schedules. Upon shutdown, the systems, along with the information contained therein, must be archived in a retrievable and usable format. The transfer site must provide LM with an inventory of its electronic systems and other databases that support long-term surveillance and maintenance.

### **3.13 Freedom of Information Act (FOIA)**

Transfer site information will be made available to the fullest extent possible to public, local, state, and other Federal Government entities unless it is exempt from mandatory public disclosure pursuant to one or more of the exemption provisions of the Freedom of Information Act, 5 U.S.C. 552 (Public Law 92-23, as amended), other applicable statutes, or the information is considered classified. The transfer site should provide the status of any ongoing FOIA actions, statistics on the number of FOIA requests received in the previous 12 months with estimated response times, projected volumes at site turnover, and backlog of any FOIA requests in the plan. Responsibility for any ongoing FOIA requests at the time of site turnover will remain with the transfer site.

### **3.14 Litigation**

The transfer site may be involved in litigation at the time of transition. The Office of General Counsel, in preparation for or anticipation of litigation, may need to identify and have access to large volumes of records. If litigation is planned to continue through transition, the transfer site should identify these records and notify the Office of General Counsel as soon as possible to determine records requirements. Records related to ongoing litigation will not be transferred to LM but will remain in the custody of the office responsible for the litigation.

### **3.15 Micrographic Collections**

The transfer site shall identify in this plan any microfilm collections, including any computer-output microfilm. The transfer site shall identify and provide LM with finding aids or equipment needed to retrieve records from these collections.

### **3.16 Moratorium**

The transfer site must identify records that are currently under moratorium and include record volumes and locations. Environmental, safety, and health records are currently under a destruction moratorium. A list of records series included in the moratorium can be obtained from the Office of Environment, Safety and Health or the DOE Chief Information Officer's office.

### **3.17 Office of Scientific and Technical Information (OSTI)**

The transfer site must continue to provide the Office of Scientific and Technical Information (OSTI) with scientific and technical information (STI) as required by DOE. This requirement includes STI funded by DOE or developed under Work for Others agreements and Cooperative

Agreements (unless specifically excluded in the agreement under which the work is done), whether unclassified, sensitive, or classified. The transfer site must ensure that STI (including deliverables prepared by contractors) is received by OSTI before transition of the site to LM.

### **3.18 Pension and Benefit Records**

The transfer site should provide LM with the necessary information required to administer the pensions and benefits for eligible employees. This information, media types, volumes, and finding aids should be identified in this section.

### **3.19 Permanent Records**

Permanent records have sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes these records are referred to as “archival records.” A copy of all NARA SF-258 forms shall be provided to LM. The transfer site should also identify any permanent records that have not yet been dispositioned to NARA.

### **3.20 Contractor Personnel Records**

DOE Acquisition Regulations establish that some records are the property of the contractor. During review of site contracts and agreements for ownership, management, and disposition of records clauses, the transfer site should establish ownership for the records contained in those series. Specifically, the transfer site should address whether contractor personnel/health records are contractor or Federal records and, if contractor records, the agreed-upon retention periods and whether LM/EH wants to maintain copies for EEOICPA, dose reconstructions, health studies, etc. Records stored at Federal Record Centers that will be the responsibility of LM should be identified by accession number, and a copy of the applicable SF-135s should be provided.

### **3.21 Photograph Collections**

Photographs are Federal records that require more stringent standards to ensure their preservation. These collections should be included in the transfer site records inventory the same as and in the context of paper records. The transfer site should identify photographs that show signs of premature deterioration.

### **3.22 Privacy Act Records**

Include the status of any ongoing Privacy Act actions in the plan. The transfer site should include the location of any active records and identify the accession numbers for any collections that have been sent to a Federal Records Center or to a private storage area.

### **3.23 Reference and Library Collections**

The transfer site should identify all reference/library collections and a point of contact for each, designate those required for long-term surveillance and maintenance activities, and provide recommendations for donation in the following sequence (1) EM/LM offices, (2) other DOE sites and offices, and (3) other Federal agencies.

### **3.24 Sensitive Records**

The site is to identify sensitive records in this section. The transfer site should include volume, provide information on why the records are sensitive, how they are handled currently, and how they will be handled during collection/transfer.

### **3.25 Unscheduled Records**

The transfer site should identify any unscheduled records collections and provide a plan of action for scheduling these records. LM will not accept any unscheduled records.

### **3.26 Weapons-Related Records**

Many of the transfer sites will have created, managed, and dispositioned key historic, current, and future nuclear weapons information and data. During the transition, the transfer site will need to ensure that nuclear weapons information, data, and documentation is adequately protected and stored and only made available to staff from both groups on a need-to-know basis. The transfer site must provide LM with the status of these collections and identify those records that have been transferred to a Federal Records Center, other DOE facilities, or other storage facilities.

## **4.0 Issues/Recommendations**

In this section, the transfer site should identify any issues associated with the transfer of information and records to LM. Any issues that may have an effect on other transitioning entities must also be identified and brought to the attention of the Transfer Site and LM Transition Leads and should be identified in the overall integrated transition plan. The transfer site should also provide recommendations to resolve the issues.

## **5.0 Information and Records Identification Process for Post-Closure Management of Site**

The transfer site should identify and segregate active information and records needed by LM for post-closure management of the site. Descriptions are provided in Appendixes D and E of the *Legacy Management Information and Records Management Transition Guidance*.

## **Appendix C**

### **Records Transfer Acceptance Criteria Checklist**

## Records Transition Acceptance Criteria Checklist

| Acceptance Criteria  | Point of Contact | Transfer Site Completion Date | LM Approval Date | Notes |
|--|------------------|-------------------------------|------------------|-------|
| A final inventory of records collections provided including volumes, storage locations, and media. (Inventory should include special requirement records.) |                  |                               |                  |       |
| All records, data, and associated databases have been dispositioned.   |                  |                               |                  |       |
| Records finding aids provided.   |                  |                               |                  |       |
| Training on records finding aids provided.   |                  |                               |                  |       |
| Copies of SF-135s and SF-258s provided.  |                  |                               |                  |       |
| SF-115s for any unscheduled records have been prepared and submitted to DOE-HQ.  |                  |                               |                  |       |
| NARA notified in writing of change in custodianship for records at NARA facilities.  |                  |                               |                  |       |
| Information and records have been identified for post-closure management of site.  |                  |                               |                  |       |
| All records management issues have been resolved.  |                  |                               |                  |       |
| If applicable, the complete Administrative Record has been provided in both paper and electronic copy.   |                  |                               |                  |       |
| Verification of receipt of records at LM-approved storage locations.   |                  |                               |                  |       |

## **Appendix D**

### **Geospatial Data Layers**

| Environmental Monitoring Data and Mapping Data Layers<br>Required for Long-Term Stewardship |  |
|---|--|
| Primary Description   | Secondary Description                                    |
| Access Agreement Information  |  |
| Access Road   |  |
| Aerial or Satellite Imagery   |  |
| Boundary  | Archeological Boundary                                   |
| Boundary  | City Boundary  |
| Boundary  | County Line/Boundary                                     |
| Boundary  | Debris Boundary  |
| Boundary  | Disposal Cell Boundary                                   |
| Boundary  | Dump Boundary  |
| Boundary  | Institutional Control Boundary                           |
| Boundary  | Lease Boundary   |
| Boundary  | Parcel Boundary, DOE-Acquired Tract or Lease Boundary    |
| Boundary  | Pile, One Pile or Waste Rock Pile                        |
| Boundary  | Right-of-Way Easement for Utilities, Roads, and Highways |
| Boundary  | Site Boundary  |
| Boundary  | State Line/Boundary                                      |
| Boundary  | Supplemental Standards Boundary                          |
| Boundary  | Tailings Boundary  |
| Boundary  | Vicinity Properties Boundary                             |
| Boundary  | Zoning Boundary  |
| Building  | Building Constructed of Concrete                         |
| Building  | Building Constructed of Earth                            |
| Building  | Building Constructed of Metal                            |
| Building  | Building Constructed of Stone                            |
| Building  | Building Constructed of Wood                             |
| Cell Performance Monitoring Network   |  |
| Concrete  | Pads, Sidewalks, Curbs, Walls, etc.                      |
| Culvert   | Culvert  |
| Dam   | Dam  |
| Entrance Gate   |  |
| Entrance Sign   |  |
| Fence   | Barbed Wire Fence  |
| Fence   | Chain-Link Fence   |
| Fence   | Gate (any material)                                      |
| Fence   | Wood Fence   |
| Geologic Cross Sections   |  |

| Environmental Monitoring Data and Mapping Data Layers<br>Required for Long-Term Stewardship |   |
|---|---|
| Primary Description   | Secondary Description   |
| Grid  | Local Coordinate System Grid                                      |
| Grid  | State Plane Coordinate System Grid                                |
| Groundwater Compliance Monitoring Network   |   |
| Historic feature  | Historic Feature (of significance)                                |
| Lithology Information   |   |
| Location Information  |   |
| Monitor Location  | Monitor Wells, Boreholes, Surface Sample/Air Monitoring Locations |
| Monitor Well Construction Information   |   |
| Monitor Well Lithology and Completions Logs   |   |
| Monument  | Aerial Photo Panel  |
| Monument  | Angle Point Corner  |
| Monument  | Benchmark   |
| Monument  | Boundary Monument   |
| Monument  | Combined Survey Monument and Boundary Monument                    |
| Monument  | Erosion Monument  |
| Monument  | Section Corner, Assumed USGS                                      |
| Monument  | Settlement Plate  |
| Monument  | Site Marker   |
| Monument  | Survey Control Monument or Survey Control Point                   |
| Monument  | Triangulation Monument, Assumed USGS                              |
| Monument  | Vertical Angle Benchmark, Assumed USGS                            |
| Monument  | Witness Corner, Assumed USGS                                      |
| Other Site-Specific Surveillance Feature  |   |
| Perimeter Fence   |   |
| Perimeter Signs   |   |
| Photographs (current and/or historic)   |   |
| Pipe  | Conduit   |
| Pipe  | Effluent Pipe   |
| Pipe  | Horizontal Well Pipe  |
| Pipe  | Horizontal Well Pipe Screened Interval                            |
| Pipe  | Influent Pipe   |
| Pipe  | Recovery Line   |
| Pit   | Pit   |
| Plume   | Extent Boundary or Concentration Contours                         |
| Potentiometric Surface  |   |
| Railroad  |   |



