

*Cancelled by*  
**U.S. Department of Energy**  
**Washington, D.C.**

DOE 1324.2A

✓ 9-13-88

**ORDER**

DOE 1324.2

5-28-80

SUBJECT: RECORDS DISPOSITION

Change 1: 7-2-81  
Change 2: 11-9-82

- 
1. **PURPOSE.** To assign responsibilities and authorities and to prescribe policies, procedures, standards, and guidelines for the orderly disposition of records of the Department of Energy (DOE) and its operating and onsite service contractors.
  2. **CANCELLATION.** DOE 1324.1, RECORDS DISPOSITION, 7-10-78.
  3. **SCOPE.** The provisions of this Order apply to all elements of DOE and DOE operating and onsite service contractors and subcontractors. With respect to these contractors, the records disposition policies, procedures, standards, and guidelines apply to all records created, collected, or maintained using Government funds, unless by contract provision the Government does not have the right to assume custody or control of the records.
  4. **REFERENCES.**
    - a. Federal Property Management Regulation (FPMR) § 101-11.403, which prescribes that each Federal agency shall compile, and maintain on a current basis, a records control schedule for all major groups of records in its custody having importance in terms of content, bulk, or space and equipment occupied.
    - b. General Services Administration (GSA)-National Archives and Records Service (NARS) Records Management Handbook, "Disposition of Federal Records," Federal Stock No. 7610-01-055-8704, which discusses the nature of an effective records disposition program. Copies of the handbook have been distributed to officials having records management responsibilities.
    - c. DOE and contractor organizations shall comply with the applicable security requirements for transmitting, storing, or disposing of classified records. The directive series number is 5632 for the issuance of specific standards, procedures, and requirements for the protection of classified matter.
    - d. Federal Property Management Regulations § 101-11.410-2 and GSA-NARS Records Management Handbook, "Federal Records Centers," Federal Stock No. 7610-298-6904, which provide instructions and requirements for making optimum use of the Federal Records Center system.

---

DISTRIBUTION:  
All Departmental Elements  
Federal Energy Regulatory Commission (info)

INITIATED BY:  
Office of Organization and  
Management Systems



- e. DOE 1300.1, MICROGRAPHICS MANAGEMENT, provides guidance applying micrographics technology and states certain requirements for obtaining approval to destroy original records and substitute microfilmed records for them.
- 5. DEFINITIONS. Definitions of terms for the purpose of this Order are contained in chapter 1.
- 6. BACKGROUND. This Order implements in the Department the requirements of the Federal Property Management Regulation on the Disposition of Records, Records Control Schedules (FPMR Section 101-11.401-1, Records Scheduling Programs), which states: "A records scheduling program is essential to promote prompt and orderly reduction in the quantity of records in each Federal agency in accordance with 44 U.S.C. 2904, 3102, and 3301."
- 7. POLICY AND OBJECTIVES.
  - a. DOE establishes and maintains an active and continuing records disposition program providing for the selective retention, disposal, and economical storage of records of the Department and its contractors.
  - b. The DOE records disposition program is designed to:
    - (1) Preserve adequate records documenting the organization, functions, policies, decisions, procedures, and essential transactions, including record material containing evidence or information appropriate for preservation because of its administrative, legal, scientific, research, or historic value.
    - (2) Retire or transfer records no longer needed in current activities to lower cost storage facilities.
    - (3) Dispose of records which have insufficient value to warrant further preservation.
- 8. RESPONSIBILITIES AND AUTHORITIES.
  - a. Assistant Secretary, Management and Administration (MA-1). Establishes and directs the DOE records disposition program.
  - b. Director of Organization and Management Systems (AD-20).
    - (1) Prescribes DOE-wide procedures for the implementation of the records disposition program.
    - (2) Provides staff guidance and assistance to the Office of Administration Services (AD-40) and field offices in carrying out the records disposition program.
    - (3) Reviews and coordinates recommendations for records retention standards.

Vertical line denotes change.

- (4) Secures General Services Administration (GSA), General Accounting Office (GAO), and other authorizations for the establishment of DOE and contractor records retention standards.
  - (5) Prepares and issues DOE and contractor records schedules containing approved records retention standards.
  - (6) Maintains liaison with other Federal agencies in connection with the scheduling, disposal, transfer, or preservation of records, exclusive of the liaison with Federal Records Centers in connection with the transfer, storage, retrieval, and disposal of records which is the responsibility of the Headquarters or field office Records Officer.
  - (7) Submits consolidated "Annual Summary of Records Holdings" to GSA as required by FPMR 101-11.102-7.
- c. Director of Administrative Services (AD-40).
- (1) Directs the implementation of the records disposition program in Headquarters organizations.
  - (2) Prescribes procedures for the implementation of the records disposition program by Headquarters organizations.
  - (3) Provides staff guidance and assistance to Headquarters organizations in their implementation of the records disposition program.
  - (4) Maintains records holding area facilities for use by Headquarters organizations.
  - (5) Maintains liaison with the Washington National Records Center in connection with the transfer, storage, retrieval, and disposal of records of Headquarters organizations.
  - (6) Reviews and coordinates recommendations for new records retention standards, or changes to existing standards, originating in Headquarters organizations. Refers such recommendations to the Office of Organization and Management Systems for final action.
  - (7) Submits consolidated "Annual Report of Records Holdings" (attachment 1) for Headquarters organizations to MA-1 by September 1 each year).
  - (8) Submits Records Transfer Forms, DOE Form AD-H35 (attachment 2) to the Chief Historian (AD-40) for determination that records of historical value have been scheduled for permanent retention.

7-2-81

d. Chief Historian (AD-40).

- (1) Determines that records of historic value have been scheduled for permanent retention in accordance with this Order by reviewing for Headquarters organizations all Records Transfer Forms (DOE Form AD-H35) for records transferred from office space to low-cost storage.
- (2) Recommends to MA-1, where necessary, records of historical value be scheduled for permanent retention.
- (3) Accepts custody of records of historical value no longer requiring retention by the originating office, and services all requests for access to these records until they are offered to the National Archives.
- (4) Provides advice concerning appropriate disposition of personal papers, upon request.
- (5) Assists Headquarters and field offices in determining the historical value of records, upon request.

e. Heads of Headquarters Organizations.

- (1) Designate a staff member as Records Officer or person responsible for the records disposition program of the organization.
- (2) Apply authorized records retention standards to records in their custody by preparing Records Inventory and Disposition Schedules in accordance with procedures contained in chapter III of this Order.
- (3) Use low cost storage facilities for the storage of noncurrent records to the fullest extent practicable, and compatible with security regulations, and Office of Administrative Services guidelines or agreement.
- (4) Assure that contractors, whose contracts are administered by Headquarters, comply with the policies, procedures, and standards prescribed in this Order and with provisions of their contracts.
- (5) Submit Form DOE AD-331, "Records Retention and Disposal Authorization," to MA-1, Attention: Office of Administrative Services, to recommend new records retention standards, or changes to existing standards.
- (6) Review recommendations for new records retention standards, or changes to existing standards upon request.
- (7) Submit the "Annual Report of Records Holdings," DOE F 1324.6, by August 1, to the Director of Administrative Services.

Vertical line denotes change.

f. Heads of Field Organizations.

- (1) Implement the DOE records disposition program in their respective areas of responsibility.
- (2) Utilize GSA Federal Records Centers to the fullest extent practicable and compatible with security regulations.
- (3) Maintain local records holding areas where operationally necessary or economically feasible.
- (4) Submit Form DOE AD-331, "Records Retention and Disposal Authorization" to MA-1, Attention: Office of Organization and Management Systems, to recommend new records retention standards, or changes to existing standards.
- (5) Assure that contractors in their areas of responsibility apply records retention standards and comply with policies, procedures, and standards prescribed in this Order and with applicable records clause contract provisions.
- (6) Submit DOE F 1324.6, "Annual Report of Records Holding," by September 1, to MA-1, Attention: Office of Organization and Management Systems.

9. REQUIREMENTS and PROCEDURES.

- a. The requirements and procedures for implementing the DOE records disposition program are contained in the following chapters of this Order:

**Chapter I, Definitions.**

**Chapter II, Basic Requirements.**

**Chapter III, Implementation of the Records Disposition Program.**

**Chapter IV, Retention of Operating and Onsite Service Contractor Records.**

Vertical line denotes change.

(1)

DOE 1324.2

7-2-81

6

- b. Records retention standards shall not be prescribed in any other directive. To the fullest extent practicable, organizations and contractors shall dispose of their records upon the expiration of the prescribed retention periods.



William S. Heffelfinger  
Assistant Secretary  
Management and Administration

Vertical line denotes change.

DOE 1324.2 Chg 1  
7-2-81

## ANNUAL REPORT OF RECORDS HOLDINGS

DOE F 1324.2 (11-80)  
(Replaces AD-317 which is obsolete.)

SEE INSTRUCTIONS ON REVERSE BEFORE COMPLETING FORM

<b>U.S. DEPARTMENT OF ENERGY ANNUAL REPORT OF RECORDS HOLDINGS</b>		DOE INTERNAL REPORTS CONTROL NO. DOE-AD-AN-0005	
		1. REPORTING PERIOD: FISCAL YEAR ENDING September 30, 1981	
2. TO: Director of Administration Attn: AD-242 U.S. Department of Energy 1000 Independence Ave., S.W. Washington, D.C. 20585		3. FROM (Installation reporting): U.S. Department of Energy Albuquerque Operations Office P.O. Box 0000 Albuquerque, New Mexico 87115	
<b>SUMMARY OF RECORDS HOLDINGS</b> (Complete all items. Do not leave blanks.)			
STATUS	DOE	CONTRACTOR	TOTAL
4. VOLUME OF RECORDS (CU. FT.) ON HAND, END OF FISCAL YEAR IN:			
(a) CURRENT FILE ROOMS, LABORATORIES AND OFFICES	5,123	57,123	62,246
(b) STAGING, HOLDING AND OTHER TEMP. STORAGE AREAS	1,400	2,700	4,100
(c) TOTAL	6,523	59,823	66,346
5. VOLUME OF RECORDS TRANSFERRED OUTSIDE OF REPORTING INSTALLATION DURING FY:			
(a) TO FEDERAL RECORDS CENTERS	728	729	1,457
(b) OTHER (Describe the records and identify recipients in Remarks Section below)	-0-	-0-	-0-
6. ESTIMATED NUMBER OF DOCUMENTS IN CUSTODY WHICH ARE CLASSIFIED SECRET.	346,248	1,746,248	2,092,456
7. NUMBER OF REELS OF MAGNETIC TAPE INCLUDED IN TOTAL ABOVE (Item 4(d))	7,120	8,240	15,360
8. VOLUME OF RECORDS DESTROYED (CU. FT.):			
(a) AUDIO VISUAL RECORDS DESTROYED UNDER AUTHORITY OF DOE 1324.2 (SEE DOE AND DOE-CONTRACTOR RECORDS SCHEDULES 21).			
(1) STILL PICTURES	0.5	1.5	2.0
(2) MOTION PICTURES	-0-	10.0	10.0
(3) SOUND RECORDINGS	1.0	-0-	1.0
(4) VIDEO RECORDINGS	-0-	-0-	-0-
(b) ALL OTHER RECORDS DESTROYED IN OFFICES OR HOLDING AREAS UNDER AUTHORITY OF APPROVED RECORDS SCHEDULES	200	325	525
9. CERTIFICATION:	THE RECORDS HOLDINGS REPORTED ON THIS FORM ARE COVERED ADEQUATELY BY CURRENT AUTHORIZED DOE AND DOE-CONTRACTOR RECORDS SCHEDULES AS PROVIDED IN DOE ORDER 1324.2, RECORDS DISPOSITION.		
<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO (If "no", please attach explanation)			
10. REMARKS: (Indicate the reasons for significant increases/decreases in holdings; any plans for cleanout campaigns; information on transfers reported in item 5(b); other significant records disposition matters. Attach additional sheets, if necessary.)			
11a. NAME OF RECORDS OFFICER OR OTHER PERSON WITH WHOM TO CONFER Mrs. Enna Gee		b. TITLE Records Officer	c. PHONE NUMBER 123-4567
12. DATE PREPARED 8/20/81	13. NAME AND TITLE OF SIGNING OFFICIAL Mr. Wright Rekord, Dir., Info. Mgmt. Div.	14. SIGNATURE <i>Wright Rekord</i>	

Vertical line denotes change.

9

DOE 1324.2 Chg 1  
7-2-81**INSTRUCTIONS FOR PREPARING REPORT****GENERAL**

This report is required by DOE 1324.2, Records Disposition, which implements the requirements of GSA Regulations FPMR 101-11.102-7.

A transmittal letter is not required for this report.

Records to be included in the total volume should comprise:

1. All DOE and DOE-Contractor records;
2. Records held for GAO audit; and
3. Official Personnel Folders (records of the Office of Personnel Management) in DOE custody.

No volume should be included for DOE records centers operating with the specific approval of GSA in accordance with the requirements of FPMR 101-11.412. This data should be reported separately on Standard Form 137, Agency Records Center Annual Report, per FPMR 101-11.412-4.

Volume reported should include record material only. (See Definitions below for excluded material.)

Custody rather than ownership is the determining factor in reporting records in the "DOE" or "Contractor" columns.

**DOCUMENTS CLASSIFIED SECRET (Item 6)**

The estimate of this number may be based upon:

- A representative sampling of holdings;
- Available document accountability records;
- Other methods which would produce a reasonably accurate estimate.

An inventory of these documents shall NOT be taken for the purpose of completing this item.