| Environmental Monitoring Data and Mapping Data Layers<br>Required for Long-Term Stewardship |   |
|---|---|
| Primary Description   | Secondary Description   |
| Riprap  | Riprap Location   |
| Road  | Asphalt or Concrete Road (improved/paved), Includes Driveway, Parking Lot, Airport Runway |
| Road  | Bridge  |
| Road  | Dirt Road (unimproved), Includes Trail, 4WD road, ATV Access, Driveway and Parking Lot    |
| Road  | Gravel Road (improved), Includes Driveway, Parking Lot                                    |
| Sample and Analytical Results Information   |   |
| Sampling Plan Information   |   |
| Section   | Section Lines, Includes Section, Township, and Range Information                          |
| Slurry Wall   |   |
| Topographic Contours  |   |
| Trench  |   |
| USGS 1:24000 Quadrangle Map   |   |
| Utility   | Compressed Air Line and Valve   |
| Utility   | Electric Line, Control Panel, Junction Box, Power Pole, Transformer, and Light Pole       |
| Utility   | Gas Line and Valve  |
| Utility   | Sanitary Sewer Line, Manhole and Drain  |
| Utility   | Storm Drain Manhole   |
| Utility   | Tank  |
| Utility   | Telephone Line, Pole, or Junction Box   |
| Utility   | Water Line, Valve, Pump, Manhole, Hydrant, and Drain                                      |
| Vault   |   |
| Vegetation  |   |
| Water   | Canal   |
| Water   | Ditch   |
| Water   | Lagoon and Slough   |
| Water   | Lake  |
| Water   | Location of Island in River   |
| Water   | Man-made Drainage Features  |
| Water   | Pond, Stock Pond, Frog Pond and Raffinate Pond  |
| Water   | Stream and Intermittent Stream  |
| Water-Level Information   |   |
| Wetland   |   |

**Appendix E**

**Office of Legacy Management**

**Records/Data Needs for Post-Closure Management of Site**

## Office of Legacy Management

### Records/Data Needs for Post-Closure Management of Site

#### Purpose

This document is intended as a tool to assist DOE and contractors with records management responsibilities to

- (1) Identify the information needed to facilitate the transfer of site records from the Transfer Site to the Office of Legacy Management.
- (2) Identify access and media needs for the site's records.
- (3) Identify existing records disposition schedules that can be used for preserving and providing appropriate access to this information.

In many instances, key programmatic documents will address the various types of data; however, the current and future records custodians must ensure that the documents contain a sufficient level of detail before the document is accepted as the only source of records information.

#### User Groups

|                     |   |
|---------------------|---|
| Custodian (Cust)    | The agency responsible for evaluating and maintaining remedy performance of sites in long-term stewardship.                 |
| Stakeholder (Stake) | An organization, agency, or individual with regulatory oversight or financial, environmental, legal, or personal interests. |

#### Media Annotations

|                  |                      |
|------------------|----------------------|
| E <sub>doc</sub> | Electronic documents |
| E <sub>d</sub>   | Electronic data form |
| E <sub>m</sub>   | Electronic maps      |
| E <sub>pdf</sub> | PDF File             |
| P                | Paper                |

#### Regulatory Annotations

The following notations have been used for the type of site since the regulations impact the content of the stewardship collection:

C (CERCLA), F (FUSRAP), N (NHPA Section 151), R (RCRA), U (UMTRCA), and X (all sites). (Consult GJO Mapping Features Naming Standards document for additional detail of mapping elements.)

| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| <b>Custody and Long-Term Care Licensing Information</b>  |                 |                   |                           |                              |
| Long-Term Surveillance and Maintenance Plan (LTSP) includes administrative plans, site management plans, and stewardship plans (includes pertinent correspondence and records of review) | X               | X                 | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Decommissioning plans [includes pertinent correspondence and records of review]  |                 | X                 | X                         | X                            |
| Transition and Transfer Plans and Support Documents [includes pertinent correspondence and records of review]  |                 | X                 | X                         | X                            |
| Long-Term Surveillance Fee Determination [includes pertinent correspondence]   |                 |                   | UN                        | UN                           |
| Custody and Long-Term Care License (e.g., NRC, USACE, and State) [includes pertinent correspondence]   |                 | X                 | X                         | X                            |
|  |                 |                   |                           |                              |
| <b>Real Estate Information</b>   |                 |                   |                           |                              |
| Legal Site Description [e.g., recorded surveyors description with township, range, section or measurements and bounds, and legal plat of property]                                       | X               | X                 | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Title(s) and Deeds and All Associated Restrictions   |                 | X                 | X                         | X                            |
| Leases   |                 |                   | X                         | X                            |
| Appraisals   |                 |                   | X                         | X                            |
| Mining claims and mineral rights   |                 | X                 | X                         | X                            |
| Water rights   |                 | X                 | X                         | X                            |
| Acquisition (includes Transfer of Jurisdiction, Declaration of Taking/Condemnation, and State Acquired Lands)  |                 | X                 | X                         | X                            |
| Right-of-way   | X               | X                 | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Easement   | X               | X                 | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Tribal Withdrawal, Custody, and Agreements   | X               | X                 | X                         | X                            |
|  |                 |                   |                           |                              |
| <b>Legal Information</b> (documents and supporting correspondence)   |                 |                   |                           |                              |
| Litigation (pending and closed) includes transcripts and relevant correspondence   |                 | C                 | C                         | C                            |
| Congressional/Senate Hearings  |                 | C                 | C                         | C                            |

| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| Settlements  |                 | C                 | C                         | C                            |
| <b>Site-Specific Legal Agreements</b>  |                 |                   |                           |                              |
| Access (for monitor well and air monitoring)   |                 |                   | X                         | X                            |
| Use (e.g., grazing)  |                 |                   | X                         | X                            |
| Memorandums of Understanding   | X               | X                 | X                         | X                            |
| Cooperative Agreements   |                 |                   | X                         | X                            |
| Tribal agreements and contracts  | X               | X                 | X                         | X                            |
| Radioactive Materials License  |                 | X                 | X                         | X                            |
| Compliance Agreements  | X               | X                 | X                         | X                            |
| <b>Institutional Control Information</b> (e.g., land use controls, restrictive covenants, zoning, easements, access control, deed restrictions)  | X               | X                 | XE <sub>m</sub>           | XE <sub>m</sub>              |
| <b>Use and Operations History Information</b>  |                 |                   |                           |                              |
| Process History (current and historical data on activities that occurred on the site, where and when these activities occurred, what infrastructure was used to support these activities, what materials were used, the products and wastes produced, historical missions, and any post-Cold War missions or activities) | X               | X                 | X                         | X                            |
| Historical Infrastructure (buildings, facilities, piping, and utilities)   |                 |                   | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Past and Current Ownership   |                 |                   | X                         | X                            |
| Current Uses   | X               | X                 | X                         | X                            |
| Historical Photos (prints and negatives) (tif/jpg if electronic)   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |

| Records/Data Needs for Post-Closure Management of Site  |                 |                   |                           |                              |
|---|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description   | Potential Users |                   |                           |                              |
|   | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|   | Public          | Regulatory Agency |                           |                              |
| <b>Programmatic Plans</b> (as applicable) and associated amendments/revisions and background documents supporting the decisions therein. Availability will be based on primary regulatory driver (e.g., UMTRCA, FUSRAP, CERCLA, NHPA, and RCRA).<br><br>Remedial Action Plan, Reclamation Plan, Radiological Engineering Assessment, Corrective Measures Study, Corrective Measures Interim Plan, Remedial Investigation, Feasibility Study, RCRA facility Assessment, Baseline Risk Assessment, RCRA Facility Investigation, Sampling Plans, Monitoring Plans, Federal Facility Agreement/FFCA | X               | X                 | CE <sub>doc</sub>         | CE <sub>doc</sub>            |
| <b>Physical Information</b> (In many, but not all, instances the physical data may be available in the programmatic plans; other locations may include white papers, technical reports, and analytical data.)   |                 |                   |                           |                              |
| Location of the site within the region (state, county, nearby towns, highways, and major waterways)   | X               | X                 | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Surface features (e.g., topographic, drainage patterns, cultural and natural resources, surface waters (including seasonal ponds, springs, and seeps), boundaries, easements, right-of-ways, and physiographic setting)   |                 |                   | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Site Characterization Reports   | X               | X                 | X                         | X                            |
| Final Site Conditions   | X               | X                 | X                         | X                            |
| As-built drawings (e.g., major components, including dimensions; buildings; disposal cells; plans and cross sections; treatment systems; drainage controls; protective barriers; and security systems.)   | X               | X                 | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Specifications  |                 |                   | X                         | X                            |
| Calculations  |                 |                   | X                         | X                            |
| Construction and As-Built Photos  |                 |                   | X                         | X                            |
| Aerial photos (oblique, orthorectified vertical) prints and negatives   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Current infrastructure (e.g., piping, water and sewer, electric, gas, phone, cable)   |                 |                   | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Keys and Access Codes to Gates, Wells, Structures, etc.   |                 |                   | X                         | X                            |
| Coordinate data for control points, wells, site monuments, site markers, signs, sample locations and other permanent features (locations in local and global coordinate systems)  |                 |                   | XE <sub>d/m</sub>         | XE <sub>d/m</sub>            |
| Geology (summary reports will suffice)  |                 | X                 | XE <sub>d/m</sub>         | XE <sub>d/m</sub>            |
| Ground Water Hydrology (summary reports will suffice)   |                 | X                 | XE <sub>d/m</sub>         | XE <sub>d/m</sub>            |

| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| <b>Physical Information (continued)</b>  |                 |                   |                           |                              |
| Geochemistry includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports.   |                 | X                 | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Soil and rock mechanics includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports.  |                 | X                 | X                         | X                            |
| Surface-Water Hydrology (and flood info) includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports.   |                 | X                 | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Site and Surrounding Area Land Use and Zoning  | X               | X                 | XE <sub>m</sub>           | XE <sub>m</sub>              |
|  |                 |                   |                           |                              |
| <b>Environmental Information</b> (baseline and current) (In many, but not all, instances the environmental data may be found in the programmatic plans, other locations may include white papers, technical reports, and analytical data.)               |                 |                   |                           |                              |
| Ecosystems On and Around the Site  |                 |                   |                           |                              |
| Vegetation (including volunteer plant growth, plant succession, and vegetation control measures)   |                 |                   | X                         | X                            |
| Wildlife (including mitigation plans)  |                 | X                 | X                         | X                            |
| Wetlands and Floodplain  |                 | X                 | X                         | X                            |
| Threatened and Endangered Species  |                 | X                 | X                         | X                            |
| Biology  |                 |                   | X                         | X                            |
| Human Values   |                 |                   | X                         | X                            |
| Archaeological/Cultural Resources (historic preservation)  | X               |                   | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Meteorology/Climate (average annual precipitation, temperature and evaporation, prominent wind direction); includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports. |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Noise  |                 |                   | X                         | X                            |
| Air  |                 |                   | X                         | X                            |
| Water Quality/Supply   |                 |                   | X                         | X                            |
| Soils  |                 |                   | X                         | X                            |
| Agricultural Distribution  |                 |                   | X                         | X                            |

| Records/Data Needs for Post-Closure Management of Site  |                 |                   |                           |                              |
|---|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description   | Potential Users |                   |                           |                              |
|   | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|   | Public          | Regulatory Agency |                           |                              |
| <b>Environmental Information (continued)</b>  |                 |                   |                           |                              |
| Pesticides  |                 |                   | X                         | X                            |
| Environmental Reports   |                 | X                 | X                         | X                            |
| Environmental Audits  |                 | X                 | X                         | X                            |
| Risk Assessments  | X               | X                 | X                         | X                            |
| Environmental Issue Correspondence  |                 | X                 | X                         | X                            |
| <b>Radon and Environmental Hazards and Related Monitoring Information</b> (excluding water) (In many, but not all, instances the radon and environmental hazards may be found in the programmatic plans, other locations may include white papers, technical reports, and analytical data.) |                 |                   |                           |                              |
| Historical and Existing Contamination   | X               | X                 | X                         | X                            |
| Location of Residual Contamination  | X               | X                 | X                         | X                            |
| Current Hazards/Contaminants Of Concern (Radioactive, Chemical, Heavy Metals, and Other Man-Made Hazards) Inventory   | X               | X                 | X                         | X                            |
| Public Exposure Data  | X               | X                 | X                         | X                            |
| Radiological Surveys  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Radon/Environmental Monitoring Correspondence   |                 |                   | X                         | X                            |
| Site Environmental Reports  | X               | X                 | X                         | X                            |
| Effluent Monitoring   | X               | X                 | XE <sub>d</sub>           | XE <sub>d</sub>              |
| CERCLA 5-Year Reviews   | C               | C                 | CE <sub>doc</sub>         | CE <sub>doc</sub>            |
| <b>Ground/Surface/Leachate Water Monitoring Information</b> (In many, but not all, instances the ground/surface/leachate data may be found in the programmatic plans, other locations may include white papers, technical reports, and analytical data.)                                    |                 |                   |                           |                              |
| Monitor and Recovery Well Permits   |                 |                   | X                         | X                            |
| Injection Well Permits  |                 |                   | X                         | X                            |
| Monitor Well Information (e.g., construction/completion/development details, lithology logs, survey/location data, active permits), Drilling/Borehole/Well Construction Logs and Well Completion Reports, Lysimeter Completion, and Geophysical Logs  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |



| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| <b>Ground/Surface/Leachate Water Monitoring Information (continued)</b>  |                 |                   |                           |                              |
| Field Log Books  |                 |                   | X                         | X                            |
| Baseline Data Reports  |                 |                   | X                         | X                            |
| Groundwater Quality (e.g., dissolved solids, major cations and anions, pH, oxidation-reduction potential, trace elements and constituents exceeding maximum contaminant levels (MCLs), range or variability in background water quality, comparison to regional data)                      | X               | X                 | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Groundwater Monitoring/Sampling Plans and Reports  | X               | X                 | X                         | X                            |
| Alternate Concentration Limits (ACLs) includes applications, approvals, comments, and correspondence.  |                 | U                 | U                         | U                            |
| Groundwater Corrective Action Plans  | U               | U                 | U                         | U                            |
| ACL application and backup data  |                 |                   | U                         | U                            |
| State Groundwater Actions, Approvals, and Reports  | X               | X                 | X                         | X                            |
| Ground/Surface/Leachate Water Monitoring Event Packages (Includes correspondence/startup letter, field log books, well maintenance checklist, sampling preparation checklist, bottle certification sheet, data validation report, monitoring trip report, and lab report/sample analysis.) |                 |                   | X                         | X                            |
| Ground/Surface/Leachate Water Correspondence if contains decisions or addresses critical issues  |                 |                   | X                         | X                            |
| Well Decommissioning (Abandonment)   |                 |                   | X                         | X                            |
| Groundwater model and its future use   | X               | X                 | X                         | X                            |
| Electronic Environmental Monitoring Data   |                 |                   |                           |                              |
| Access Agreement/Property Owner Info   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Well Construction/Screening  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Well Logs  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Data Logger  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Lithologic Data  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Sample Locations   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Permit (e.g., number, regulatory agency, dates)  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Other Point Data (e.g., spot elevations, survey control)   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |

| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| <b>Ground/Surface/Leachate Water Monitoring Information (continued)</b>  |                 |                   |                           |                              |
| Sample and Analytical Results  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Site Information (e.g., name, location, and coordinate system)   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Water Levels   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Sample Plan (e.g., frequencies, drivers, contaminants of concern [COCs])   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
|  |                 |                   |                           |                              |
| <b>National Environmental Policy Act (NEPA) Information</b>  |                 |                   |                           |                              |
| Environmental Assessment (EA) or Equivalent  | X               |                   | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Environmental Impact Statement (EIS)   |                 |                   | X                         | X                            |
| Finding of No Significant Impact (FONSI)   |                 |                   | X                         | X                            |
| Environmental Checklist (ECL)  |                 |                   | X                         | X                            |
| Record of Decision(s) (ROD) and ROD strategy   | X               |                   | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
|  |                 |                   |                           |                              |
| <b>Completion/Closure Reports</b>  |                 |                   |                           |                              |
| Certification Report   | X               | X                 | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Site Completion Report, Including Addenda and relevant correspondence and concurrences   | X               | X                 | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Verification Data  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Closeout Audit Report  |                 | X                 | X                         | X                            |
| Supplemental Standards   | X               | X                 | XE <sub>doc/m</sub>       | XE <sub>doc/m</sub>          |
| Construction Complete Report   |                 | C                 | C                         | C                            |
| Closure Plans  | X               | X                 | X                         | X                            |
| National Priorities List (NPL) Status and Deletion Documents (partial deletion) including those documents supporting the deletion process  | C               | C                 | C                         | C                            |
|  |                 |                   |                           |                              |
| <b>Site Surveillance/Inspection Information</b>  |                 |                   |                           |                              |
| Pre-Stewardship Inspection Documents (includes inspection and trip reports, photographic log and prints, job safety analysis, inspection checklists, and related correspondence) |                 |                   | X                         | X                            |

| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| Stewardship Inspection Documents (Includes inspection and trip reports, job safety analysis, inspection checklist, photographic log and prints, and inspection-specific correspondence.) | X               | X                 | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Agency Inspections (e.g., NRC, USACE, and EPA)   | X               | X                 | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Technical Issue Inspections (e.g., revegetation)   |                 | X                 | X                         | X                            |
| Inspection Field Books   |                 |                   | X                         | X                            |
| Inspection Process Correspondence  |                 |                   | X                         | X                            |
|  |                 |                   |                           |                              |
| <b>Site Maintenance Information</b>  |                 |                   |                           |                              |
| Insurance  |                 |                   | X                         | X                            |
| Utilities (gas, electric, water, sewer, irrigation, etc.)  |                 |                   | XE <sub>m</sub>           | XE <sub>m</sub>              |
| Security System(s)   |                 |                   | X                         | X                            |
| Local Law Enforcement, Conservation District, Weed Control Districts, Hospitals and Fire Department  |                 | X                 | X                         | X                            |
| Maintenance Documents (e.g., work plans, specifications, statement of work, drawings, photographic log and prints)   |                 | X                 | XE <sub>doc/m</sub>       | XE <sub>doc/m</sub>          |
| Field Inspection Logs  |                 |                   | X                         | X                            |
| Maintenance Reports  |                 | X                 | X                         | X                            |
| Maintenance Inspection Correspondence  |                 |                   | X                         | X                            |
| Maintenance Issues (e.g., vegetation intrusion, riprap degradation, fencing, security lighting, and overgrazing)   |                 | X                 | X                         | X                            |
|  |                 |                   |                           |                              |
| <b>Community Relations/Public Involvement</b> ( <i>formal public affairs and involvement</i> )   |                 |                   |                           |                              |
| Community Relations Plans  | X               | X                 | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Emergency Plans/Contingency Plans  | X               | X                 | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Emergency Notification and Reporting   | X               | X                 | X                         | X                            |
| Fact Sheets  | X               | X                 | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Points of Contact/Key Contacts List  | X               | X                 | X                         | X                            |
| Public Hearings/Meetings   | X               | X                 | X                         | X                            |

| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| News Releases on controversial issues or issues with public interest   | X               | X                 | X                         | X                            |
| International Affairs  | X               | X                 | X                         | X                            |
| <b>Correspondence</b> includes key decision-making or concurrence correspondence with the following that is not otherwise part of the various document/data needs: USACE, DOE, DOT, DOI, EPA, NRC, States, local government, Indian Nations, other agencies (e.g., BLM, Historic Preservation) and the public. | X               | X                 | X                         | X                            |
| <b>Health and Safety (H&amp;S) Information</b>   |                 |                   |                           |                              |
| H&S Correspondence (on releases and critical issues)   |                 |                   | X                         | X                            |
| H&S Plan   |                 |                   | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Occurrence Reports   | X               | X                 | X                         | X                            |
| Health Physics (current and baseline data)   |                 |                   |                           |                              |
| Monitoring Plans   |                 |                   | XE <sub>doc</sub>         | XE <sub>doc</sub>            |
| Air Sampling   |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Water (domestic/municipal) and Vegetation Sampling   | X               | X                 | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Log Books  |                 |                   | X                         | X                            |
| Routine and Special Surveys (Buildings   |                 |                   | X                         | X                            |
| RAD Assessments/Surveys/Risk Analysis  |                 | X                 | XE <sub>d/m</sub>         | XE <sub>d/m</sub>            |
| Soil Sampling  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| <b>Permits (including supporting reports)</b>  |                 |                   |                           |                              |
| General Permitting Correspondence  |                 |                   | X                         | X                            |
| 404 Permits (Dredge and Fill) ( <i>Corps of Engineers</i> )  |                 | X                 | X                         | X                            |
| Special Use Permits  |                 | X                 | X                         | X                            |
| Storm and Waste Water Discharge Permits (SWDP) and Plan  |                 | X                 | X                         | X                            |
| SWDP Inspection Checklists   |                 |                   | X                         | X                            |
| Air Emission Permits   |                 |                   | X                         | X                            |

| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| Free Use/Land Use Permits  |                 |                   | X                         | X                            |
| Right-of-Way Permits <i>(with BLM and DOT)</i>   |                 |                   | X                         | X                            |
| DOT Exemption  |                 |                   | X                         | X                            |
| Water Use  |                 |                   | X                         | X                            |
| Monitoring and recovery well permits   |                 |                   | X                         | X                            |
| Injection Well Permits   |                 |                   | X                         | X                            |
| RCRA Permit  |                 |                   | RF                        | RF                           |
| HSWA Permit  |                 |                   |                           | RF                           |
| Site Permit Books  |                 |                   | X                         | X                            |
|  |                 |                   |                           |                              |
| <b>Site Operations and Treatment Systems Information</b> <i>(relevant when site has a continuing mission or active treatment system)</i> |                 |                   |                           |                              |
| Operating Correspondence   |                 |                   | X                         | X                            |
| Operating Plans and Procedures   |                 | X                 | X                         | X                            |
| System Design (including criteria, calculations)   |                 |                   | X                         | X                            |
| Equipment Manuals  |                 |                   | X                         | X                            |
| Drawings and Specifications, including modification packages   |                 |                   | X                         | X                            |
| Operating Reports  |                 | X                 | X                         | X                            |
| Routine Inspections  |                 | X                 | X                         | X                            |
| Analytical Reports/Data  |                 |                   | X                         | X                            |
| Daily Operating Logs   |                 |                   | X                         | X                            |
|  |                 |                   |                           |                              |
| <b>Waste Management (WM) and Disposal Information</b>  |                 |                   |                           |                              |
| WM Correspondence  |                 | X                 | X                         | X                            |
| Waste Shipment Files   |                 |                   |                           |                              |
| Shipper Arrival and Departure Logs   |                 |                   | X                         | X                            |
| Shipping Document Case File—The case file includes the applicable shipping forms documenting   |                 |                   | X                         | X                            |

| Records/Data Needs for Post-Closure Management of Site   |                 |                   |                           |                              |
|--|-----------------|-------------------|---------------------------|------------------------------|
| Document/Data Description  | Potential Users |                   |                           |                              |
|  | Stakeholders    |                   | Custodian for Site Closed | Custodian With Cont. Mission |
|  | Public          | Regulatory Agency |                           |                              |
| waste origination and volume, analytical data, and radiological activity data. Also included in the packages are the related disposal release forms (waste acceptance criteria).   |                 |                   |                           |                              |
| Waste Placement Surveys  |                 |                   | XE <sub>d</sub>           | XE <sub>d</sub>              |
| Waste Acceptance Criteria (e.g., waste stream profiles, waste grid plans)  |                 | X                 | X                         | X                            |
| Waste storage and disposal license [RCRA and NRC]  |                 | X                 | X                         | X                            |
| Current Waste Inventory (includes volume and characterization)   |                 | X                 | X                         | X                            |
| Closure Plans  |                 | X                 | X                         | X                            |
| Waste Minimization/Pollution Prevention  |                 |                   | X if a treatment system   | X                            |
|  |                 |                   |                           |                              |
| <b>Site-Specific Technical Studies</b> — <i>Technical studies and investigations conducted as a result of testing of new technologies, evaluation of problems, etc. Include actual study plus related correspondence and analytical results.</i> | X               | X                 | X                         | X                            |
|  |                 |                   |                           |                              |
| <b>Quality Assurance</b> — <i>Oversight activities</i>   |                 |                   |                           | X                            |
|  |                 |                   |                           |                              |
| <b>Records Information</b>   |                 |                   |                           |                              |
| Administrative Record (location and index)   | C               | C                 | C                         | C                            |
| Inventory/Index of Records Transferred to the Archives   |                 |                   | X                         | X                            |
| Location and Inventory/Index of Records Retained on Site   | X               |                   | X                         | X                            |
| Inventory of Records To Be Transferred to LTS Custodian  |                 |                   | X                         | X                            |

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## **Appendix F**

### **Index of Forms and Instructions**



## Forms in Appendix F

### **Records Series Inventory Form and Instructions**

The Records Series Inventory Form is a format recommended in the National Archives and Records Administration (NARA) guide, *Disposition of Federal Records, A Records Management Handbook*, for the disposition of records,

### **Information System Inventory Form and Instructions**

The Information System Inventory Form is a format recommended in the NARA guide for the disposition of records.

### **Audiovisual Records Series Inventory Form and Instructions**

The Audiovisual Records Series Inventory Form is a format recommended in the NARA guide for the disposition of records.

### **Records Inventory and Disposition Schedule Form (DOE 1324.10)**

This is the standard form used to report the inventory, schedule, and status of a DOE organization's records. It is a central document for the DOE records management program.

### **Records Inventory and Disposition Schedule Continuation Form (DOE 1324.9)**

### **Request for Disposition Authorization Form (DOE 1324.5)**

### **NARA Request for Records Disposition Authority Form and Instructions (SF 115)**

The Standard Form 115 (3/91), Request for Records Disposition Authority, is used by Federal agencies to obtain disposition authority from NARA. It is generally used for unscheduled records.

### **NARA Records Transmittal and Receipt Form and Instructions (SF 135)**

The Standard Form 135 (7/85), Records Transmittal and Receipt, prescribed by NARA in 36 *Code of Federal Regulations* (CFR) 1228.152, documents the physical transfer of records to the Federal Records Center or the change of custody of records at a Federal Records Center.

## **The Series Inventory Form**

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

The series inventory elements, with related instructions, are as follows:

### **1. Date prepared**

List the date the inventory was prepared.

### **2. Office maintaining the files**

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

### **3. Person conducting the inventory**

List that person's name, office, and telephone number.

### **4. Series location**

Give the precise location of the series; for example, room 233, building B, annex 1. If the series is located in more than one office, it is only necessary to inventory once and then indicate multiple locations.

### **5. Series title**

Give each series a title for brief reference. The titles can be provided by one of several sources:

- The agency, which may be using a generally accepted title in its normal day-to-day procedures. Examples: employee locator file and project progress report.
- The person who conducts the inventory and who can supply a descriptive title. Examples: property control records, meeting transcripts file, and loan analysis file.
- The title of a single form or type of document if it applies to the entire series. Examples: bills of lading, notifications of personnel action, and narrative quarterly reports.

### **6. Inclusive dates**

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

## 7. Series description

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

- "Case files of internal audits of agency programs, operations, and procedures, and of external audits of contractors and grantees. Consist of audit reports, correspondence, and supporting working papers."
- "Records relating to the office's internal administrative, or housekeeping, activities rather than the functions for which the office exists. Include records on office organization, staffing, procedures, and communications; the expenditure of funds, including budget files; day-to-day administration of office personnel, including training and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities. May also include the office's copies of internal activity and workload reports, such as work progress, statistical, and narrative reports forwarded to higher levels."
- "Photographs of routine award ceremonies, social events, and other nonprogram activities."
- "Requests from the public for forms and publications."
- "Record set of formal directives distributed as orders, circulars, or manuals, announcing major changes in the agency's policies and procedures, and relating to program functions."
- "Correspondence on Division matters prepared for the Director's signature, and related documents."
- "Case files of grants to individual institutes for the funding of research related to mining and mineral resources. Include pre-proposals, proposals or applications, patent information, project reports, studies, certificates, agreements, memorandums, letters, and other records relating to the receipt, review, award, evaluation, status, and monitoring of grants along with the allocation of funds and project budgets."
- "Record set of Newsclippings and Analysis Service publications, such as *Current News*, *Supplemental Clips*, *Equal Opportunity Current News*, *Radio-TV Defense Dialog*, *Selected Statements*, *Foreign Media Edition of Current News*, and *Friday Review of Defense Literature*."
- "Information showing Government employment, private employment, and financial interests of civilian employees and military personnel required to file such statements under AR 600-50. Included are statements of employment and financial interests, supplementary statements, reports of change, review comments, and related information."