**DEFINITIONS**

- "DOE" volume includes Headquarters and field offices, but excludes GSA-approved, DOE-operated records centers (not to be confused with local staging, holding or other temporary storage areas which are included).
- "Contractor" volume includes operating and onsite service contractors as defined in DOE 1324.2, pages V-1 and V-2, but excludes GSA-approved, DOE-Contractor-operated records centers operating in accordance with FPMR 101-11.412.
- "Records" includes all books, papers, maps, photographs, machine readable records, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of data in them. (This definition pertains to records created or received by Federal agencies. The basic elements of the definition may be applied to records disposition activities by contractors. That is, for "Federal law," contractors may substitute "provisions of the contract," and for "transaction of public business," substitute "business transactions under the contract.") "Record materials" are those classes of documentary materials which may be disposed of only after archival (GSA/NARS) authority is obtained. "Nonrecord materials" include those classes of documentary or other material which may be disposed of without archival authority, i.e., disposable by agency authority alone. (See DOE 1324.2, page I-3 for examples of nonrecord material.) For the purposes of this report, DO NOT REPORT LIBRARY BOOKS, BULK STOCKS OF PUBLICATIONS, BLANK FORMS, STOCKS OF

**DEFINITIONS (Continued)**

PROCESSED DOCUMENTS (e.g., stocks of photocopied reports), AND OTHER NONRECORD MATERIALS.

- "Staging, Holding or Other Temporary Storage Areas" includes areas formally designated for staging and holding purposes, as well as all other storage areas, EXCEPT current file rooms and offices; GSA-approved, DOE or DOE-Contractor-operated records centers; and Federal Records Centers.
- "Magnetic Tape" includes all tapes on which data are recorded as part of an automated data processing or information retrieval system. Audio recordings of music, speeches, etc. are not included in Item 7.

**TABLE OF EQUIVALENTS**

For the purpose of this report, volume may be calculated according to the following table of cubic foot equivalents:

**Filing cabinets:**

One letter-size drawer = 1½ cubic feet  
One legal-size drawer = 2 cubic feet

**Filing cases:**

One 3- by 5-inch case = 1/10 cubic foot  
One 4- by 6-inch case = 1/4 cubic foot  
One 5- by 8-inch case = 1/4 cubic foot

**Shelf files:**

Letter-size, 1 linear foot = 4/5 cubic foot  
Legal-size, 1 linear foot = 1 cubic foot

**Tabulating cards:**

10,000 cards = 1 cubic foot

**Magnetic tape:**

Seven reels = 1 cubic foot

**Microfilm:**

100 16mm reels (100 feet) = 1 cubic foot  
50 35mm reels (100 feet) = 1 cubic foot

**Outsized equipment:**

Inside cubic measurement

**Still pictures:****Negatives**

2300 35mm 6 exposure strips = 1 cubic foot  
8840 2- by 2-inch mounted slides = 1 cubic foot  
2184 4- by 5-inch film sheets = 1 cubic foot  
5960 2½- by 3½-inch film sheets = 1 cubic foot

**Prints**

2350 8- by 10-inch glossies or contact sheets = 1 cubic foot  
9400 4- by 5-inch glossies = 1 cubic foot

**Motion pictures:**

Six 35mm reels (1000 feet) = 1 cubic foot  
11 16mm reels (1200 feet) = 1 cubic foot  
15 16mm reels (800 feet) = 1 cubic foot  
32 16mm reels (400 feet) = 1 cubic foot

**Sound recordings:**

78 16-inch disc recordings = 1 cubic foot  
144 12-inch disc recordings = 1 cubic foot  
48 7-inch audiotape reels = 1 cubic foot  
16 10-inch audiotape reels = 1 cubic foot

**Video recordings:**

Ten ¾-inch cassettes = 1 cubic foot  
Three 2-inch reels = 1 cubic foot  
Nine 1-inch reels = 1 cubic foot  
43 ½-inch reels = 1 cubic foot

Vertical line denotes change.

(10)

DOE Form AD-H35  
(2-78)U.S. DEPARTMENT OF ENERGY  
RECORDS TRANSFER

- Send:
- 1 Complete copies plus
  - 2 Copies of first page to:  
Records Holding Area

NOTE: Access to stored records is restricted to personnel of the organization initiating the transfer. Additional restrictions, if desired, should be by separate memorandum.

DOE LOCATION (For Records Holding Area Use)	DOE JOB NUMBER

## 1. ORGANIZATION INITIATING TRANSFER (Division, Office, Branch, Section)

Office of Organization and Management Systems, Mgt. Systems Development &amp; Eval., Br.

Date of Transfer

## 2. AUTHORIZING OFFICIAL (Signature)

Harvey Jones

*Harvey Jones*(Title)  
Acting Chief

No. of Cubic Feet

## 3. BRIEF DESCRIPTION OF RECORDS (Include Group or Series Title or Other Identification)

## Background folders on DOE Records Disposition Order

(For Records Holding Area Use) BOX NO.	FOLDER OR ITEM TITLE	4. INVENTORY (Give complete information for each item listed)		5. DISPOSITION (Indicate, etc. Disposition Authority)	
		Inclusive Dates or Records (Mo. Yr.)	CLASSIFICATION	A. DISPOSAL AUTHORITY	B. RETENTION PERIOD
	Background files for DOE Order 1324 dated 10-22-79  DOE Records Schedules folders 1-26 Contractor Records Schedules folders 1-26	10/77 thru 10/79	UNCL	ERS 16, la(1)(c)	10 years

6. MAY THESE RECORDS BE DESTROYED AS SCHEDULED WITHOUT FURTHER DIVISION OR OFFICE CONCURRENCE?  YES  NO

DATE ELIGIBLE FOR RETIREMENT TO FRC	(FOR RECORDS HOLDING AREA USE) DATE TRANSFERRED TO FRC	CERTIFICATION: The boxes listed under Item 4 have been received in the Headquarters Records Holding Area.
DATE ELIGIBLE FOR DESTRUCTION	DATE DESTROYED	(Signature) _____ (Date) _____

DOE FORM AD-H35

TABLE OF CONTENTS

	<u>Page</u>
<u>CHAPTER I - DEFINITIONS.....</u>	I-1
<u>CHAPTER II - BASIC REQUIREMENTS.....</u>	II-1
1. General.....	II-1
2. Accomplishment of Objectives.....	II-1
3. Need for Records Disposition Program.....	II-1
4. Immediate Goals and Objectives.....	II-2
5. Reporting Requirements.....	II-2
<u>CHAPTER III - IMPLEMENTATION OF THE RECORDS DISPOSITION PROGRAM... III-1</u>	
1. Procedures, Standards and Guidelines.....	III-1
2. Scheduling and Disposition.....	III-1
3. Retirement, Storage, and Transfer.....	III-1
4. Records Retention Standards.....	III-1
5. Restrictions Affecting the Disposal of Records.....	III-2
6. Security Requirements.....	III-5
7. Personal Papers.....	III-5
8. Summary of Procedures for Preparing and Applying Records Inventory and Disposition Schedules.....	III-5
9. Preparation and Application of Records Inventory and Disposition Schedules.....	III-7
10. Application of Retention Periods.....	III-16
11. Appraisal - Development of New Standards.....	III-17
12. Retention Periods.....	III-21
13. Permanent Records.....	III-23
14. Disposal of Discontinued Files.....	III-24
15. Automatic Data Processing (ADP) Machine Readable Records...	III-24
16. Microfilm Projects.....	III-24
17. Disposal of Secret Documents.....	III-25
18. Retirement Standards.....	III-26
19. Records Storage.....	III-29
20. Transfers of Records.....	III-32
21. Maintaining Program Effectiveness.....	III-36
Attachment III-1 DOE Form AD-384, Records Inventory and Disposition Schedule.....	1

	<u>Page</u>
Attachment III-2 DOE Form AD-331, Records Retention and Disposal Authorization.....	1
Attachment III-3 Standard Form 135, Records Transmittal and Receipt.....	1
<u>CHAPTER IV - RETENTION OF DOE RECORDS</u> .....	<u>IV-1</u>
1. DOE Records Schedules (ERS).....	IV-1
2. Need For New Standards.....	IV-1
Attachment IV-1 - DOE Records Schedules.....	1
<u>CHAPTER V - RETENTION OF CONTRACTOR RECORDS</u> .....	<u>V-1</u>
1. Contractor Records Schedules (CRS).....	V-1
2. Authorization to Use Contractor Records Schedules.....	V-1
3. Need for New Standards.....	V-2
Attachment V-1 - Contractor Records Schedules.....	1

CHAPTER I  
DEFINITIONS

1. ACCOUNTABLE OFFICERS ACCOUNTS. Specific documents prepared by accountable officers and required by GAO to be maintained for audit. Also known as site audit records.
2. APPRAISAL. The process of determining the value, and thus the disposition, of records based upon their administrative and other uses, their evidential, informational, or research value, their arrangement, and their relationship to other records.
3. AUTOMATIC DATA PROCESSING (ADP) RECORDS. See Machine-Readable Records.
4. CLASSIFIED INFORMATION. Records or information requiring, in the interests of national security or for the protection of individuals, safeguards against unauthorized disclosure.
5. COMPREHENSIVE RECORDS DISPOSITION SCHEDULE. A listing of the filing units and general files of an organization setting forth their mandatory disposition in terms of retirement, disposal, or transfer to storage after specified retention periods. The schedule includes all file material whether record or non-record and whether classified or unclassified. It includes records designated for permanent retention as well as those scheduled for disposal. DOE comprehensive records disposition schedules are called Records Inventory and Disposition Schedules (RIDS). (Also see paragraph 10, "Disposition," below.)
6. CORRESPONDENCE FILE, GENERAL SUBJECT. A collection of documents not possessing the uniform characteristics found in a filing unit, arranged by subject, and covering a variety of types of transactions. Some of the component segments of a general subject correspondence file may be filing units such as a folder of monthly activity reports, or a subject file classification consisting of travel vouchers.
7. CURRENT FILES AREA. The office or laboratory space used for the maintenance of current records.
8. CURRENT RECORDS. Files referred to frequently in the conduct of current business and maintained in office space of the using organization.
9. DISPOSAL. The physical destruction of records.
10. DISPOSITION. The actions taken with regard to records following their appraisal. The actions include transfer to a Federal Records Center or local storage area for temporary storage, transfer to an archival facility,

microfilming, destruction, disposal, or retirement. It may include two or more of these actions such as retirement to storage after 1 year and destruction after 6 years. The term includes, but is not synonymous with, disposal.

11. **DISPOSITION SCHEDULE.** A document governing, on a continuing basis, the mandatory disposition of filing units and correspondence files of an organization. Also known as a Records Inventory and Disposition Schedule (RIDS). (See also paragraph 5, Comprehensive Records Disposition Schedule.)
12. **FEDERAL RECORDS CENTER (FRC).** A records storage facility operated by the National Archives and Records Service, GSA, for housing and servicing noncurrent records. (See page III-29, paragraph 19a, for more detailed information.)
13. **FILE CUTOFF.** Termination of a file at periodic intervals to facilitate continuous disposal of the filing units in complete blocks. Sometimes called "file break."
14. **FILE ITEM.** A single document or case file of a filing unit or general file. It may be an item of correspondence, a report, a completed form, a map, a drawing, or a bound volume. It may also be a case file such as a voucher with attached supporting papers, or a personal history folder with included papers relating to an employee.
15. **FILING UNIT.** A series of identical or equivalent file items characterized by a consistent method of assembly and handling, a common arrangement of the component items, and uniform as to subject, type of information recorded, or kinds of transactions reflected. A filing unit may also include related elements physically separated from it such as finding aids or bulky material. Examples of filing units made up of uniform file items are contained on page III-8, paragraph 9a(4).
16. **GENERAL RECORDS SCHEDULES (GRS).** Schedules issued by NARS that govern the mandatory disposition of specified recurring filing units common to several of all Federal agencies. The GRS's are incorporated in DOE and contractor records schedules.
17. **LOW COST STORAGE.** Records storage facilities utilizing steel shelving. Also called records holding areas and Federal Records Centers.
18. **MACHINE-READABLE RECORDS.** Machine-readable records are records that require machine processing and decoding for conversion to human readable information. Examples of machine readable records include magnetic tape, disk packs, tabulating cards, punched cards, paper tape, or drums.
19. **NATIONAL ARCHIVES AND RECORDS SERVICE (NARS).** NARS is an organization in the U.S. General Services Administration with responsibility for the management and quality of records created by the Federal Government. To accomplish

its responsibilities, NARS issues Federal Property Management Regulations, maintains liaison with Federal agencies, and administers: Federal Records Centers, The National Archives, and Presidential Libraries.

20. NONRECORD MATERIAL.

- (1) Nonrecord material includes those classes of documentary or other material which may be disposed of without archival authority. In the statutory definition of record material it is stated that:

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 stocks of publications and of processed documents are not included.

- (2) On page 2 of the NARS Records Management Handbook, "Disposition of Federal Records," the designation "nonrecord" is given to the following material:

- (a) Information copies of correspondence on which no documented administrative action is taken.
- (b) Materials documenting such fringe activities as employee welfare activities and charitable fund drives.
- (c) Reading file copies of correspondence.
- (d) Tickler followup or suspense copies of correspondence.
- (e) Duplicate copies of all documents maintained in the same file.
- (f) Extra copies of printed or processed material, official copies of which have been retained for record purposes.
- (g) Superseded manuals or other directives maintained outside the office that is responsible for directives management.
- (h) Routing slips.
- (i) Working papers.
- (j) Drafts of reports and correspondence.
- (k) Transmittal sheets.
- (l) Drafts of reports and correspondence.
- (m) Transmittal sheets.

- (l) Blank forms.
- (m) Transcribed stenographic material.
- (n) Processed or published material received from other activities or offices, and which requires no action and is not required for any kind of documentation (the originating office or activity is required to maintain record copies).
- (o) Catalogs, trade journals, and other publications or papers that are received from Government agencies, commercial firms, or private institutions, and which require no action and are not part of a case upon which action is taken.
- (p) Correspondence and other records of short term value that, after action has been completed, have neither evidential nor informational value, such as requests for publications, and communications on hotel reservations.
- (q) Reproduction materials such as stencils and offset masters.
- (r) Physical exhibits, artifacts, and material lacking documentary value.