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

Each copy of a completed form can become part of a separate case file serving a unique purpose. In the inventory, each copy loses its individuality and is covered in the item describing the case file of which it is a part. The person taking the inventory should

- Select a title that describes the function served by the series.

- Sample the contents of a few folders in the series to determine the general kind of documentation in it and the range of subject content.
- Determine whether or not a typical file documents the case from beginning to end. For example, in a contract file, the folder may or may not cover the procurement process from successful bid to final payment. If not, supplementary documentation needs to be located and its relationship to the series indicated in the schedule.

It is permissible to combine into a single inventory item a number of very small series of temporary records if they serve the same function and are proposed for the same retention period. For example, separate series relating to an office's housekeeping, or internal administrative, activities may be merged into a single item called office administrative files. However, each series of potentially permanent records must be described and scheduled separately. Each series description should contain enough information to show the purpose, use, and subject content of the records. Avoid terms, such as "miscellaneous" or "various," that add nothing to the description. Give special attention to describing potentially permanent records, because NARA requires more detailed information on them. Include in the description of audiovisual records the format (e.g., 4 by 5 inches, 16 mm, one-half inch), generation, and subjects.

Finally, it is important to describe the various components of audiovisual, microform, cartographic, and related records. For example, a central laboratory often maintains photographic negatives, while different agency units maintain specialized series or collections of prints. Both the negatives and the prints are record components and need to be inventoried and scheduled, along with related finding aids.

## **8. Medium**

Indicate whether the record medium is paper, microform, electronic, audiovisual, or a combination of these. For more information about electronic records and audiovisual records, consult the NARA guide, *Disposition of Federal Records, A Records Management Handbook*.

## **9. Arrangement**

Indicate the arrangement, or filing system, used. Examples include subject classification systems 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. If the series has no apparent arrangement, then mark it "unarranged." If there are subordinate patterns of arrangement within the series, also list them. NARA requires agencies to indicate the arrangement of records proposed for permanent retention but not for those proposed for disposal.

## **10. Volume**

Express the volume of records in cubic feet rather than in linear feet or any other medium of measurement. Since it represents height, width, and depth, a cubic foot figure provides a realistic idea of the amount of space actually occupied. Also include the volume of older records, which may be wrapped in bundles or packages, or of oversized materials, which are too large to be stored in conventional filing equipment. (To calculate the contents of file containers in cubic feet, use the conversion table on page F-10.)

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

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

When inventorying audiovisual, microform, cartographic, and related records, provide not only total cubic footage but also an item count (e.g., 1,200 prints, 3,500 negatives) that is as accurate as possible. Again sampling may be necessary for large series or collections. If so, multiply the average number of items in a cubic foot (or some other measure) by the total number of cubic feet (or other measure) in the collection.

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

### **11. Annual accumulation**

On the basis of information received from the files custodian, 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. Cutoff**

Indicate how often the records are cut off and when the last cutoff occurred. If they are not cut off, explain how inactive records are separated from active ones. To cut off records means to break, or end, them at regular intervals to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files.

### **13. Reference activity**

Rate the reference activity of a paper record series, after the regular cutoff, by placing it in one of three categories:

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

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

Reference information may also influence changes in filing practices if only one part of a series is active. It may even reveal some unnecessary searches. Because most series of paper records are relatively small in volume, accumulating less than 5 or 6 cubic feet per year, their reference figures will be less precise. For voluminous series of paper records, ask the files custodian to survey reference activity. The survey should contain information on the number of requests for a fixed period, not to exceed 3 months; the organizational source of the requests, including sources outside the

agency; the purpose of the requests; and the age of the records requested. When such precise survey information is unnecessary, use code words to indicate reference activity: current, semicurrent, and noncurrent. For audiovisual records, specify the number of requests for copies per month, the source(s) of the requests, and the reason for the requests.

#### **14. Vital records status**

If the records qualify as vital records, specify whether they are emergency-operating records, legal and financial rights records, or both. Also indicate whether they are the originals or duplicates. (See 36 *Code of Federal Regulations* 1236 for requirements in managing vital records.)

#### **15. Duplication**

Indicate duplication in form or content. It can exist in the following ways:

- Carbon or other copies may be in the same organizational unit or elsewhere in the agency. The copies may contain significant differences or notations.
- Similar data or information may be available elsewhere in the agency, either physically duplicated or in summarized form. If the duplication is only partial, state its extent. If the information is recorded on both electronic and paper media, both must be inventoried and scheduled as parts of an information system. To study duplication in content, examine the agency's paper and information flow. Detailed reports of subordinate or field offices are usually summarized at higher levels. Understanding the reporting system is basic to recognizing the nature and extent of duplication.

#### **16. Finding aids**

Note the existence of any finding aids for the series, especially if the records are to be proposed for permanent retention. Finding aids identify the contents of particular series so that users can locate individual documents, file units, or other parts of the series. They may include 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 the finding aids are not in the same office or area as the related series, indicate their location.

#### **17. Restrictions on access and use**

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

- *Personal Privacy.* These files are restricted because they contain information about individuals whose privacy would be violated if the information were made known to others. Examples are tax returns, medical records, and some personnel investigative files.
- *National Security.* These files bear classification markings, such as "top secret," "secret," or "confidential." They do so because their release, or the release of information in them, to unauthorized persons might harm national security.

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

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. Condition of permanent records**

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

#### **19. Disposition authority**

If the series has an approved disposition authority, list the schedule and item number and then the retention period. If the series has no such authority, list the files as "unscheduled," make sure they are preserved, and ask the program office to recommend a suitable retention period.

## Series Inventory Form

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



## 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 (2,400 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 foot of records.
- One legal-size National Archives box holds 0.43 cubic foot 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.

## The Information System Inventory Form

Electronic records are most effectively and conveniently inventoried and scheduled in the context of information systems. As indicated earlier, an information system is the organized collection, processing, transmission, and dissemination of information according to defined procedures. It includes three categories of information: (1) inputs, (2) the information on the electronic media, and (3) outputs. Along with these categories of recorded information, the agency should inventory and schedule any related indexes and also the documentation needed to maintain and use the electronic records.

### Elements of the Information System Inventory

Each agency should maintain a complete and accurate inventory of all its electronic records systems to meet its own needs and to comply with NARA regulations (36 CFR 1234). This inventory should include the elements indicated below. The Information System Inventory form may be used to collect some of this information. The elements listed below with italicized titles are those NARA requires to make an initial appraisal of the information system.

**1. *Name of the system.*** Indicate the commonly used name and acronym of the system. For example, the Grain Monitoring System (GMS) or the State Energy Data System (SEDS).

**2. *System control number.*** Specify the internal control number assigned to the system for reference, control, or cataloging purposes. For example, the information system inventory number or the ADP plan control number.

**3. *Agency program supported by the system.*** Show the agency program(s) or mission(s) to which the system relates, and cite any authorizing laws or directives. Also list the names, office addresses, telephone numbers, and locations of program personnel who can provide additional information about the program and the system supporting it.

**4. *Purpose of the system.*** Indicate the reasons for the system and the requirements it meets.

**5. *Data input and sources.*** Describe the primary data input sources and the providers of the data to the system. For example, broadcast license holders or corporations doing business in the United States. Indicate the form numbers of any agency forms used as input sources. Also give the names of any other systems, either inside or outside the agency, from which this information system receives data.

**6. *Major outputs.*** Show the system's main products and the frequency of their preparation. For example, reports, tables, charts, graphic displays, catalogs, or correspondence prepared weekly, monthly, or yearly. Also indicate whether the information is transferred to other systems.

**7. *Information content.*** Indicate what persons, places, or things are the subjects of the records in the system and what information is maintained on those subjects. Also indicate time span, geographic coverage, update cycle, and other major characteristics of the system. Finally, tell whether the system saves superseded information and whether it contains microdata or summary data.

**8. *Hardware/software environment.*** Indicate the computer system manipulating this information and the software used. For example, IBM 38XX, COBOL application programs; DEC VAX 780, BASIS DBMS.

**9. System managers.** List the name, office, telephone number, and location of the system manager or other system personnel who can provide more information about the system and the program it supports.

**10. Location of documentation** needed to read and understand the files. Show where the code books and file layouts are maintained. Indicate the office, room number, and name of the person having custody of them.

**11. Restrictions on access and use.** Indicate national security, privacy, or other restrictions. Cite 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.

**12. Authorized disposition** of the information as determined by the General Records Schedules or a NARA-approved SF 115. For example, "Permanent." If not covered by a schedule, then indicate "Unscheduled" and recommend a disposition.

**13. Disposition authority citation.** Cite any records schedule and item number(s) covering the records contained in this system. Include any NARA-approved records schedule(s) and item number(s) authorizing disposition of system components, such as input forms, printouts, COM, and output reports. If there are no such citations, indicate "None."

**14. Location and volume of any storage media containing identical information.** Show the location of any magnetic tapes or disks containing information identical to that in the system being inventoried. Also indicate the number of tapes and/or disks and their storage capacity.

**15. Identification of the person conducting the inventory.** List that person's name, office, telephone number, and location.

**16. Date prepared.** List the date the inventory was prepared.

## Description Sources for Information Systems

An agency normally already has existing descriptions of each electronic information system. These descriptions may be found in one or more of the following places:

**Information Resource Management (IRM) office.** This office will have an inventory of the agency's major information systems or will know which organizational component has it. The IRM office may also maintain the agency's current master automated data processing (ADP) plan, which may contain management overviews of the systems and identify the program office(s) supported by the information in the system.

**Agency clearance officer.** If an agency collects information from the public, its clearance officer, sometimes assigned to the IRM office, will have documentation on requests for OMB clearance. This documentation will include the information's purpose, the legal authority for collecting it, the part of the public affected, the program officer's name, and the office originating the request. It may also include a justification of the system and a description of its inputs and outputs as well as its intended use.

**Interagency liaison officer.** Sometimes assigned to the reports control office, this person should maintain a file of applications to the General Services Administration (GSA) for collecting information

from other Federal agencies. This file has the same type of information as that maintained by the agency clearance officer.