21. OPERATING AND ONSITE SERVICE CONTRACTORS. (See page V-1, paragraph 2.)
22. PERMANENT RECORDS. Records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Government. Such determinations are reflected in DOE and contractor records schedules and in approved offers to transfer records to the National Archives. Permanent records are offered to the National Archives when they are 25 years old, or in some cases before they are 25 years old.
23. PERSONAL PAPERS. Papers (records) of a private or nonofficial character which pertain only to an individual's personal affairs and are kept in the office of a DOE or contractor official. They must be clearly designated by the official as nonofficial and will at all times be filed separately from official records.
24. RECORD MATERIAL.
  - a. Those classes of documentary materials which may be disposed of only after archival authority is obtained. The statutory definition of "records" (44 U.S.C. 3301) is "...books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of

public business and preserved, or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them." This statutory definition pertains to records created or received by Federal agencies. The basic elements of this definition, however, may be applied to records disposition activities by contractors.

- b. The elements that are essential in materials to make them records are stated in the above definition in two alternatives:
    - (1) The material may be made or received by an agency either in pursuance of Federal law or in connection with the transaction of public business.
    - (2) The material may be preserved or appropriate for preservation either for evidentiary purposes or for the value of informational data it contains.
  - c. For "Federal law" in the first alternative, contractors may substitute "provisions of the contract" and for "transaction of public business," they may substitute "business transactions under the contract." The second alternative may be adapted to records disposition activities of the contractor without change of language. The evidence or information contained in records may pertain to the "organization, functions, policies, decisions, procedures, operations, or other activities." Some evidence or information concerning these matters is contained in practically all records. The immediate or future reference needs shall be considered in deciding the relative importance of these evidentiary values. Identification of those records which contain sufficient evidence or information to justify continued preservation is a principal part of records disposition activities.
- 25. RECORDS HOLDING AREA. A local low-cost records storage facility, often staffed on a part-time basis, for the economical storage of noncurrent records pending their disposal or transfer to a Federal Records Center.
  - 26. RECORDS INVENTORY AND DISPOSITION SCHEDULE (RIDS). See Comprehensive Records Disposition Schedule, above.
  - 27. RECORDS MANAGEMENT. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition.
  - 28. RECORDS SCHEDULES. Records schedules contain approved records retention standards grouped together by common subject matter. (See retention standard, below.)

5-28-80

29. RETAIN. A designation used when records must be held beyond their approved retention period for legal, research, patent, or other reasons.
30. RETENTION PERIOD. A retention period is the time period for particular records (normally a filing unit) to be kept. When the retention period requirement is met, unless there are restrictions (page III-2 paragraph 5) the records are destroyed.
31. RETENTION STANDARD. A retention standard describes particular records (normally a filing unit).
32. RETIREMENT. The removal of records from office type space and equipment and transfer to low-cost storage space.
33. RETIREMENT PERIOD. The period of time established for a filing unit to be retained in a current file area after file cutoff, pending its transfer to a low-cost storage area.
34. TRANSFER. Change of custodial responsibility for records by removal or assignment to another DOE or contractor installation, a Federal Records Center, the National Archives, another Federal agency, or other outside recipient.
35. TRANSFER PERIOD. The period of time established for a filing unit to be retained in a local records holding area, before transferring it to a Federal Records Center.
36. UNSCHEDULED RECORDS. Records for which no ultimate disposition has been established.

## CHAPTER II

### BASIC REQUIREMENTS

1. GENERAL. This chapter outlines the basic requirements of the records disposition program of DOE and its operating and onsite service contractors.
2. ACCOMPLISHMENT OF OBJECTIVES. To accomplish the objectives of the records disposition program (page 2, paragraph 7), three program components have been adopted:
  - a. The development and promulgation of records retention standards for records of DOE and its contractors. These standards are derived from:
    - (1) Standards adapted for DOE use from General Records Schedules developed by the National Archives and Records Service (NARS), GSA.
    - (2) Recommendations submitted by DOE organizations and contractors, which are concurred in by the responsible Headquarters program office, General Counsel, and, when appropriate, by the General Accounting Office. Final approval is obtained from NARS.
    - (3) Standards developed by the Office of Organization and Management Systems staff which are also subject to the concurrence and approval routine described in paragraph 2a(2), above.
  - b. The development and application of comprehensive records control schedules (called Records Inventory and Disposition Schedules (RIDS)) by organizational units of DOE and contractors. These schedules:
    - (1) Utilize the standards described in paragraph 2a, above.
    - (2) Identify for preservation records of continuing value.
    - (3) Establish retention periods for records of temporary value or nonrecord material.
    - (4) Provide file custodians with instructions regarding file cutoff (breaks), retirement of records from office space to low-cost holding areas, and disposal or transfer to a Federal Records Center, as appropriate.
  - c. The use of Federal Records Centers for housing and servicing the records retired under paragraph 2b(4), above, and the operation of records holding areas when operationally necessary and economically feasible.
3. NEED FOR RECORDS DISPOSITION PROGRAM. The need for a records disposition program is evidenced by the large volume of records generated and accumulated by DOE and its contractors. If all of these records are

7-2-81

retained, and no disposition program is established, the cost of records maintenance would be prohibitive and indefensible. The primary economic justification for the records disposition program is the cost avoidance that results from the selective retention and preservation of the small volume of records having a continuing value, and the systematic disposal of the greater volume not warranting further retention.

4. IMMEDIATE GOALS AND OBJECTIVES. The immediate goals and objectives of the DOE records disposition program are:

- a. To keep the total volume of current records stable by disposing of or transferring to low-cost storage, as many records each year as is necessary to reduce the burden of maintaining files of nonessential records.
- b. To maintain only the essential minimum number of secret documents required.
- c. To transfer to Federal Records Centers all noncurrent records that meet the criteria for transfer as prescribed in FPMR 101-11.410-2, and GSA Handbook "Federal Records Centers."
- d. To control the machine-readable records inventory.

Each of these goals can be obtained by the development and application of comprehensive records inventory and disposition schedules (RIDs) for all organizational elements of DOE and its contractors. This chapter has been prepared to assist in developing and applying RIDs.

5. REPORTING REQUIREMENTS.

- a. Headquarters organizations shall submit DOE F 1324.6, "Annual Report of Records Holdings," to the Office of Administrative Services by August 1 of each year.
- b. Field organizations shall submit to the Office of Organization and Management Systems, by September 1 of each year, DOE F 1324.6, "Annual Report of Records Holdings," (see attachment 1, page 1.)
- c. The Office of Administrative Services shall submit a consolidated Headquarters report to the Office of Organization and Management Systems by September 1 of each year.
- d. The Office of Organization and Management Systems shall submit the "Annual Summary of Records Holdings" to NARS, as prescribed by FPMR 101-11.102-7, within 30 days following the close of each fiscal year.

Vertical line denotes change.

CHAPTER III  
IMPLEMENTATION OF THE RECORDS DISPOSITION PROGRAM

**1. THE PROCEDURES, STANDARDS, AND GUIDELINES.**

- a. The procedures, standards, and guidelines used in the DOE records disposition program are contained in this chapter. Records retention standards for DOE records are contained in attachment 1 of chapter IV. Records retention standards for records generated by contractors are contained in attachment 1 of chapter V.
- b. Official records belong to the Government, not to individuals. They are in no sense personal property. Records can be legally disposed of only through the procedures of the records disposition program. The DOE and contractor records retention standards are the authorizations for the disposition of official records. Their application is mandatory. Records retention standards shall not be prescribed in any other DOE directive.

**2. SCHEDULING AND DISPOSITION.** DOE and its contractors develop and apply records inventory and disposition schedules (RIDS), providing for the periodic disposal and retirement of records in accordance with established time periods. Procedures and standards for the scheduling and disposition of records are summarized on page III-6, paragraph 8, below.

**3. RETIREMENT, STORAGE, AND TRANSFER.** The Records Inventory and Disposition Schedules noted in paragraph 2, above, include timetables for the retirement of noncurrent records from office space and equipment to lower cost storage facilities. Procedures and standards concerning the retirement of records, their storage, and the transfer of records between DOE organizations and the transfer of records outside of DOE are described in paragraphs 18, 19, and 20, below.

**4. RECORDS RETENTION STANDARDS.**

- a. DOE develops and establishes records retention standards covering DOE and contractor records. In establishing such standards, disposal authorizations are obtained from the National Archives and Records Service, GSA, in accordance with 44 U.S.C. 3301 et seq.
- b. Records schedules, prescribing approved retention standards for DOE and contractor records, are published as attachments to chapters IV and V. Records in the custody of DOE and its contractors are covered by applicable records retention standards and, to the fullest extent practicable, shall be disposed of upon the expiration of the stated retention periods.

5. RESTRICTIONS AFFECTING THE DISPOSAL OF RECORDS. Certain Federal statutes include restrictive provisions which affect the disposal of records. Also, DOE prescribes some restrictions and limitations. DOE and contractor organizations must comply with applicable restrictions and limitations in carrying out the records disposition program. Pertinent restrictions are set forth below:

a. Scope of Records Disposal Laws.

- (1) 44 U.S.C. 3105 provides, in part, as follows: "Records in the custody of [DOE] are not to be alienated or destroyed except in accordance with Title 44 U.S.C. 3301-3314."
- (2) 44 U.S.C. 3105 requires the head of each Federal agency to establish safeguards against the removal or loss of records determined to be necessary and required by regulations of the Administrator of the General Services Administration. DOE complies with 44 U.S.C. 3105 and 3301 et seq. by establishing procedures and standards for the disposal of both DOE and contractor records.
- (3) 18 U.S.C. 2071 provides penalties for the unlawful removal or destruction of records:
  - (a) "Whoever willfully and unlawfully conceals, removes, mutilates, obliterates, or destroys, or attempts to do so, or with intent to do so, takes and carries away any record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States or in any public office, or with any judicial or public officer of the United States, shall be fined not more than \$2000, or imprisoned not more than three years, or both.
  - (b) "Whoever having the custody of any such record, proceeding, map, book, document, paper, or other thing, willfully and unlawfully conceals, removes, mutilates, obliterates, falsifies, or destroys the same, shall be fined not more than \$2000 or imprisoned not more than three years, or both; and shall forfeit his office and be disqualified from holding any office under the United States."
- (4) 44 U.S.C. 3105 requires the head of each Federal agency to make known to officials and employees of the agency such penalties as are provided by law for the unlawful removal or destruction of records.

b. Unsettled Accounts.

- (1) 44 U.S.C. 3309 provides in part, as follows: "Records pertaining to claims and demands by or against the Government of the United States, or to accounts in which the Government of the United States is

concerned, either as a debtor or creditor, may not be disposed of by the head of an agency under any authorizations granted under sections 3306-3308 of this title until the claims, demands, and accounts have been settled and adjusted in the General Accounting Office, except upon the written approval of the Comptroller General of the United States."

- (2) DOE complies with the above restriction. DOE also obtains GAO written concurrence on disposal standards covering all financial and related records, program records having a retention period of less than 3 years, and of all standards for contractor records.

c. Federal and State Laws.

- (1) Where Federal or State laws, or regulations issued thereunder, require that contractor records be retained for longer periods, than prescribed in contractor records schedules, the contractors shall retain the records for the periods described by such laws or regulations.
- (2) Retention standards for contractor records are based on minimum requirements and are designed to fit the greatest number of contractors. They do not take into account any particular local situation, or any legal requirements which may apply to some, but not all contractors.

d. Litigation, Investigation, and Exceptions.

- (1) Notwithstanding records disposal authorizations, DOE and DOE contractor records shall be retained until completion, clearance, or settlement of: pending litigation, pending investigations, GAO exceptions, Congressional requests (both formal and informal), pending Freedom of Information Act requests, and pending Privacy Act requests.

(2) Restoration of Previously Suspended Disposal Authorizations for Telecommunications Records.

- (a) In United States of America v. American Telephone and Telegraph Company, Western Electric Company, Inc., and Bell Telephone Laboratories, Inc., Civil Action No. 74-1698, the United States District Court for the District of Columbia issued Pretrial Order No. 1, ordering retention of all documents specified in, and responsive to, the defendant's First Request for Production of Documents Pursuant to Rule 34 of the Federal Rules of Civil Procedure dated 1-10-75. Therefore, records disposal authorizations pertaining to records responsive to Pretrial Order No. 1 were suspended.
- (b) On 9-23-80 AT&T advised the Department of Justice that they "have no objection to the resumption of normal retention procedures at all executive branch governmental agencies from whom defendants obtained documentary discovery in this case with respect to any documents offered, or actually produced by those agencies to defendants."

e. Examination of Records Clause.

- (1) Negotiated contracts entered into or amended after 6-3-52 contain a provision usually identified as the "Examination of Records clause," to the effect that the Comptroller General of the United States or

Vertical line denotes change.

any of his authorized representatives shall have access to, and the right to examine, any directly pertinent books, documents, papers, and records of the contractor involving transactions related to the contract until the expiration of 3 years after final payment under the contract or such lesser time specified.

- (2) The size and duration of DOE operating and onsite service contracts make it too costly and impractical to retain all directly pertinent records for 3 years following final payment of such contracts. Thus, the requirement for retention for 3 years after final payment of the contract was modified for DOE contractors. Records retention standards for contractors are contained in attachment 1 of chapter V of this order. The General Accounting Office has concurred in these standards.
6. SECURITY REQUIREMENTS. DOE and contractor organizations shall comply with the applicable security requirements for transmitting, storing, or disposing of classified records. See directive series 5632 for the issuance of specific standards, procedures, and requirements for the protection of classified matter.
7. PERSONAL PAPERS.
- a. Personal papers consist of records of a private or nonofficial character which pertain only to a DOE or contractor official's personal affairs, and are kept in the office of the official. The papers must be clearly designated by the official as personal papers. Personal papers will at all times be filed separately from official records. If a matter involving the transaction of official business is received in private correspondence, the portion of such correspondence that pertains to official business will be extracted and made a part of official files.
  - b. Departing officials are permitted to retain extra copies of official records which they drafted, received, or otherwise acted upon, provided that such retention does not diminish official records; violate confidentiality required by national security, privacy, or other interests protected by law; or exceed normal administrative economies.
8. SUMMARY OF PROCEDURES FOR PREPARING AND APPLYING RECORDS INVENTORY AND DISPOSITION SCHEDULES (RIDS).
- a. Work Steps and Procedures. The preparation and application of comprehensive records inventory and disposition schedules involve the following work steps and processes:
    - (1) Selection of appropriate units of the overall organization to be covered by separate RIDS.

- (2) Inventory of all records in the organizational unit.
  - (3) Analysis of the inventory to identify:
    - (a) Filing units covered by established records retention standards.
    - (b) Nonrecord material.
    - (c) Filing units not covered by established records retention standards.
  - (4) Appraisal of filing units not covered by records retention standards and the development of recommended records retention standards for such filing units.
  - (5) Action to obtain necessary authority to use recommended retention standards developed for unscheduled records.
  - (6) Development of cutoff instructions and retirement periods.
  - (7) Coordination to obtain local approvals for the RIDS.
  - (8) Initial application of the schedule by disposing of records for which the retention periods have expired, disposing of unneeded nonrecord material, and retiring eligible records.
  - (9) Follow-up measures to assure that disposition action is taken periodically according to the schedule.
  - (10) Periodic reviews of RIDS, with amended records schedules as necessary, to keep the RIDS current.
- b. The procedures summarized in paragraph 8a, above, involve the use of two forms:
- (1) DOE Form AD-384, "Records Inventory and Disposition Schedule" (or its equivalent), is used in connection with subparagraphs (1) through (4), and (6) through (10) above. DOE Forms AD-384 and 384a (continuation sheet) are illustrated in attachments 1 and 2.
  - (2) DOE Form AD-331, "Records Retention and Disposal Authorization," is used in connection with subparagraphs (4) and (5), above. DOE Form AD-331 is illustrated in attachment 3.

9. PREPARATION AND APPLICATION OF RECORDS INVENTORY AND DISPOSITION SCHEDULE (RID'S).

a. Inventory. The first step in the scheduling process is to inventory the records in the custody of the organizational unit to be covered by the schedule. The schedule is the key to the records disposition program. A complete and accurate records inventory is important, and consequently is treated in some detail as follows:

(1) Characteristics of a Records Inventory.

- (a) It must cover all records in the organizational unit.
- (b) Nonrecord material must be included.
- (c) Filing unit descriptions must be clear.
- (d) Records must be listed by filing units (not document by document or folder by folder).

(2) Unit of Organization.

- (a) The ultimate goal of the records disposition program is to have all records covered by records inventory and disposition schedules. The magnitude of this task requires the participation of all organizational elements. The task also must be divided into manageable pieces for its accomplishment. For practical purposes separate schedules are prepared for appropriate segments of the organization. An appropriate segment may be an office, division, branch, or section (from the larger to the smaller) depending on the size of the organization, its assigned functional responsibilities, and the custodianship and location(s) of its records. An example is an office service branch consisting of a mail section, a word processing section, a records management section, and a graphics section. Schedules should be set up for each section. Examples of other appropriate segments are organizations responsible for the functions of procurement, property management, warehousing, payrolling, accounts payable, transportation, and facilities management.
  - (b) In selecting units of organization, consideration must be given to the fact that the schedules must be implemented and applied. Therefore each schedule should cover an organizational unit where some individual has been assigned specific responsibility for files maintenance and disposition.
- (3) Scope. The inventory covers all records of each organization and it includes:

- (a) Both record and nonrecord material.
- (b) Classified as well as unclassified papers.
- (c) ADP machine-readable and microfilm records.
- (d) Filing units and general files.
- (e) Permanent as well as temporary records.
- (f) Reference material maintained in filing equipment (pamphlets, reports, handbooks, reading files, and extra copy files).

(4) Inventory Items.

- (a) Inventory items should be descriptive of filing units or appropriate segments of general files; not separate forms, reports, file folders, or other papers which do not constitute filing units. For example, applications for employment are not inventory items if they are filed in official personnel files along with job descriptions, change of status forms, and other data about individual employees. The inventory item (filing unit) is the official personnel file. Applications for employment are filing units only if they are filed separately. Some examples of filing units are:
  - 1 An entire voucher file, arranged numerically by voucher number, consisting of copies of paid vouchers together with attached supporting papers such as purchase orders, receiving reports, invoices, bills of lading, and related correspondence. Each individual voucher, together with its supporting papers is a file item.
  - 2 A complete official personnel file, arranged alphabetically by name of employee, consisting of separate personnel folders, each containing records pertaining to an individual employee. Each separate folder with its contents is a file item.
  - 3 A purchase order file, arranged numerically by purchase order number or alphabetically by name of vendor, consisting of copies of all purchase orders issued or received by an organization. Each separate purchase order is a file item.
- (b) Inventory items should be limited to filing units, wherever possible. They should not be expanded to include all of the records of an activity or general file unless all of the separate items are interfiled. For example, a contractor engineering file of 100 cubic foot volume, and consisting of

six or seven distinct filing units, with different retention values, one filing unit of which is field notebooks, should not be inventoried as a single item. For example: if the field notebooks comprise 40 cubic feet and are filed separately in one series, they should be handled as a separate inventory item.

(5) Description of Records.

- (a) It is essential that the records in the inventory be described in terms that will be meaningful to the person who will apply the schedule. Inventory items are described as they exist in the organizational files - generally accepted titles in normal day-to-day use - not as they are, or may be described somewhere else. For instance, the descriptions in the records schedules in most cases should not be used, since it is unlikely that these schedules will describe the records exactly. The records schedule descriptions are intentionally broad so that they can be widely applied.
- (b) The use of the descriptions in attachment 1 of chapters IV and V comes later in the process of matching the inventory items to the standards contained in these attachments. The completed RIDS will be used by files custodians to dispose of records or retire them in accordance with the retention and retirement periods on the RIDS. Therefore, the item descriptions should be accurate portrayals of the files so that the disposal and retirement periods can be applied without error by the custodians of the files.
- (c) A proper description of an inventory item consists of the name or title of each filing unit. The title of a single form may be used if it applies to an entire filing unit (examples - bills of lading, payroll checks, vouchers, and purchase orders). Form numbers or titles should not be used when case files are being described. Such files often consist of numerous forms. (Examples of case files: intelligence files, docket files, contract files, individual personnel files, loan files, and project files.) It is also desirable to indicate whether the files consist of original records, or copies.
- (d) Descriptive data in the inventory items should indicate the filing arrangement (as alphabetic, chronological, numerical), since the arrangement can affect disposition actions. For example, procurement files arranged alphabetically by vendor names or general files arranged by subject must be artificially broken or "cut off" periodically to permit disposal or retirement. The filing arrangement can also be a factor in identifying records to be preserved, retired, or destroyed. For example, some procurement organizations maintain both numerical

and alphabetic files of purchase orders; the main distinction between them is the filing arrangement. It is likely that the alphabetical file is a finding aid and may be designated as nonrecord material.

(6) General Subject Correspondence Files.

- (a) It is much more difficult to inventory and schedule general subject correspondence files than it is for specific filing units such as foreman's time cards, paid checks, purchase orders, and vouchers. General subject correspondence files are usually arranged by subject and consist of correspondence, completed forms, and reports. The entire file is seldom a filing unit, but portions of the file are. Therefore, in the inventory and scheduling process, general subject correspondence files should be reviewed and analyzed in some detail to identify and evaluate the filing units. Typical general subject correspondence files consist of both record and nonrecord material. The main purpose of the review is to identify record material (which cannot be disposed of prior to the expiration of authorized retention periods), and nonrecord material, which can be disposed of as soon as it has served its purpose. All nonrecord material often can be identified as a single filing unit.
- (b) Filing units in a general subject correspondence file should not be broken down too finely. Often, a breakdown at the primary subject level is sufficient. Breakdown into detailed subdivisions, such as secondary and tertiary classifications, is discouraged.
- (c) Organizations with decentralized files find it practical to have two main inventory items of their general subject correspondence files with subitems under each. The first main item will consist of primary subject classifications which contain the material documenting activities relating to the primary responsibilities of the organizational unit. This material will have longterm or, in a few instances, permanent retention values. The second main item will consist of the primary subject classifications which contain material relating to secondary responsibilities, and for which other organizations have the primary functional responsibilities. The material in the second main item should have short term retention values only.
- (d) This method of scheduling general subject correspondence files is possible in decentralized files because the organization which prepares correspondence retains the record copies,

irrespective of who signs the outgoing material. Normally the organization responsible for a given function prepares the correspondence relating to that function. Contractors having similar systems for preparing and filing correspondence may find it practical to inventory and schedule general subject correspondence files in a like manner.

b. Assigning Retention Periods.

(1) Established Retention Standards.

- (a) The completed inventory is reviewed to determine the proper disposition of the items described thereon. Normally, the items will fall into three categories:

- 1 Record items covered by established retention standards.
- 2 Nonrecord items.
- 3 Record items not covered by retention standards.

- (b) Record items in the inventory, which are covered by existing retention standards, are identified by matching the items on the inventory with appropriate retention standards contained in attachment 1 of chapters IV or V of this order. The authorized retention period and the source of the authority (schedule reference) are posted in columns 7 and 8, respectively, on the RIDS form. For example, a filing unit consisting of DOE travel files would be posted "2 years" in column 7, and "ERS 9-5" in column 8. (ERS 9-5 stands for DOE Records Schedule 9, item 5.)

- (2) Use of Established Standards. The retention standards are published as attachments to chapters IV and V. Chapter IV, attachment 1, contains the DOE Records Schedules (ERS) with records retention standards for DOE activities. Chapter V, attachment 1, contains Contractor Records Schedules (CRS) with standards applicable to records of contractors. Within the attachments the standards are grouped together by common subject matter and called a schedule. The use of the standards requires an understanding of the coverage of records included in the schedule, since the completion of a RIDS may involve records covered by several schedules. The alphabetic index to the schedules should also be checked as it will help to locate the appropriate standards for filing units described in the inventory.

- (3) Use of Broad Standards. Records are described in many of the standards in broad, general terms, instead of in specific terms, to describe individual filing units. A large number of the standards

were adapted from the GRS and are not based on DOE or contractor filing units. Consequently, these standards are broad in their coverage. Also, the Office of Organization and Management Systems, in requesting disposal authorizations from NARS, prepares descriptions, wherever practical, broader than actual DOE or DOE contractor filing units so that they can be applied DOE-wide. This is designed to give the organizations which apply the schedules broad disposal authorizations and reduce the need for submitting many Forms AD-331 to Headquarters. Since filing units are described on the RIDS in terminology familiar to the organization for which the RIDS are prepared, often the descriptions will not coincide exactly with the descriptions in the authorized standards. Judgment is required in finding appropriate standards for comparable records.

(4) DOE Authorized Records Retention Schedules.

- (a) DOE authorized records retention schedules are: (1) based on the General Records Schedules (GRS); (2) contain some deviations approved by NARS, from the GRS to cover situations unique to DOE; and (3) contain additional schedules, approved by NARS, to cover DOE records not covered by the GRS. Also, the records schedules for contractors in many instances differ from the GRS.
- (b) For the above reasons, the records retention standards issued as attachments to this order are the only authorized records retention standards to be used by DOE and its contractors.

(5) Deviations from Established Records Retention Standards.

- (a) The retention periods prescribed in the records retention standards in this order are the minimum periods of time which records must be retained. Records may not be destroyed until after the elapse of the periods specified, or in some cases, until the occurrence of a specified event.
- (b) Occasionally, it may be necessary or desirable to establish longer or shorter retention periods than prescribed in the records retention standards. If the criteria on which the retention period was originally based have changed, a Form DOE AD-331 should be prepared giving the reason for the change in the retention period. The form should be forwarded by the Headquarters or field office Records Officer (or person serving in that capacity) to the Office of Organization and Management Systems.
- (c) The Office of Organization and Management Systems will obtain the necessary NARS and other approvals. If a local situation requires that records be temporarily retained for 1 year or

less, Headquarters or NARS approvals are not required. Extensions of over 1 year require Headquarters and NARS approvals.

- (d) DOE contractors should comply with applicable Federal and State laws regarding the retention of records. If Federal or State laws, or regulations issued thereunder, require the retention of records for longer periods than prescribed in this order, then the longer periods should be used on RIDS.

Note: This requirement shall not be construed as directing the extension of records retention standards to coincide with statutes of limitations in the various States. Statutes of limitations are not necessarily controlling factors in the establishment of retention periods. For example, contractors paid payroll checks are disposable after 3 years, even though the statute of limitations may be 6 years. In this instance, experience has shown that controversies and claims concerning payment of wages arise in a matter of hours or days - not years. The cost of keeping the record 6 years would greatly exceed any possible benefits.

(6) Identifying and Evaluating Nonrecord Material.

- (a) The definition of nonrecord material in chapter I includes examples of nonrecord items. These examples should be used as guides in identifying nonrecord filing units described on RIDS. Each nonrecord filing unit is designated on RIDS by entering "nonrecord" in column 8, "Disposal Authority." If the determination of nonrecord is based on physical duplication, also indicate the office responsible for keeping the record copy.
- (b) Nonrecord items are evaluated to determine appropriate retention periods. Short periods (less than 3 years and often not more than 1) should be established for nonrecord filing units since they are usually duplicated elsewhere in the organization, and are retained for convenience of reference only. The retention periods are posted in column 7 on RIDS. Since nonrecord material may be disposed of without NARS or other authority, the retention periods are construed as maximum, rather than minimum, periods. Therefore, nonrecord material on RIDS may be disposed of prior to the expiration of established retention periods, except for data in machine-readable form. Retention periods for nonrecord ADP machine-readable data must be construed as minimum retention periods.