**Privacy Act coordinator.** This person is responsible for publishing annual notices on systems of records containing information retrievable by personal identifiers. The systems may be either manual or electronic. The notices include the name of the system of records, the categories of individuals on whom records are kept, the use(s) made of the information, policies affecting the records, and the office responsible for the system.

**ADP facility.** In most agencies with advanced computer applications, persons in the ADP facility will know which program activities are using ADP resources, what their purposes are, and perhaps which files are associated with those offices.

**Records schedule.** Any references in the agency schedule to computer printouts or computer input documents usually indicate the existence of an electronic information system.

**Public information office.** If an agency sells copies of computer files or statistical abstracts to the public, its public information office may have a catalog describing them. These public use files are outputs of an information system.

**National Technical Information Service (NTIS),** Department of Commerce. If an agency does not distribute computer files directly to the public, it may do so through NTIS. Files available from NTIS are outputs of agency information systems.

**Other sources,** such as the Freedom of Information Act (FOIA) coordinator, the agency librarian, the agency historian, and program officers.

For further guidance, the agency records officer should contact the appropriate NARA appraisal archivist.

## Information System Inventory Form

|  |                                    |
|--|------------------------------------|
| <b>1. SYSTEM TITLE</b>   | <b>2. SYSTEM CONTROL NUMBER</b>    |
| <b>3. AGENCY PROGRAM SUPPORTED BY SYSTEM</b>   | <b>4. PROGRAM AUTHORITY</b>        |
| <b>5. SYSTEM DESCRIPTION</b>   |                                    |
| <b>5A. PURPOSE/FUNCTION OF SYSTEM</b>  |                                    |
| <b>5B. SOURCE(S) OF DATA</b> (Include inputs from other systems)   |                                    |
| <b>5C. INFORMATION CONTENT</b>   |                                    |
| <b>5D. SYSTEM OUTPUTS</b> (Include outputs from other systems)   |                                    |
| <b>6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM</b><br>(Include room numbers)   |                                    |
| <b>7. AGENCY CONTACTS</b> (Names, addresses, and phone numbers of system and program personnel who can provide additional information about the system and the program it supports.) |                                    |
| <b>8. PREVIOUS DISPOSITION JOBS</b>  |                                    |
| <b>9A. PREPARER'S NAME</b>   | <b>9B. OFFICE NAME AND ADDRESS</b> |
| <b>9C. PHONE NUMBER</b>  |                                    |
| <b>SIGNATURE</b>   | <b>DATE</b>                        |

NA FORM 14028 (9-88)

## Information System 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 United States). 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.

### Audiovisual Records Series Inventory Form

|  |                           |   |
|--|---------------------------|---|
| <b>1a. PREPARED BY</b>                     | <b>1b. ORGANIZATION</b>   | <b>1c. PHONE NUMBER</b>                                 |
| <b>2. SERIES LOCATION</b>                  | <b>3. CREATING OFFICE</b> |   |
| <b>4. SERIES DESCRIPTION</b>               |                           |   |
| <b>5. DATES</b>                            | <b>6. ARRANGEMENT</b>     | <b>7. VOLUME</b>  |
| <b>8. RESTRICTIONS</b>                     |                           | <b>9. ANNUAL ACCUMULATION</b><br>__ Cubic Feet __ Items |
| <b>10. NATURE AND FREQUENCY OF USE</b>     |                           |   |
| <b>11. CUTOFF INSTRUCTIONS</b>             |                           | <b>12. RETIRE REGULARLY?</b><br>__ Yes __ No            |
| <b>13. PRESENT DISPOSITION</b>             |                           |   |
| <b>14. RECOMMENDATIONS FOR DISPOSITION</b> |                           |   |
| <b>15. COMMENTS</b>                        |                           |   |

**Bibliographic note:** This web version of the form is based on the form on page A-1 of *Managing Audiovisual Records, Second Edition, National Archives and Records Administration Instructional Guide Series, College Park, MD (1996), 21 pp.*



## Audiovisual Records Series Inventory 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 (4 x 5, 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 on page F-10.)
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 135s.
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
  - o 2,300 35-mm 6-exposure strips
  - o 8,640 2- x 2-inch mounted slides
  - o 2,184 4- x 5-inch file sheets
  - o 5,960 2 1/4- x 3 1/4-inch file sheets
- Prints
  - o 2,350 8- x 10-inch glossies
  - o 9,400 4- x 6-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

U.S. Department of Energy Records Inventory and Disposition Schedule (RIDS)

|  |   |                              |  |   |                           |                                      |  |
|--|---|------------------------------|--|---|---------------------------|--------------------------------------|--|
| DOE F 1324.10<br>(06-96)   |   | OMB Control No.<br>1910-1700 |  | 1.<br><input type="checkbox"/> DOE<br><input type="checkbox"/> Contractor |                           | 2.<br>Page <u>1</u> of <u>      </u> |  |
| <p align="center"><b>U.S. DEPARTMENT OF ENERGY</b><br/><b>RECORDS INVENTORY AND DISPOSITION SCHEDULE (RIDS)</b></p> <p align="center"><b>OMB Burden Disclosure Statement</b></p> <p>Public reporting burden for this collection of information is estimated to average 1-1/2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Management, Records Management Team, HR-424, U.S. Department of Energy, Washington, DC 20874-1290; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1700), Washington, DC 20503.</p> |   |                              |  |   |                           |                                      |  |
| 3a. Organizational Unit (Creating or Custodial Unit)   |   |                              |  | 3b. Routing Symbol  | 3c. Bldg. & Rm. No.       | 4. Date                              |  |
| 5. Signatures (of appropriate personnel)   |   |                              |  |   |                           |                                      |  |
| Prepared by _____  |   |                              |  | Records Liaison Officer _____   |                           | Date _____                           |  |
| Approved by _____  |   |                              |  | Records Officer Approval _____  |                           | Date _____                           |  |
| 6. Item No.  | 7. Filing Series Title, Description, and Location of File (if different from 3c), and Inclusive Dates | 8. Disposition Authority     | 9. Authorized Disposition Instructions |   | 10. Transfer Instructions |                                      |  |
|  |   |                              |  |   |                           |                                      |  |

U.S. Department of Energy Records Inventory and Disposition Schedule (RIDS)- Continued

|  |  |  |   |  |  |  |  |
|--|--|--|---|--|--|--|--|
| <small>DOE F 1324.9<br/>(06-96)</small>  |  | <small>OMB Control No.<br/>1910-1700</small> |   | <small>1.<br/><input type="checkbox"/> DOE<br/><input type="checkbox"/> Contractor</small> |  | <small>2.<br/>Page <u>1</u> of <u>    </u></small> |  |
| <p align="center"><b>U.S. DEPARTMENT OF ENERGY</b><br/><b>RECORDS INVENTORY AND DISPOSITION SCHEDULE (RIDS)-CONTINUED</b><br/><b>OMB Burden Disclosure Statement</b></p> <p><small>Public reporting burden for this collection of information is estimated to average 1-1/2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this estimate or any other aspect of this information, including suggestions for reducing this burden, to Office of Information Management, Records Management Team, HR-424, U.S. Department of Energy, Washington, DC 20874-1290, and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1700), Washington, DC 20503.</small></p> |  |  |   |  |  |  |  |
| <small>6. Item No.</small>   | <small>7. Filing Series Title, Description, and Location of File (if different from 3c), and Inclusive Dates</small> | <small>8. Disposition Authority</small>      | <small>9. Authorized Disposition Instructions</small> | <small>10. Transfer Instructions</small>   |  |  |  |
|  |  |  |   |  |  |  |  |

## Request for Records Disposition Authorization

|   |  |  |  |   |      |
|---|--|--|--|---|------|
| DOE F 1324.5<br>(06-93)<br>05-90 Edition<br>May Also Be Used  |  | <b>U.S. DEPARTMENT OF ENERGY</b><br><b>REQUEST FOR RECORDS DISPOSITION AUTHORIZATION</b> |  | OMB Control No.<br>1910-1700<br>OMB Burden Disclosure Statement on Back |      |
|   |  |  |  | 1. Control Number   |      |
| 2a. Organizational Unit and Routing Symbol  |  |  | 2b. Departmental Organization <input type="checkbox"/><br>Contractor Organization <input type="checkbox"/> |   |      |
| 3a. Volume On Hand (Cu. Ft.)  |  | 3b. Volume Accumulated Annually (Estimate Cu. Ft.)                                       |  | 4. Record Dates (From/To)   |      |
| 5. Identification of Filing Unit (Include type of record, function performed, security classification (or other restrictions), and other descriptive facts)   |  |  |  |   |      |
| <input type="checkbox"/> See Continuation Page (Use Separate Sheet -- Indicate Item No.)  |  |  |  |   |      |
| 6. Appraisal (Include justification for retention period. Indicate relationship of filing unit to any other related filing unit in the same or other organizations. Also, indicate retention period in U.S. Department of Energy (DOE), if subsequent transfer to National Archives or Federal Records Centers is necessary.) |  |  |  |   |      |
| <input type="checkbox"/> See Continuation Page (Use Separate Sheet -- Indicate Item No.)  |  |  |  |   |      |
| 7. Recommended Disposition  |  |  |  |   |      |
| 8. Concurrence Signatures*  |  | Title  |  | Organization  |      |
| a.  |  |  |  | Date  |      |
| b.  |  |  |  |   |      |
| c.  |  |  |  |   |      |
| d.  |  |  |  |   |      |
| e.  |  |  |  |   |      |
| * Program, Legal, Historical Organization, and Others, as required by local policy  |  |  |  |   |      |
| 9. Name, Signature, and Organization of Requestor   |  |  |  |   | Date |
| 10. Records Officer Concurrence   |  | HQS <input type="checkbox"/> Field <input type="checkbox"/>                              |  | Date  |      |



Printed with soy ink on recycled paper

### **OMB Burden Disclosure Statement**

(on reverse side of Request for Records Disposition Authorization form)

Public reporting burden for this collection of information is estimated to average 4 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management, AD-244-GTN, Paperwork Reduction Project (1910-1700), U.S. Department of Energy, 1000 Independence Avenue, S.W. Washington, DC 20585; and the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-1700), Washington, DC 20503.