- (7) Filing Units Not Covered by Established Standards. After matching up the "record" filing units with established standards, and after determining retention periods for "nonrecord" filing units, there may remain a third category of inventory items. This category consists of "record" filing units for which records retention standards have not been established. For these filing units, new records retention standards need to be developed. Because several months are usually required for obtaining new authorizations, the entry "to be developed" is posted in column 7 of RIDS and "to be obtained" in column 8. In this way the RIDS can be completed and the approved records retention standards, and the retention periods established for nonrecord material, can be immediately applied. The guide for appraising the deferred or open items, and the procedures for obtaining new records retention authorizations are described on page III-17, paragraph 11, below.
- (8) Cutoff Instructions and Retirement Periods. The completed RIDS includes a timetable for the removal of noncurrent records from office space and equipment and transfer to lower cost storage facilities. This timetable provides instructions for file cutoff, retirement, transfer, or destruction. Retirement and transfer periods are developed only after the retention periods are determined, since usually a significant part of each collection of records can be destroyed in the organization responsible for them. Such records are not to be transferred to low-cost storage. The instructions for file cutoff, retirement, transfer, or destruction are posted in column 9 of the RIDS, after which the RIDS is ready for preparation in final form, approval, and application.

c. Final Preparation, Coordination, and Distribution of RIDS.

- (1) In preparing RIDS for approvals, it may be desirable to rearrange the sequence of the filing units from the way they appear on the preliminary draft, especially if a large number of filing units are involved. Discontinued filing units, for example, should be listed on a separate continuation sheet (DOE Form AD-384a) for removal from the RIDS when all of the discontinued records have been disposed of. Likewise deferred or open items (ones for which new disposal authorizations are needed) may be listed on a separate sheet since that part of the RIDS is not subject to immediate application.
- (2) The Office of Administrative Services (AD-40) prescribes the procedures for approval of RIDS at Headquarters.
- (3) Each DOE field office and each contractor prescribes procedures for approval of their RIDS.

- (4) Approvals required should be limited to organizations having a legitimate interest in the records. Approval by the Office of Organization and Management Systems is not required. RIDS should be prepared in at least two copies for distribution and use as follows:
- (a) The originals should be given to the files custodians responsible for applying the RIDS.
  - (b) One copy should be maintained by the local records officer, or other official responsible for the records disposition program of the organization. This copy can be used to measure progress in developing RIDS and determining which offices remain to be covered. It also can be used to monitor their application in offices of custody and records holding areas.

d. Applying RIDS.

- (1) The approved RIDS is an established records control schedule for the destruction, retirement, or transfer of records to storage after the time intervals indicated on the schedule. As such, those actions should be performed at the commencement of the RIDS program initially and periodically thereafter.
- (2) Too much time spent in applying schedules can reduce program savings. Some considerations in applying the schedules are:
  - (a) Records need not be destroyed at the exact time their retention period ends.
  - (b) Disposal and transfer should be accomplished annually or semi-annually, rather than more frequently.
  - (c) A different timetable may be necessary if records accumulate rapidly.
  - (d) Records may accumulate so slowly that annual transfers are not warranted.
  - (e) Application of the schedules should avoid interference with current operations. Records should be transferred during slack periods if possible.

e. Disposal.

- (1) Method.
  - (a) Unclassified records are disposed of upon the expiration of the authorized retention periods by maceration, shredding,

landfill, burial, or by sale as waste paper. Classified or privileged records shall be shredded, macerated, or otherwise rendered illegible. Contracts for the sale of records as waste paper shall contain a provision prohibiting their resale or use as records or documents.

- (b) All classified records shall be disposed of in accordance with security regulations.

- (2) Responsibility. The responsibility for authorizing the physical disposal of records belongs to the original office of custody. All records transferred to records holding areas or to Federal Records Centers must be scheduled before they will be accepted for storage. Records holding area or Federal Records Center personnel provide notice to the original office of custody when records have become eligible for disposal. At that time the original office of custody may either authorize the disposal of the records or, if there is sufficient justification, defer disposal. If the original office of custody does not respond to the notice within 90 days, it will be assumed that disposal is authorized.

- f. Deferred Disposals. Records pertaining to current or pending litigation and investigations, pending Freedom of Information (FOI) matters, or to exceptions taken by the General Accounting Office, shall be retained until the litigation is settled, the FOI matter resolved, or the GAO exception is cleared. If such cases exist, and involve records otherwise eligible for disposal, the specific records should be removed from the filing unit and retained in a suspense file until the matters in controversy are settled. RIDS should then be applied to the remaining items. Original offices of custody should make certain that there are no such cases pending before authorizing the disposal of the records.

10. APPLICATION OF RETENTION PERIODS. Retention periods are applied in terms of filing units - not individual file items within a filing unit. For example, if a retention period is established as 1 year for a specific filing unit, it obviously would be impractical to screen the records each day and dispose of each document which had become 365 days old. The disposal date of each filing unit is calculated from the most recent date of a file item within the filing unit, as of the date of the commencement of the RIDS program. Implicit in a 1 year retention period is "1 year plus the remainder of the current year."

- a. Initial Application. After a RIDS has been approved, all disposable records should be removed from the files and disposed of at once. For some organizations which have not had a records disposition program, the volume of records subject to initial disposal may be much greater than those to be retained, especially if the files have been established for several years. After the initial disposals have been made, the remaining records which are eligible for retirement (transfer to storage) should be removed from the files and retired immediately.

b. Periodic Applications. After the initial application of the RIDS, a specified time should be established for their subsequent reapplication. In most instances RIDS are applied at 1 year intervals such as the end of a calendar year or fiscal year when the files are cut off. If the rate of accumulation of a filing unit is high, the RIDS may be applied more frequently such as quarterly or semiannually. Conversely, if the volume is small, a 2-year interval may be established.

- (1) Retention periods in terms of months, such as 3 months or 6 months, may be applied each month if the volume warrants such action. For example, if the retention period for a monthly report is 3 months, the January report can be disposed of when the April report is filed, the February report when the May report is filed. This results in a continuous purging of the file, and the file will never contain more than a 4-month collection of the reports in this example.
- (2) Retention periods based on the occurrence of an event are applied literally without regard to complete years. Thus a period of "6 years after final settlement of a contract" means that if final settlement of a contract occurred on 3-1-80, the disposal of the contract and related correspondence would be scheduled for 3-1-86. In this example, the contract when settled, should be removed from the active files for ultimate transfer to storage until the expiration of its retention period.

#### 11. APPRAISAL - DEVELOPMENT OF NEW STANDARDS.

- a. Retention standards for the majority of the filing units of DOE and its contractors have been established and are contained in attachment 1 of chapters IV and V. Occasionally, however, there will be an inventory item which cannot be matched up with an authorized standard. These filing units should be identified on the inventory with "to be developed" posted in column 7 of the RIDS form.
- b. In these instances, as well as for new filing units which have come into being subsequent to the inventory, a recommendation for a new standard should be initiated. The recommended retention standards, when approved internally in DOE, by GAO when appropriate, and by NARS, will become DOE-wide standards unless the filing units are unique to the organization, in which case they are made applicable to that organization, only.

##### (1) Local Actions.

- (a) Form DOE AD-331, "Records Retention and Disposal Authorization" (attachment III-2) is the form used to initiate a request for a new records retention standard. The organization which has custody of an unscheduled filing unit prepares a Form DOE AD-331. The original and a duplicate, approved locally, are

sent to the Director of Organization and Management Systems. When necessary for clarification of the description or purpose of the filing unit, a sample or facsimile thereof may be attached to the form to facilitate approvals.

- (b) A separate Form DOE AD-331 should be prepared for each filing unit. It is not advisable to combine two or more filing units on a single Form DOE AD-331 even though they may be related by subject or function. Form DOE AD-331 is sent to Headquarters only when it is necessary to establish a new standard or to change an existing standard.
  - (c) Forms DOE AD-331 should be prepared for filing units only. They should not be prepared for file items within filing units.
  - (d) Since most Form DOE AD-331's request authorization to destroy records, it is essential that the filing unit be fully described, including all of the facts relied on in the appraisal process to support the proposed retention period. If more space is required for descriptive and appraisal data, the reverse side of the form or supplemental pages may be used. In describing records, the language or terms used should be meaningful. Abbreviations, code names, or local expressions for activities, programs, or processes should be avoided.
- (2) Headquarters Actions.
- (a) Forms DOE AD-331 are examined at Headquarters for conformance with established policies, regulations, and statutes, coordinated with interested Headquarters organizations, and reviewed by the Office of the General Counsel. Unless the filing unit is unique to the submitting organization, the request for disposal authorization may be expanded to cover similar records wherever they are located. Headquarters also obtains required GAO concurrences and the approval of NARS.
  - (b) When the authorizations are obtained, they are posted to the AD-331's, and the originals are returned to the submitting organization. If the authorizations are applicable to other DOE and DOE contractor organizations, as well as the originating organizations, all of the organizations having custody of such records are notified. Approved DOE-wide records standards are published in this order periodically. Pending publication, the distributed authorizations may be used, wherever applicable.
- (3) Appraisal Procedures. Appraisal is the evaluation of filing units to determine whether they have permanent or temporary values and, if temporary, how long they should be retained. Through the appraisal

process retention standards are developed for unscheduled filing units. The appraisal process also is used in shortening or lengthening existing retention standards, if warranted. In appraising filing units, consideration is given to existing standards, and to the administrative, financial, legal, scientific, research, and historical value to the Government, or to the public.

- (a) Existing Standards. DOE and DOE contractor records schedules often provide practical guidance in developing retention standards for similar or related records. They should be used in the appraisal process to maintain consistency in the establishment of retention standards.
- (b) Administrative Value. Records have this value if they help an organization to carry out its responsibilities. The time during which the value exists may be long or short. The frequency and purpose of reference normally indicate administrative value and for many filing units provide sufficient appraisal data for establishing retention standards. Some filing units possess continuing administrative values and should be designated for long-term or even permanent retention, even though reference to them is infrequent. In this group are those records which document the development of DOE policies, programs, and procedures, and those reflecting the organization of DOE and its components. The master set of directives at DOE Headquarters, for example, is designated for permanent retention.
- (c) Financial Value. Financial records include budget records which show how expenditures were planned. Included also may be accounting voucher or expenditure filing units of several kinds which document the purposes for which DOE funds were spent. Most financial records are transaction files which have temporary value (6 years or less). Financial records relating to the development of financial policy may have long term or even permanent value.
  - 1 An important consideration in assessing the financial value of records is their need for audit purposes. A 3-year retention standard for such records will usually suffice.
  - 2 Proposed retention standards for all contractor records are submitted to the General Accounting Office (GAO) for concurrence. GAO approval also is obtained for the following DOE filing units if the retention periods being recommended are shorter than those prescribed in the General Records Schedules:

- a Payroll and pay administration;
- b Procurement and supply;
- c Property disposal;
- d Budget preparation, presentation, and apportionment;
- e Accountable officers' accounts;
- f Expenditure accounting;
- g Stores, plant, and cost accounting;
- h Travel and transportation;
- i Motor vehicle maintenance and operation;
- j All program records whose proposed retention period is 3 years or less. GAO will not approve or disapprove proposed retention periods for program records which are longer than 3 years, but it will occasionally suggest shorter retention periods consonant with good records management practices.

(4) Legal Value.

- (a) Records have legal value if they contain evidence of legally enforceable rights or obligations of the Government. Among those obligations are the legal rights of persons to make claims against the Government.

Records having legal value include but are not limited to:

- 1 Legal decisions and opinions.
- 2 Documents involving legal agreements, such as deeds, leases, titles, and contracts.
- 3 Evidence of actions in particular cases such as claim papers and legal dockets.

- (b) In assessing the legal value of records, the probability of the records in question being needed as evidence should be considered. Statutes of limitation are not necessarily controlling factors in the establishment of retention periods. For example, contractors paid payroll checks are disposable after 3 years even though in most jurisdictions the applicable

statute of limitations is 6 years. In this instance, experience shows that controversies and claims over the payment of wages and salaries arise in a matter of hours or days, not years. The cost of storing the records for 6 years would clearly exceed any benefits to the Government.

- (5) Historical Value. Records have historical value if they preserve a reasonable portrait of significant past events. Historical records include those reflecting significant decisions or events in energy development, regulation, and management. Of special value are records related to events that aroused extensive public interest or controversy. Records may be of historical value if they describe the origin, organization, procedures, and functions of major DOE programs. Records of historical value are often found in files containing Presidential or White House correspondence; correspondence with Members of Congress, Congressional committees, Cabinet Secretaries, heads of agencies, and prominent citizens; internal correspondence with Heads of Departmental Elements, and other key DOE officials; background material in significant policy or operational studies; office diaries and logs; notes or records of meetings or telephone conversations by Heads of Departmental Elements; memoires; and transcripts of interviews.
- (6) Volume. While volume has nothing to do with the administrative, financial, legal, or other criteria used in the appraisal process, volume should be taken into account when establishing retention periods for filing units which accumulate at a rapid rate and occupy considerable filing and storage space. Cost reduction or cost avoidance in maintaining and storing records is an important objective of the records disposition program. In establishing retention standards for high volume records, the cost of retaining them should be weighed against potential benefits derived therefrom. If such costs significantly outweigh potential benefits, an element of calculated risk should be considered in establishing retention standards. It is not necessary for records to be completely valueless in order for them to be disposed of. NARS is authorized to approve standards for records that apparently will not, after the elapse of the period specified, have sufficient administrative, legal, research, or other value to warrant their further preservation by the Government.

## 12. RETENTION PERIODS.

- a. Retention periods indicate whether filing units are permanent or temporary. If the filing units are temporary, retention periods prescribe how long the filing units must be retained before they are eligible for destruction. Retention periods should be stated in short, simple, understandable terms, whether they are on DOE Form AD-331 or DOE Form AD-384.

- b. Retention periods for temporary filing units, when concurred in by appropriate DOE organizations and GAO, and when approved by NARS, are continuing authorizations to destroy the filing units covered by the standards after the elapse of the specific periods of time, or, in some cases, after a fixed period following the occurrence of a predictable event.
- c. Retention periods for temporary filing units can be expressed in one of two ways:
  - (1) A fixed period after the creation of the filing unit. For example, the phrase "2 years" means destroy the given filing unit 2 years following its creation. The destruction date of each filing unit is calculated from the date of the latest file item in the filing unit.
  - (2) A fixed period after the occurrence of a predictable event. The wording depends on the kind of event involved and is usually preceded by a time period such as "6 years after final payment." Examples are:
    - (a) "After completion" (as of a study, project, or audit).
    - (b) "After sale or transfer" (as of personal or real property).
    - (c) "After publication" (as of an annual report).
    - (d) "After supersession" (as of a directive).
    - (e) "After revision or cancellation" (as of a directive or report).
    - (f) "After expiration" (as of a program).
    - (g) "After acceptance or rejection" (as of an application).
    - (h) "After audit" (as of accounts).
    - (i) "After settlement" (as of accounts or a claim).
    - (j) "After acceptance" (as of a bid or recommendation).
    - (k) "After the close of the fiscal year" (as of some fiscal filing units).
    - (l) "After final payment" (as of a contract).
    - (m) "After transfer" (as of an employee).

- d. Other specific wording depends on the nature of the action involved. Some retention periods provide a disposal period based on the likelihood that two different events in the future may affect a filing unit. In those cases one event governs the disposal if it occurs sooner or if it occurs later than another event. An event also may be associated with a fixed time period. Examples follow:
  - (1) "When property is sold or when it is vacated, whichever is later."
  - (2) "Two years after the date of survey action or date of posting, whichever is earlier."
- e. In establishing retention periods beginning with or ending upon the occurrence of a predictable event, care must be taken to assure that the event will occur, and that its occurrence can be objectively determined and verified. Events such as "when the filing unit becomes inactive," or "when no longer needed" are not used since these events cannot be exactly predicted. Moreover, most records are disposed of only after they become inactive and when no longer needed.
- f. Events which are not likely to occur at all, such as "when the regulatory program is discontinued," should be avoided. Retention periods which may occur only as individuals wish them to occur, such as "3 years after retirement to storage," also should be avoided. Retention periods are never based on the retirement of records.

13. PERMANENT RECORDS.

- a. The word "permanent" as applied to a retention standard for a filing unit means "archival." Only about 5 percent of the records of the Federal Government are designated for permanent retention. Lengthy retention periods are not equivalent to permanent. The label "permanent" can be applied to a filing unit only when the filing unit has been so designated by NARS. Table 4, "Permanent Records Appraisal Guidelines," in the GSA-NARS records management handbook "Disposition of Federal Records," is an authoritative guide for the identification and appraisal of filing units believed to have permanent value. This handbook has been distributed to DOE officials having records management responsibilities.
- b. DOE Form AD-331 is also used for filing units believed to have permanent value. When approved by NARS, permanent filing units will be included in the applicable sections of DOE and contractor records schedules.
- c. Filing units recommended for permanent retention by DOE, in which NARS indicates it has no interest, shall be assigned retention periods based on DOE requirements, and DOE Form AD-331 shall be resubmitted to Headquarters for reprocessing.

III-24

DOE 1324.2 Chg 1

7-2-81

14. **DISPOSAL OF DISCONTINUED FILES.** Discontinued files are records which have ceased to accumulate and which may have insufficient values to warrant further retention. Authorization for the disposal of unscheduled discontinued files is requested using DOE Form AD-331, in the same manner as for the establishment of new standards. The difference is that the authorization provided is for one-time use, as opposed to the continuing authorization provided when new standards are established.

15. **AUTOMATIC DATA PROCESSING (ADP) MACHINE-READABLE RECORDS.**

- a. Records generated in machine-readable form by automatic data processing machines are included in the statutory definition of records. Retention standards are contained in this Order, most of them in Records Schedule 20. A RIDS should be prepared and distributed for each computer-based system.
- b. RIDS for ADP machine-readable records generated by computer-based systems should be established at the time the systems are designed. The analyst, in consultation with the user, with records management guidance, and with audit guidance where necessary, should prepare DOE Form AD-384, or its equivalent, as part of the formal documentation supporting each system.
- c. An important consideration in establishing retention periods for nonrecord material is to provide the ability to reconstruct or restart a system at an economical point in the event of data loss at a higher level of processing. A system commonly known as the "Grandfather System" provides an acceptable margin of safety. This system provides for the retention of three generations of selected tapes; the first generation is erased after the successful completion of the fourth processing cycle (each cycle creates a new generation).

16. **MICROFILM PROJECTS.**

- a. There are instances when microfilming records is a sound course of action in the records disposition program, although microfilming solely to save storage costs seldom can be justified. Each microfilm project of significant size (\$50,000 or more per year to implement and operate) should be preceded by a cost benefit study to make sure that the project is clearly to the advantage of the Government. Care should also be taken to ensure that the microfilm copies produced will be adequate substitutes for the original records and will serve the purposes for which such records were created and maintained.
- b. NARS approval is required prior to establishing a microfilm project that has among its objectives, that of destroying original records prior to the expiration of their authorized retention period. The DOE Form AD-331 procedure is used to request approval of such a project (see page III-17, paragraph 11). The DOE Form AD-331 must contain a description of the

Vertical line denotes change.

proposed indexing method, identification, and arrangement of the microfilmed records. It also must include the certifications required in paragraphs 5b and 5d of DOE 1300.1, MICROGRAPHICS MANAGEMENT of 5-19-80.

17. DISPOSAL OF SECRET DOCUMENTS.

- a. Protection of and accountability for the control of secret documents involve sizeable costs in terms of manpower, space, and filing equipment within the DOE complex. Attention is required to prevent secret documents from being retained long after they have served their useful purpose. Although classified documents are subject to the same retention standards as unclassified documents, their disposition involves a special effort because of security requirements. Appropriate efforts should be made to assure that retention standards are applied and that nonrecord extra copies of secret documents are promptly disposed of when no longer needed.

Vertical line denotes change.

III-26

DOE 1324.2

5-28-80

b. Steps that might be taken to reduce holdings of secret documents are:

- (1) Review control and accountability records to determine the age of documents in the collection. Most records are disposable in 6 years or less.
- (2) Conduct periodic reviews of files containing secret documents to determine the need for, and the use made of, such records.
- (3) Assure that secret documents are not interfiled with unclassified records unless at least 80 percent of the documents are secret.
- (4) Critically evaluate requisitions for security-type filing equipment to assure present equipment is being properly utilized for the storage of classified documents.

18. RETIREMENT STANDARDS. In establishing retirement periods for filing units, consideration should be given to the factors of frequency of reference, nature of reference, established retention standards, filing arrangement, and the volume of the filing unit.

a. Retirement Period.

- (1) Generally the frequency of reference provides a good measure for the timing of transfers to storage or the establishment of retirement periods. Filing units should be retired when reference frequency diminishes sufficiently to permit their removal without impairing current operations.
- (2) As a general rule, filing units having less than one reference per file drawer per month should be retired. Large filing units with a much higher frequency of reference may be retired if their further retention in the office affects the quantity of filing equipment. Accessibility of the records holding area, frequency of reference, and urgency of reference are criteria used in establishing earlier retirement periods for voluminous filing units.
- (3) Completed case files of voluminous filing units may be retired soon after the case is closed. An example of early retirement is the Personnel Security Clearance Case Files, one of the largest filing units of DOE. Each time a case is closed, the case is removed from the active file, and held in the office until a few cubic feet have accumulated, and then retired to storage to be held until the expiration of the retention period. This technique can be applied to many types of case files. It reduces file equipment and space needs, and keeps the filing unit to manageable proportions.

b. Cutoff of Files.

- (1) Filing units should be terminated or cutoff periodically so as to make their retirement and disposal in uniform, chronological blocks as easy as possible. Some types of filing units fall naturally into chronological segments and thus lend themselves to a natural cutoff, such as those arranged in straight numerical order, or in date order. Some examples are purchase orders filed in straight numerical sequence, or reports filed in chronological order.
- (2) Other types of filing units, such as those arranged alphabetically, geographically, or subjectively, do not provide natural cutoff periods. These files accumulate in chronological blocks within their individual segments and not at the end of the entire filing unit. Consequently, they must be cutoff artificially, that is, new files must be started periodically. A typical filing unit of this kind is a general subject correspondence file, arranged in accordance with a subject filing system. Usually, when such filing units are cutoff, a small portion of them (usually less than 10 percent will be found to be active and should be brought forward and incorporated into the new files. The cutoff file should be retired when its reference activity substantially diminishes (usually within 6 months to 1 year after the filing unit is cut off). Cutoff periods should be established for all general subject correspondence filing units. The cutoff periods, or the intervals between the cutoffs are not necessarily the same for all filing units. The length of the period in each instance should be determined by the factors of continuity, use, volume, and established retention periods. Volume and retention periods are the principal criteria. For example, general files which accumulate at a rate of one or more filing cabinets each year should be cutoff each year. If a filing unit accumulates one drawer or less in a year, and if the retention period is permanent, it would be better to cut off the filing unit every 3 years to avoid creating many small segments of it. If the retention period is 1 year or less, the filing unit should be cut off each year so that the retention standards can be applied each year.

c. Short Retention Periods. Generally, filing units should not be retired if the retention period expires within 1 year of contemplated retirement. The additional retention in a records holding area or Federal Records Center is not long enough to justify the handling and cost involved in a retirement action. Such records should be held in active office space and destroyed at the expiration of the retention period. If the filing unit is bulky and its retention in active space requires substantial filing equipment and space, it should be retired to a holding area even though it can be destroyed in 6 months after retirement.

- d. Minimum Volume. Small quantities of records (less than 1 cubic foot) should not be retired as a sole transfer action by an office. The filing unit should be retained until at least 1 cubic foot is available for retirement.
- e. Nonrecord Material. As a general rule, filing units of nonrecord material should not be retired since they are seldom retained long enough to justify the handling and cost involved in a retirement action. Such material should be destroyed by the holding organization, when no longer needed, or in accordance with the periods established on the RIDS.
- f. Screening. General subject correspondence filing units eligible for retirement should be reviewed prior to transfer to eliminate duplicates, other nonrecord material, and record material for which the retention period has expired. Such reviews should be limited to entire file folders, or entire subject classifications. Document by document screening should be avoided because of the cost involved. Screening should be done only if individual folders or documents to be retained:
  - (1) Are of permanent value;
  - (2) Are scheduled for periods exceeding 30 years;
  - (3) Constitute less than 50 percent of the filing unit; or
  - (4) Contain secret documents interfiled with unclassified records.
- g. Timing of Transfers. Filing units should be retired at annual intervals except when (1) the volume of the filing unit warrants more frequent transfers, as when retention for a year would require additional filing equipment; or (2) the cutoff periods cover more than 1 year's accumulation such as in the case of a small general subject correspondence file with a long retention period.
- h. Description of Records. Standard Form 135, "Records Transmittal and Receipt" (attachment III-4), is used to transfer filing units to a Federal Records Center. This form or its equivalent should be used to transfer records to local holding areas. Filing units should be identified and described on the form in sufficient detail to facilitate prompt reference after their retirement to storage. Descriptions of the records should be specific enough so that a person, who has never seen the records before, can identify them by comparing them with the transfer document. The degree of detail required in descriptions will vary from filing unit to filing unit. For example, a filing unit consisting of paid vouchers or purchase orders can be described in a single sentence regardless of the volume involved. A general subject correspondence file arranged by subject may require a detailed listing by folder titles because subject

files are usually quite complicated and difficult to service. When a general subject correspondence file is retired, an outline of the filing system used should be included, as well as any other available finding aids.

- i. Uniform Retention Periods. In arranging filing units for retirement, filing units with widely varying retention periods should not be packed in the same storage container. It is impractical for records centers to destroy part of the contents of a container and retain the container since no space is saved. A half filled storage container occupies the same amount of space as one completely filled. Records with slightly different retention periods, such as 5 years and 6 years, may be packed in one container. In this instance, the container and all of its contents will be held until the expiration of the 6-year period. In those instances, when filing units having different retention periods are packed in the same container, the disposal date for the filing units in that container is calculated from the disposal date of the filing unit having the longest retention period.
- j. Packing of Containers.
  - (1) Standard 1 cubic foot boxes used by Federal Records Centers and local records holding areas are suitable for either letter or legal size documents. The dimensions of these boxes are 10" high x 12" wide x 15" long. Letter size documents are placed facing the end of the box; legal size documents are placed facing the side.
  - (2) Each box should be completely filled. It is not necessary to leave working space, as in a file drawer of current records, since there will be little or no reference to them. Moreover, expansion room is not required since additional documents will not be added to the box except in rare instances.

19. RECORDS STORAGE.

a. Federal Records Centers (FRC's).

- (1) The General Services Administration has established and maintains the FRC system for the low cost storage and servicing of noncurrent records of the Federal Government. The system consists of several regional records centers located at strategic points in the United States, and the National Personnel Records Center located at St. Louis, Mo. Personnel files of separated Federal civilian and military personnel are centralized in the National Personnel Records Center. Each of the other FRC's stores and services all other types of noncurrent Federal records for organizations located in the region it serves.