## **The Request for Records Disposition Authority Form (SF 115)**

Describing records properly on the SF 115 makes it easier to determine their disposition. Furnishing additional information can speed NARA's approval of the SF 115. Adequate, clear, and accurate descriptions aid in implementing an approved schedule.

### **Importance of Describing Records Properly**

It is important to describe clearly and accurately each record series or each part of an information system listed on the SF 115. This task is much easier if the agency has properly inventoried its record holdings. (See Chapter II.) The following guidelines are useful in describing series or systems under entry 8 of the SF 115:

- Describe and title a series or system by the subject or function to which it relates.
- Consider using a single schedule item to cover several closely related temporary series if the records will have the same retention period. If not, then subdivide the schedule item.
- In scheduling the records in an electronic information system, describe all input records (source documents), all information recorded on electronic media, all output records, the documentation associated with the system, and any related indexes. Propose a specific retention period for each of these.
- Identify each potentially permanent series as a separate schedule item.
- Elaborate on any sampling criteria and procedures for selecting files within a series for permanent retention.
- Identify reports as statistical or narrative and indicate their frequency.
- Describe correspondence files more precisely as "program subject," "reading," or the like.
- Instead of form numbers alone, use "such as" before the form number or use "forms relating to." Otherwise, changing form numbers can void disposition authorizations.
- Consider ending a long description with words such as "related records" or "equivalent forms" if appropriate, provided the preceding description is adequate.

### **Need for Additional Information**

Besides describing each item, agency records managers should include additional information to help in the appraisal process. They should assess the value of the records, describe the functions reflected in them, indicate any duplication of content, and document the relationship between that content and information maintained elsewhere in the agency. They should also indicate if the series is a Privacy Act system of records. Above all, they need to provide on, or with, the SF 115 the following information about permanent records:

- The initial date, arrangement, and total volume of each schedule item proposed as permanent.
- In functional schedules, the current organizational location of each series and system.
- The transfer date and annual accumulation of recurring records proposed as permanent.

- Any access restrictions consistent with the Freedom of Information Act that are to be imposed by NARA on records proposed for immediate transfer. Such restrictions include security-classified information.

Finally, if nonrecurring records are proposed on an SF 115 for immediate destruction or for immediate transfer to the National Archives, it is necessary to indicate both their volume and inclusive dates, along with any applicable NARA records center accession and box numbers.



## Request for Records Disposition Authority

|   |   |  |                                  |
|---|---|--|----------------------------------|
| <b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b>  |   | LEAVE BLANK (NARA use only)  |                                  |
|   |   | JOB NUMBER   |                                  |
| To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION<br>8601 ADELPHI ROAD, COLLEGE PARK, MD 20740-6001  |   | Date Received  |                                  |
| 1. FROM (Agency or establishment)   |   | NOTIFICATION TO AGENCY   |                                  |
| 2. MAJOR SUB DIVISION   |   | 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. |                                  |
| 3. MINOR SUBDIVISION  |   |  |                                  |
| 4. NAME OF PERSON WITH WHOM TO CONFER   | 5. TELEPHONE                                    | DATE   | ARCHIVIST OF THE UNITED STATES   |
| <b>6. AGENCY CERTIFICATION</b><br>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 needed now 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,<br><div style="display: flex; justify-content: space-around; margin-top: 10px;"> <input type="checkbox"/> is not required         <input type="checkbox"/> is attached; or         <input type="checkbox"/> has been requested.       </div> |   |  |                                  |
| 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) |
|   | See attached sheets                             |  |                                  |

115-109

PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)  
PRESCRIBED BY NARA 36 CFR 1228

## Request for Records Disposition Authority Form (SF 115) Instructions

The following is a list of the numbered entries on the SF 115, along with instructions and comments.

**Entries 1, 2, and 3:** Under entry 1, give the name of the organization submitting the form. The organization may be an executive branch department or independent agency, a legislative branch agency, or the Administrative Office of the U.S. Courts for the judicial branch. Under entries 2 and 3, show the major and minor organizational subdivisions that create or maintain the records described on the form. If the organization is not the same one that originally accumulated the records, explain this under entry 8. If more than one subdivision maintains the records, specify the various office names under entry 8 of the form. If the agency's records schedule is arranged organizationally, list as the subdivisions the organizational units with custody of the records.

Examples:

Entry 1: Department of Commerce

Entry 2: Bureau of the Census

Entry 3: Geography Division

Entry 1: Department of Agriculture

Entry 2: Soil Conservation Service

Entry 3: Technical Staff

The schedule's coverage may not be so specific as to permit identifying under entry 3 the name of the minor organizational unit having custody of the records (e.g., Geography Division). If so, it may be possible to identify the organizational level of the offices with custody of the records (e.g., all field units or all state offices). If the current custodial unit did not originally accumulate the records, explain this under entry 8. If the agency's records schedule is arranged functionally, it is unnecessary to list the major and minor subdivisions under entries 2 and 3, provided that offices with custody of proposed permanent records are identified under entry 8, whenever possible.

**Entries 4 and 5:** Show the name and phone number of the person to contact about the records. This may be the records officer or the records custodian.

**Entries 6:** Show the agency representative's certification on the two copies submitted to NARA. Both copies must contain the signature (with at least one being original), date of signature, and title of the agency official authorized to certify that the proposed retention periods meet agency needs. After indicating the number of any schedule pages attached to the SF 115, the official must certify that the General Accounting Office's (GAO's) written concurrence, if required, is attached to the SF 115 or has been requested. One box under entry 6 must be checked. If no box is checked, NARA will return the form to the agency without action.

**Entries 7:** Number schedule items in sequence (e.g., 1, 2, 3, 4). Subitems, if any, may be numbered consecutively (e.g., 1a, 1b, 1c).

**Entries 8:** This is the heart of the SF 115 because it contains descriptions of each item (i.e., each record series or part of an information system), along with its proposed disposition. Under this entry include centered headings to indicate the office of origin if all records described on the form are not those of the same office or if they are records created by another office or agency. Describe the records clearly, including those on nonpaper media. For more guidance on describing records, refer to the instructions on the back of the SF 115.

**Entries 9:** Indicate for each item or subitem the General Records Schedule and item numbers, the previous NARA disposition job and item numbers, and the agency directive or manual and item numbers, whichever may be applicable. Leave entry 9 blank only if the records are being scheduled for the first time. If continuation sheets are used, provide the required citations in a format acceptable to NARA.

**Entries 10:** Leave this entry blank. It is for NARA's use. NARA uses the space in the upper right corner for registering the request and notifying the agency of final action. In the box marked "Job No.," NARA assigns a transaction number to the request. For example, in N1-217-93-1, the symbol "N1" represents NARA and an internal classification number, the number "217" the record group number, "93" the fiscal year, and "1" the first SF 115 submitted for that record group during that year. The box marked "Notification to Agency" contains a statement of approval, disapproval, or withdrawal.

Records Transmittal and Receipt

|  |        |   |     |                    |     |  |     |             |   |   |               |                             |  |          |            |            |             |  |  |           |  |             |  |
|--|--------|---|-----|--------------------|-----|--|-----|-------------|---|---|---------------|-----------------------------|--|----------|------------|------------|-------------|--|--|-----------|--|-------------|--|
| <b>RECORDS TRANSMITTAL AND RECEIPT</b>   |        |   |     |                    |     |  |     |             |   | 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<br>1 |  | OF<br>PAGES |  |
| 1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)<br><br>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 |  | LOCATION | SHELF PLAN | CONT. TYPE | AUTO. DISP. |  |  |           |  |             |  |
| RG (a)   | FY (b) | NUMBER (c)  | (d) | (e)                | (f) | (g)  | (h) | (i)         | (j)   | (k)   | (l)           | (m)                         |  |          |            |            |             |  |  |           |  |             |  |
|  |        |   |     |                    |     |  |     |             |   |   |               |                             |  |          |            |            |             |  |  |           |  |             |  |
| NSN 7540-00-634-4093   |        |   |     |                    |     |  |     |             |   |   |               |                             |  |          |            |            |             |  |  |           |  |             |  |
| 135-107  |        |   |     |                    |     |  |     |             |   |   |               |                             |  |          |            |            |             |  |  |           |  |             |  |
| Standard Form 135 (Rev. 7-85)<br>Prescribed by NARA<br>36 CFR 1228.152   |        |   |     |                    |     |  |     |             |   |   |               |                             |  |          |            |            |             |  |  |           |  |             |  |

## Instructions (on reverse side of form)

**GENERAL:** This form may be initiated by the transferring agency or the National Archives and Records Administration (NARA). Prepare a separate SF 258 for each series or SF 115 item being transferred.

**WHEN INITIATED BY AN AGENCY:** The agency completes blocks 2 and 4 through 14 using the instructions below. Block 2 must be signed and dated. Send the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

**WHEN INITIATED BY NARA:** NARA completes blocks 1 and 4 through 14 and sends the original to the transferring agency's records officer. The agency completes block 2, completes or corrects blocks 4 through 14. Block 2 must be signed and dated. The agency sends the original to the appropriate address 60 days before the records are to be transferred to the National Archives.

**MAILING ADDRESS:** Mail the completed form to either the address below or to the appropriate National Archives regional archives. Accessions Control Staff (NN-E)  
Office of the National Archives  
National Archives and Records  
Administration 8601 Adelphi Road  
College Park, MD 20740-6001

If you do not know the address of the appropriate regional archives, telephone the Accessions Control Staff at 301-713- 6655.

1. **INTERIM CONTROL NUMBER:** *Leave blank.* NARA will fill in.

2. **AGENCY APPROVAL:** The agency records officer having the delegated authority to transfer the records with NARA should sign and date the form here (2A) and provide his/her name, title and mailing address (2B).