- (2) The nationwide system of FRC's has rendered local records centers unnecessary and uneconomical. DOE and contractor organizations shall use FRC's to the extent practical and economical. The addresses, locations served, and procedures for using the FRC system are provided in FPMR § 101-11.410.
  - (3) Classified records are transferred to, and stored at, FRC's in accordance with applicable DOE security regulations. Access to stored records may be restricted by the depositing organization. Instructions for imposing access restrictions are provided on the reverse side of Standard Form 135, Records Transmittal and Receipt, used for transferring records to a FRC. (See attachment III-3.)
- b. A Records Holding Area. A records holding area is a low-cost records storage facility, often staffed on a limited part-time basis, for holding cutoff filing units in less desirable space and low cost filing equipment pending disposal or transfer to a Federal Records Center (FRC).
- (1) Establishment. DOE and contractors should establish records holding areas when it is practicable and economical to do so. Factors to be considered include the volume of records at the installation, volume of records cutoff annually, availability of space and facilities, and accessibility and physical locations with respect to Federal Records Centers. The holding areas should have sufficient capacity to house records accumulations of 3 to 4 years, but should not exceed 5,000 sq. ft. of space. (See FPMR § 101-11.412-3.)
  - (2) Space and Equipment. Space for a records holding area should be low in cost, and reasonably conveniently located to the users of the records. Basement, warehouse, or other lower cost storage-type space is recommended. A records holding area should be equipped with open-faced, steel, skeleton-type shelving on which standard records storage boxes can be stacked. The shelving should be arranged to take advantage of ceiling height and to conserve floor space. A properly designed records holding area should provide capacity for at least 3 cu. ft. of storage space for each square foot of floor space.
  - (3) Operation.
    - (a) To the fullest extent practicable, a records holding area should be operated with a minimum of staff. Organizations retiring records should be given responsibility for preparing transfer forms, boxing the records, arranging for their transfer, and servicing the records which they place in the records holding area. Access to the area, assignment of shelf space, arranging for transfer to a Federal Records Center, and

following up on destruction, should be centrally controlled. Operating the holding area on a part-time basis for a few hours each day is a recommended practice.

- (b) Standard Form (SF) 135, "Records Transmittal and Receipt," is used to transfer records to a Federal Records Center. Federal Records Centers require that the original and two copies of the SF 135 be submitted for approval prior to each shipment of records. The SF 135 or an equivalent form also should be used to transfer records to a local records holding area, so that when the records are subsequently transferred to a Federal Records Center, it will not be necessary to prepare additional Forms SF 135.
- (c) SF 135 Forms serve as receipts acknowledging that records have been accepted by a holding area or a Federal Records Center, as the case may be. These forms are also essential for subsequent retrieval of stored documents, and the information on the forms is used for identifying documents as they become eligible for disposal, or subsequent transfer from a holding area to a Federal Records Center. Care must be taken to be sure that the instructions on the reverse side of the form are completely and accurately followed. If a computer-based system is used for internal control of records holding area transfers to Federal Records Centers, the output of the system must include the essential data in the SF 135 and in the format prescribed for that form.
- (d) Control records for records in holding areas should be limited to two copies of SF 135 or equivalent form; one copy as a locator file arranged in the sequence of names of the retiring organization; the other as a disposition suspense file arranged by disposal or transfer date.
- (e) Records placed in a records holding area will fall into one of two groups. The first group consists of filing units having short-term retention value and are retained in the holding area until eligible for disposal. The other group consists of filing units having long-term retention value which are transferred to a Federal Records Center when reference activity has dropped sufficiently for them to meet the GSA criteria for transfer (see FPMR § 101-11.410-2). Records are not to be retained in a holding area in excess of 5 years.

**20. TRANSFERS OF RECORDS.****a. To Federal Records Centers.**

- (1) Headquarters or NARS approval is not required for transferring noncurrent DOE records to Federal Records Centers. The volume of such transfers shall be reported to Headquarters in the "Annual Report of Records Holdings."
- (2) Requests for reference service directed to a FRC should be made by a specific individual or designee authorized to do so by the Director of Administrative Services, or heads of field organizations, as appropriate. Routine requests are made in writing using Optional Form 11, "Reference Request - Federal Records Centers." Priority or emergency requests may be made by telephone or teletype. Requests must provide information such as the Record Group Number, FRC Accession Number, date(s), and descriptions of the desired records, to facilitate retrieval.
- (3) Record Group (RG) numbers are assigned to Federal agencies by the Assistant Archivist for the National Archives, to be used for identification and control purposes in transferring noncurrent records to Federal Records Centers. The appropriate RG number must be shown in Column 6(a) of the Standard Form 135 covering each transfer of records to a FRC.
- (4) Several entire agencies and segments of other agencies were incorporated into the Department of Energy when it was activated effective 10-1-77. The records of those organizations were transferred to DOE at that time.
- (5) The Assistant Archivist for the National Archives has prescribed the following RG numbers to be used by DOE, some of which will be used only until the disposition of all of the records transferred from the predecessor organizations has been accomplished. Others will have continuing use by DOE. RG numbers to be used by DOE and their uses are explained below:

<u>Record Group Number</u>	<u>To Be Used For</u>
RG 434	General Records of the Department of Energy, and records generated by the former Federal Energy Administration.
RG 138	Records of the Federal Energy Regulatory Commission and records generated by the former Federal Power Commission.

RG 305	Records of the Bonneville Power Administration.
RG 387	Records of the Southwestern Power Administration.
RG 388	Records of the Southeastern Power Administration.
RG 447	Records of the Alaska Power Administration.
RG 326	Records of the former Atomic Energy Commission.
RG 430	Records of the former Energy Research and Development Administration.
RG 48	Records transferred from the former Office of Coal Research, dated prior to 1-19-75.
RG 412	Records transferred from the Environmental Protection Agency, dated prior to 1-19-75.
RG 70	Records transferred from the Bureau of Mines, dated prior to 1-19-75.
RG 307	Records transferred from the National Science Foundation, dated prior to 1-19-75.

b. Within the Department of Energy. Headquarters or NARS approval is not required for transfers of records within DOE. Transfers within DOE consist principally of transfers from construction contractors to DOE or operating contractors, or transfers incidental to the transfer of functions from one organization to another. Such transfers of records are negotiated between the organizations involved.

c. Transfers to the National Archives.

- (1) Noncurrent records which have been designated for permanent retention are to be eventually transferred to the National Archives. Also, unscheduled records believed to have permanent values may be offered to the National Archives.

DOE 1324.2 Chg 1

7-2-81

- (2) Recommendations for such transfers shall be submitted to MA-1, Attention: Office of Organization and Management Systems, for approval. Recommendations shall specify the location, volume, description, inclusive dates, authority (if scheduled), security classification, and any specific restriction regarding access.
- (3) Permanent records are recommended for transfer when they are 25 years old, or at any lesser age when DOE no longer needs to use the records for the purpose for which they were created, or in its regular current business.

d. To Other Federal Agencies.

- (1) Headquarters and NARS approvals are required prior to the permanent transfer of records to other Federal agencies, except for transfers required by statute or Executive order, transfers to Federal Records Centers, or records loaned to another agency for official use.
- (2) Organizations proposing to transfer records to another Federal agency shall submit their proposals to MA-1, Attention: Office of Organization and Management Systems. The proposals shall include copies of the concurrences or nonconcurrences in the transfer by the heads of the agencies concerned. Also to be included is:
  - (a) A concise description of the records, including the volume in cubic feet.
  - (b) A statement of the restrictions imposed on the use of the records, including their security classifications, if classified.
  - (c) A statement of the agencies and persons using the records and the purpose of such use.
  - (d) A statement of the current and proposed physical and organizational locations of the records.
  - (e) Information as to why the proposed transfer is in the best interests of the Government.
  - (f) A justification for the transfer of records more than 5 years old.

Vertical line denotes change.

JD

e. Donation for Preservation and Use.

- (1) When the public interest will be served, a DOE organization may propose the transfer of unclassified records authorized for disposal to an eligible organization, institution, corporation, or government (including a foreign government) that has made application for them. (If disposal authorization is absent (see paragraph 20e(2)(c)3 below), the donation amounts to the illegal destruction of records.)
- (2) Records authorized for disposal will not be transferred without prior written approval of the National Archives and Records Service (NARS). The head of a DOE organization shall request the approval of such a transfer by providing to MA-1 (Attention: Office of Organization and Management Systems).
  - (a) The name of the DOE organization having custody of the records.
  - (b) The name and address of the proposed recipient of the records.
  - (c) A list containing:
    - 1 An identification by series of the records to be transferred.
    - 2 The inclusive dates of each series.
    - 3 The NARS disposition job and item number as indicated on the approved SF 115, the DOE records schedule citation, or other disposal authority.
  - (d) A statement providing evidence that the:
    - 1 Transfer is in the best interests of the Government.
    - 2 Proposed recipient agrees not to sell the records as records or documents.
    - 3 Transfer will be made without cost to the Government.
  - (e) A Certification that:
    - 1 The records contain no information the disclosure of which is prohibited by law or contrary to the public interest; and/or

Vertical line denotes change.

(21)

DOE 1324.2 Chg 1

7-2-81

- 2 The records proposed for transfer to a person or commercial business are directly pertinent to the custody or operations of properties acquired from the Government; and/or
- 3 A foreign government desiring the records has an official interest in them.
- (3) The request, if approved by MA-1, will be forwarded for approval of the Secretary and, thereafter, to the General Services Administration (NC), Washington, D.C. 20408.
- (4) If the proposed records for donation are not eligible for disposal, i.e., are not covered by an authority as cited in paragraph 20e(2) (c)3 above, or, if covered, are still within the authorized retention period, the donating DOE organization shall prepare DOE Form AD-331 and submit it to MA-1, Attention: Office of Organization and Management Systems, together with the documentation cited above, for review and coordination of the approval process through GSA (NC) and the Secretary.

21. MAINTAINING PROGRAM EFFECTIVENESS. Examining the effectiveness of the records disposition program is an important part of the program itself. There is no other way to determine whether or not the program is achieving the desired results. Ways to assure that records are being disposed of in accordance with prescribed retention standards are described below.

a. Periodic Reviews or spot checks by the individual responsible for implementing the records disposition program in each organization will reveal the degree of compliance with the requirements of the records disposition program.

b. Review of Requisitions for Additional Filing Equipment.

(1) The indiscriminate purchase of additional filing equipment can diminish program savings and dilute the benefits of the records disposition program. Reviews include:

- (a) Locating schedule items covering the records of the requesting organization.
- (b) Examining records in the organization to determine compliance with its RIDS.
- (c) Determining whether any records are eligible for transfer to a local records holding area or to a Federal Records Center.
- (d) Determining whether filing equipment is being used for supply cabinets or other purposes not involving records.

Vertical line denotes change.

7-2-81

- (2) Acquisition of additional filing equipment should not be authorized until a review has established that the requirements of the records disposition program have been implemented.
- c. Total Volume Trends: Records Created vs. Records Destroyed. The volume of records on hand (cubic feet) indicates the impact that the records disposition program is having. Analysis of the Annual Report of Records Holdings will reveal trends--net gain or loss--over the previous year in the total holdings. A significant gain should be analyzed to determine its cause and if corrective action is needed.
- d. The Average Volume of Records Per Employee. The average volume of records per employee is another indicator of program effectiveness. A volume of 6 or more cubic feet of records per employee usually indicates:
- (1) Improper application of RIDS.
  - (2) Inadequate use of Federal Records Centers or local records holding areas.
- e. Review RIDS. Review RIDS at least every 2 years to make any changes necessary to keep them current. Such changes may include:
- (1) Addition of new items to the schedule consisting of filing units created since the original schedule was prepared, or of items missed in the original inventory.
  - (2) Deletion of items from the schedule for filing units which have been discontinued.
  - (3) Shortening retention periods as a result of reevaluation of long-term retention standards.
  - (4) Discontinuance of deferred disposals.
  - (5) Occasional lengthening of retention periods when necessary to meet local requirements or to conform with changes in records schedules.
  - (6) Changes in retirement periods to meet reference needs in the organization.

Vertical line denotes change.

(23) + 24 X

RECORDS INVENTORY AND DISPOSITION SCHEDULE

DOE FORM AD-384 (10-77)		RECORDS INVENTORY AND DISPOSITION SCHEDULE		1. NUMBER _____ PAGE <u>1</u> OF <u>2</u>
2. ORGANIZATIONAL UNIT  Office of XYZ				2. DATE  November 19, 1979
<i>John Doe</i> John Doe, Chief ABC Branch		4. APPROVAL SIGNATURES		
5. ITEM NUMBER	6. FILING UNIT TITLE AND DESCRIPTION	7. RETENTION PERIOD	8. DISPOSAL AUTHORITY	9. CUT-OFF INSTRUCTIONS AND RETIREMENT PERIOD
1.	DOE forms AD-331, Records Retention and Disposal Authorizations, with attached memos of concurrence, arranged by field office and then numerically.	Until related records are destroyed or until no longer needed for administrative or reference use.	ERS 16, item 3a	Retain in office. Screen annually and destroy obsolete material.
2.	SF-115, Request for Authority to Dispose of Records, official approval copy, together with letters to and from National Archives (NARS) and General Accounting Office, arranged by NARS job numbers.	Until related records are destroyed or until no longer needed for administrative or reference use.	ERS 16, item 3a	Retain in office.
3.	Research file, industry, consisting of material accumulated from companies on equipment, supplies, systems, etc., arranged alphabetically by name of company.	Until superseded or otherwise obsoleted.	Nonrecord	Screen periodically and destroy obsolete material in office.
4.	Research file, Government, consisting of material received from Government agencies on all phases of records management. Arranged alphabetically by name of agency.	Until superseded or otherwise obsoleted.	Nonrecord.	Screen periodically and destroy obsolete material in office.