3. **NARA APPROVAL:** When a proposal to transfer records to the National Archives of the United States is approved, the appropriate NARA official completes 3A and 3B.

4A/B. **RECORDS SERIES TITLE/DATE SPAN OF SERIES:** The information provided should include a records series title, a statement of how the records are arranged, dates of coverage, and sufficient detail to describe the body of records being transferred. If access to the records is gained or facilitated through an index, box list, or other finding aid, include it with the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If records are in a Federal records center (FRC) attach each applicable SF 135, Records Transmittal and Receipt. For electronic records, describe any related documentation.

5. Fully identify the unit (5D) that created or organization the records. Usually this is not the agency's records management office. Place the creating unit within its organizational hierarchy (5A-5C). For example, the responsible unit is a branch (5D), within a division (minor subdivision) (5C), within an office (major subdivision) (5B), and within the agency or major component of a department (5A). Block 5A should be the official or legal name of the agency or bureau as published in the *U.S. Government Manual*. In block 5E include the name and telephone number (including the area code) of a person who should be contacted if NARA has any questions about the records. If the originating agency no longer exists, provide the name of the contact person at the successor agency.

6. **DISPOSITION AUTHORITY:** This citation must be included. It can be either the item number assigned to the records within a records disposition schedule (SF 115) approved by NARA or the item number assigned to the records within an agency records disposition manual based on a NARA-approved SF 115. If the agency manual number is used, attach a copy of the pertinent pages from the agency manual.

7. **IS SECURITY CLASSIFIED INFORMATION PRESENT?** If the records contain security classified information, check "Yes" and indicate the highest level of classification present. Indicate any additional applicable national security special access restrictions

(e.g., Sensitive Compartmented Information - SCI or North Atlantic Treaty Organization - NATO). Restricted Data and Formerly Restricted Data - RD/FRD - refers to information subject to the Atomic Energy Act of 1954. Check "Segregated" to indicate that security classified records have been segregated from unclassified records or information subject to special access restrictions has been segregated from other classified information. Check "Declassified" to indicate whether any records have been declassified, and provide both the authority for declassification and a description of the declassified records.

8. **CURRENT LOCATION OF RECORDS:** Check the appropriate box for the current location of the records. If the records currently are in a Federal records center, complete 8B. If the records are located in the transferring agency or other location, complete 8A.

8A. For records located in the transferring agency or other location, provide a complete address.

8B. For records located in a Federal records center, name the center, provide the FRC accession number and container number(s), and the FRC location.

9. **PHYSICAL FORM(S):** Check all the boxes that apply to the records included in the transfer.

10. **VOLUME:** Include both the cubic feet of the records and the number and type of containers holding the records. For example:

Cu. ft. 15; Number 15; Type FRC boxes.  
Provide separate volume figures for each physical type of records, continuing on a separate sheet as necessary.

11. **DATE RECORDS ELIGIBLE FOR TRANSFER TO ARCHIVES:** Indicate the date the records are eligible for deposit in the National Archives. This date is determined by the disposition instructions for each item in the approved SF 115 or agency manual.

12. **ARE THE RECORDS FULLY AVAILABLE FOR PUBLIC USE?** If the records are exempt from release pursuant to the FOIA, 5 U.S.C. 552(b)(1)-(9) and (c)(1)-(3), this must be fully justified. List all exemptions that apply. If exemption (b)(1) is cited, complete block 7 accordingly. If (b)(3) is cited, include the full citation for the relevant statute. If the records are subject to copyright, identify affected items and the copyright holder.

13. **ARE THESE RECORDS SUBJECT TO THE PRIVACY ACT?** The National Archives is required to notify the public, through the *Federal Register*, when it takes custody of records subject to the provisions of the Privacy Act, 5 U.S.C. 552a. The originating agency should use this block to indicate whether the records covered by this SF 258 are part of a Privacy Act "system of records" and include a citation to and a copy of the Privacy Act notice published by the agency for the systems. NARA will use the transferring agency's notice to inform the public, through the *Federal Register*, that the records have been transferred to the National Archives and that no further modification of them is possible.

14. **ATTACHMENTS:** Check the appropriate box(es) and indicate the attachment(s) being submitted with this form.

15. **SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION:** NARA uses this space to provide shipping instructions relating to transfers.

16. **RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES:** The appropriate NARA representative signs block 16 after the records have been received at a NARA facility and NARA has confirmed that the records received are the records described in block 4. Transfers to NARA are not final until NARA has signed block 16. NARA sends the agency a copy of the completed form.

17. **NATIONAL ARCHIVES ACCESSION NO.:** NARA assigns this unique, permanent control number to each transfer of records.

SF 258 BACK (9/95) NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

## Records Transmittal and Receipt (SF 135) Instructions

### Items To Be Completed by Federal Agencies:

**Item 1:** Complete the Address for the records center serving your area.

**Item 2:** Original signatures, if required by your agency, should be included on a copy of the SF 135 placed in the first box of the shipment.

**Item 3:** Provide the name and commercial telephone number, including area code, of the person to contact concerning the records. An e-mail address is also required so the approved SF-135 can be returned by e-mail.

**Item 5:** Please provide the complete mailing address for the office retiring the records.

**Item 6:** (a) The NARA record group number assigned to the records of the agency making the transfer and (b) the last two digits of the current fiscal year.

**Item 6:** (c) In most centers, regional staff assign a sequential number in this column. At WNRC, agency records officers typically control and assign transfer numbers, except to some military agencies.

**Item 6:** (d) For transfer and billing purposes, a standard-size box equals 1 cubic foot.

**Item 6:** (e) Agency box numbers column can be used to indicate the inclusive range of numbers (e.g., 1-30).

**Item 6:** (f) The Series Description should describe the records in sufficient detail to allow records center personnel to verify compliance with your records schedule. A **complete** series description includes the closing date (or inclusive dates) of the records. Include the organizational component that created the records when it is other than that shown in item 5. Item 6(f) should include a detailed box-by-box listing, if the records are scheduled for permanent retention, unscheduled, or if disposition instructions indicate sampling or screening of records is necessary. You must indicate if the series of records is **Subject to the Privacy Act**. Since SFs 135 are public records, information included on SFs 135 should not be subject to the Privacy Act. *Stratified Report Invoicing:* For agencies participating in Stratified Report Invoicing a caret (^) followed by a valid two digit charge code must be placed at the beginning of the series descriptions.

*Special description requirements* apply for certain records and should be stated in item 6f: *Site Audit Records:* State "GAO Site Audit" if the records have been so designated by the General Accounting Office and indicate whether the site audit records do or do not pertain to Native Americans.

*Non-paper based Records:* These are other than paper records, such as microfilm, engineering drawings (because of the special format), etc.

**Item 6: (g) - Restriction:** complete this section using one of the following codes:

| Code | Restriction  |
|------|--|
| Q    | Security classification  |
| T    | Top Secret security classification                                       |
| S    | Secret security classification   |
| C    | Confidential security classification                                     |
| R    | Restricted use - witnessed disposal not required (specify in column (f)) |
| W    | Restricted use - witnessed disposal required (specify in column (f))     |
| N    | No restrictions  |

*Unclassified Privacy Act System Records* - Code W should be used for unclassified Privacy Act System records. Explain any special restrictions at the bottom of the page, if needed.

*Restricted Data (RD) or Formerly Restricted Data (FRD) records* - Please add "E" to designate Restricted Data (RD) or Formerly Restricted Data (FRD) records. This must be shown as well as the appropriate classification (Top Secret, Secret, Confidential) set forth in Executive Order 12356. These restriction codes apply to documents pertaining to National Security Information rather than information of a proprietary nature.

*Vault-type Storage at Agency Request* - Use "A" code for records that are not national security classified, but vault-type storage is being requested at an additional storage fee.

**Item 6: (h)** Cite the appropriate schedule identifier and item number in your agency records schedule, job number or the General Records Schedule (GRS). For accountable officers' records, cite the appropriate item from GRS 6. Also, use the General Records Schedules (36 CFR 1228.42) when dealing with records common to most offices such as contracts, civilian personnel records, travel and transportation records. Contact center staff for additional information. *Unscheduled Record Series:* Consistent with 36 CFR 1228.154(c)(vii), records centers can accept unscheduled record series that have a SF 115, Request for Records Disposition Authority, registered and pending with NARA's Life Cycle Management Division (NWML). Customer agencies should cite the pending job number and the date it was submitted to NARA and the series item that corresponds to the transfers. The customer should type "pending" in block 6h. Also attach a copy of the pending job number with the SF 135.

**Item 6: (i)** Follow the instructions on your record schedule to compute the disposition date. Because disposal is accomplished in quarterly cycles (i.e. January, April, July and October), advance the date to the beginning of the next calendar quarter to obtain the actual date of disposal. Permanent records are offered to NARA on an annual basis; no month is shown in the disposition date field. Place "P" after the offer year.

**Items 4, 6j through m:** To Be Completed by Records Center

**Specific instructions for the Microsoft Word electronic SF 135 form:**

1. Right click on this link: [http://www.archives.gov/records\\_center\\_program/facilities.html](http://www.archives.gov/records_center_program/facilities.html) to save the file to disk.
2. Open the document using MS Word, click on Enable Macros when opening the document, if asked.
3. Use the SAVE AS command to create a working copy of this form.
4. Navigate through the form using the mouse or using the TAB key. Use the ENTER key if you need to enter more than one line in the address or series descriptions.
- 5 Follow the RCP electronic form instruction page to complete the gray blocks. Please note that the text in each block will wrap if you need to enter more than one line.
6. Save a copy on your computer's hard drive or a disk for your records when the form is complete. Use a laser printer to print this form for best results.
7. Go to [http://www.archives.gov/records\\_center\\_program/facilities.html](http://www.archives.gov/records_center_program/facilities.html), click on the appropriate facility, then click "Contact Information" on the Center's page to see where to email the completed document.