RECORDS INVENTORY AND DISPOSITION SCHEDULE  
(continued)

RECORDS INVENTORY AND DISPOSITION - Continued				
5. ITEM NUMBER	6. FILING UNIT TITLE AND DESCRIPTION	7. RETENTION PERIOD	8. DISPOSAL AUTHORITY	9. CUT-OFF INSTRUCTIONS AND RETIREMENT PERIOD
5.	Case files of DOE forms, including copies of revisions and DOE Form AD-H24 Forms Control Card, showing initiation and scope of form.	10 years after form has been discontinued, superseded, or cancelled.	ERS 16, item 4a	Retire cancelled form folders upon accumulation of a full box.
6.	Forms control files - working papers, background materials, requisitions, specifications, processing, data, and control records.	Until related form is discontinued, superseded, or cancelled.	ERS 16, item 4b	Destroy in office, upon revision of form.
7.	Chronological files.	2 years.	Nonrecord.	Destroy in office.
8.	Bookcase material.	Until superseded or obsoleted.	Nonrecord.	Destroy in office.

RECORDS RETENTION AND DISPOSAL AUTHORIZATION

DOE FORM AD-331  
(10-77)

U.S. DEPARTMENT OF ENERGY

**Records Retention and Disposal Authorization**

1. CONTROL NUMBER

DOE OFFICE GE-10-1

CONTRACTOR \_\_\_\_\_

2. ORGANIZATION (Include major and minor subdivisions)

Office of XYZ, Division of ABC

3. IDENTIFICATION OF FILING UNIT (Include type of record, function performed, and other descriptive facts)

Case Files which are the official DOE records of the Office of XYZ, Division of ABC of all institutions rejected or accepted for the Buildings Grants Program.

4. VOLUME (Cu. Ft.)  
120 (estimate)

5. DATES (including)  
1977 to date

6. EVALUATION (Include justification for retention period and reasons disposal is warranted. Indicate relationship of item to other items in the same or other organizational units.)

Records consist of case files of applications and energy audits of institutional buildings applications for grants assistance for the institutional buildings energy grants program. Institutions accepted for grants are filed separately from those rejected.

The authority for the institutional grants program is contained in P.L. XYZ and Order DOE ZYX.

7. RECOMMENDED RETENTION PERIOD

6 years after date of energy audit.

8. CONCURRENCE SIGNATURES (as required)

TITLE

ORGANIZATION

DATE

a. <u>Tom Kell</u>	Division of ABC	Office of XYZ	12/8/79
b. <u>Roger Katos</u>	Executive Director	Office of XYZ	12/9/79
c. <u>Laurence Hawkins</u>	Headquarters Records Officer	AD-474	12/10/79
d.			
e.			
f.			

9. APPROPRIATE DISPOSITION AUTHORITY AND/OR REMARKS

10. SIGNATURE, TITLE, AND ORGANIZATION OF OFFICIAL COMPLETING ITEM 9 ABOVE.

DATE

RECORDS TRANSMITTAL AND RECEIPT

RECORDS TRANSMITTAL AND RECEIPT										Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.				PAGE 1	OF PAGES
<p>1. TO (Complete the address for the appropriate records center serving your area)</p> <p>Federal Archives and Records Center General Services Administration</p> <p>As shown in PPMR 101-11.110-2 ► Accession Section Suitland, Maryland 20409</p>										<p>2. 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)</p> <p>John Doe, Chief Headquarters Records Mgt. Branch (AD-474) Office of Administrative Services Room G-017-GTN U.S. Department of Energy Washington, D.C. 20545</p>					
3. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL (Signature and title)			DATE										
<i>John Doe</i>		Chief, Headquarters Records Mgt. Br., AD-474			7/26/79										
4. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)													
		Richard Roe, Rec. Mgt. Br., 353-4310 John Brown, Rec. Mgt. Br., 252-6052.													
5. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY (Signature and title)			DATE										
RECORDS DATA															
ACCESSION NUMBER			VOLUME (in. fl.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (PPMR includes dates of records)			HOLD ITEMS (a)	DISPOSAL AUTHORITY (Schedule and low number) (b)	DISPOSAL DATE (d)	COMPLETED BY RECORDS CENTER				
BB	FY	NUMBER			(c)	(e)	(f)				(g)	(h)	(i)	(j)	(k)
434	80	111	2	1,2	Headquarters case files of investigations of reported or suspected violations of laws of security interest. Jan 1975 to Sept. 1979. NOTE: Access authorized to DOE personnel only.				W U.S. DOE Records Sched. 18, item 26b	Oct 2004					

Standard Form 135 (Rev. 6-76)  
Prescribed by GSA  
PPMR (41 CFR) 101-11.4

RECORDS TRANSMITTAL AND RECEIPT  
(Reverse)

**INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135**

**FOR COMPLETION BY THE TRANSFERRING AGENCY**

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

**Col.**

**Accession Number.** A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARS record group number assigned to the records of the agency making the transfer;
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- (d) **Volume.** Enter the volume in cubic feet of each series of records being transferred.
- (e) **Agency Box Numbers.** Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
- (f) **Series Description.** Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- (g) **Restriction.** Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

<b>Code</b>	<b>Restrictions</b>
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use—witnessed disposal <i>not required</i> (specify in column (f))
W	Restricted use—witnessed disposal <i>required</i> (specify in column (f))
N	No restrictions

- (h) **Disposal Authority.** For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARS disposal job and item number if it has not been incorporated into an updated agency schedule.
- (i) **Disposal Date.** Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

**FOR COMPLETION BY THE RECORDS CENTER**

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

**Col.**

- (j) **Location.** The records center annotates the shelf location of the first carton for each series of records.
- (k) **Shelving Plan.** The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) **Container Type.** The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) **Automatic Disposal.** The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

Standard Form 135 Back (Rev. 6-76)

CMW 1974 - 318 "H"

## CHAPTER IV

### RETENTION OF DOE RECORDS

1. **DOE RECORDS SCHEDULES (ERS).** Twenty-six DOE Records Schedules and an index are issued as attachment 1 to this chapter. The schedules contain records retention standards that specify the retention, disposition, or destruction of DOE records. Before applying the standards, however, compliance with the requirements and procedures in chapter III is necessary. See in particular page III-2, paragraph 5, Restrictions Affecting the Disposal of Records.
2. **NEED FOR NEW STANDARDS.** If a records retention standard is not provided in the DOE Records Schedules for any DOE record, the provisions on page III-17, paragraph 11, Appraisal - Development of New Standards, should be followed.

TABLE OF CONTENTS

DOE RECORDS SCHEDULES

Schedule	Page
1. Personnel Records	3
2. Payrolling and Pay Administration Records	23
3. Procurement, Supply, and Grant Records	35
4. Property Sale and Disposal Records	47
5. Budget Preparation, Presentation, and Apportionment Records	57
6. Accountable Officers' Accounts Records	65
7. Expenditure Accounting Records	79
8. Stores, Plant, and Cost Accounting Records	87
9. Travel and Transportation Records	95
10. Motor Vehicle Maintenance and Operation Records	103
11. Space and Maintenance Records	111
12. Communications Records	119
13. Printing, Blinding, Duplication, and Distribution Records	129
14. Informational Services Records	137
15. Facility Records	149
16. Administrative Management Records	157
17. Cartographic, Remote Sensing Imagery, and Related Records	175
18. Security and Protective Services Records	187
19. Research and Development Records	203
20. Machine-Readable Records	215
21. Audiovisual Records	231
22. Design and Construction Drawings and Related Records	251
23. Equipment Control, Maintenance, and Operation Records	267
24. Special Materials Accountability Records	275
25. Medicine, Health and Safety Records	285
26. Legal Records	305
Index	315

DOE RECORDS SCHEDULE 1

PERSONNEL RECORDS

Personnel records relate to the supervision over and management of employees. This schedule covers the disposition of Official Personnel Folders and other personnel records. Records created prior to 1-1-71 must be offered to the National Archives and Records Service for possible permanent retention before these disposition instructions may be applied.

The most important types of records, the Official Personnel Folders, and Service Record Cards, are maintained according to the Office of Personnel Management's Federal Personnel Manual Supplement 293-31, which prescribes a system of recordkeeping for federal personnel offices.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	OFFICIAL PERSONNEL FOLDERS. Records filed on the right side of the Official Personnel Folder (OPF). See item 1D for disposal of papers on the left or "temporary" side of the OPF.)	See Federal Personnel Manual for instructions relating to folders of employees transferred to another agency.
a.	Transferred employees.	Transfer folder to National Personnel Records Center (NPRC) St. Louis, Missouri, 30 days after separation. NPRC will destroy 75 years after birth date of employee or 60 years after the date of the earliest document in the folder if the date of birth cannot be ascertained, provided the employee has been separated for at least 5 years.
b.	Separated employees.	Transfer folder to National Personnel Records Center (NPRC) St. Louis, Missouri, 30 days after separation. Destroy 60 years after earliest personnel action date.

DOE RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
2.	SERVICE RECORD CARDS. (Standard Form 7 or its equivalent.)	Transfer to NAPRC (CPX) St. Louis, Missouri. Destroy 60 years after earliest personnel action date.
a.	Cards for employees separated or transferred on or before 12-31-47.	3 years after separation or transfer of employee.
b.	Cards for employees separated or transferred on or after 1-1-48.	3 years.
3.	PERSONNEL CORRESPONDENCE AND SUBJECT FILES.	3 years.
a.	Files relating to the general administration and operation of personnel functions and including college programs, selective placement (handicapped, veterans, and ex-offenders) programs, special careers (summer aid, intergovernmental affairs fellowship, stay in school) programs, expatriations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at DOE staff planning levels.	5 years.
b.	Correspondence, reports, memoranda, and other records relating to employment programs and functions, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.	5 years.
4.	OFFERS OF EMPLOYMENT FILES. Correspondence, letters, and telegrams offering appointments to potential employees.	5 years.

**Attachment IV-1**  
**Page 2**

**DOE 1324.2**  
**5-28-80**

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
a.	Accepted offers.	Destroy immediately.
b.	Declined offers.	
(1)	When name is received from certificate of eligibles.	Return to Office of Personnel Management (OPM) with reply and application.
(2)	Temporary or excepted appointment.	File with application (see item 15 of this schedule).
(3)	All others.	Destroy immediately.
5.	<b>CERTIFICATES OF ELIGIBLES FILES</b> with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a non-preference eligible.	2 years.
6.	<b>EMPLOYEE RECORD CARDS</b> used for informational purposes outside personnel offices (such as SF 7-B).	Until separation or transfer of employee.
7.	<b>POSITION CLASSIFICATION FILES.</b>	
a.	<b>Position Classification Standards Files.</b>	
(1)	Standards. OPM standards determining title, series, and grade based on duties, responsibilities, and qualifications requirements.	5 years after position is abolished or description is superseded.
(2)	Development. Memoranda, correspondence, and other records relating to the development of standards for classification of positions peculiar to DOE, and OPM approval or disapproval.	
(a)	Case file.	5 years after position is abolished or description is superseded.
(b)	Review file.	2 years.

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
10.	<b>TEMPORARY INDIVIDUAL EMPLOYEE RECORDS.</b> All copies of correspondence and forms maintained on the left side of the Official Personnel Folder in accordance with Federal Personnel Manual, Chapter 293, and Supplement 293-31.	Until separation or transfer of employee or when 1 year old, whichever is sooner.
11.	<b>POSITION IDENTIFICATION STRIPS.</b> Strips such as Standard Form 7D, used to provide summary data on each position occupied.	Until position is cancelled or new strip is prepared.
12.	<b>EMPLOYEE AWARDS FILES.</b>	
a.	<b>General Awards Records.</b>	
(1)	Case files including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards such as incentive awards, within-grade merit increases, suggestions, and outstanding performance.	2 years after approval or disapproval.
(2)	Correspondence or memoranda pertaining to awards from other government agencies or private organizations.	2 years.
b.	<b>Length of Service Awards File.</b> Records including correspondence, memoranda, reports, computations of service and sick leave, and list of awardees.	1 year.
c.	<b>Letters of Commendation and Appreciation, Copies of Letters</b> recognizing length of service and retirement and letters of appreciation and commendation for performance, EXCLUDING copies filed in the Official Personnel Folder.	2 years.

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	<b>Position Descriptions.</b> Files describing established positions including information on title, series, grade, duties, and responsibilities.	
(1)	Record copy.	5 years after position is abolished or description is superseded.
(2)	All other copies.	Until position is abolished or description is superseded.
c.	<b>Survey Files.</b> Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Whitten Amendment report and Annual Supergrade Position Report.	
(1)	Office of origin.	3 years, or 2 years after regular inspection whichever is sooner.
(2)	Inspection, Audit, and Survey Files. Correspondence, memoranda, reports, and other records relating to inspections, surveys, desk audit, and evaluations.	Until obsolete or superseded.
d.	<b>Appeals Files.</b> Case files relating to classification appeals.	3 years after case is closed.
8.	<b>INTERVIEW RECORDS.</b> Correspondence, reports, and other records relating to interviews with employees.	6 months after transfer or separation of employee.
9.	<b>PERFORMANCE RATING BOARD CASE FILES.</b> Copies of case files forwarded to OPM relating to performance rating board reviews.	1 year after case is closed.

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
d.	<b>Lists or Indexes to Agency Award Nominations.</b> Lists of nominees, and winners, and indexes of nominations.	Until superseded or obsolete.
e.	<b>Departmental Level Awards Files.</b> Records relating to awards made at the departmental level or higher (Secretary's Awards, Presidential).	(To be obtained).
13.	<b>INCENTIVE AWARDS PROGRAM REPORTS.</b> Reports pertaining to the operation of the Incentive Awards Program.	3 years.
14.	<b>NOTIFICATIONS OF PERSONNEL ACTION.</b> Standard Form 50 documenting initial employment, promotions, transfers, in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.	
a.	Chronological file copies, including fact sheets, maintained in personnel offices.	2 years.
b.	All other copies maintained in personnel offices.	1 year.
15.	<b>EMPLOYMENT APPLICATIONS.</b> Applications (Standard Form 171) and related records, EXCLUDING records relating to appointments requiring Senatorial confirmation and applications resulting in appointment which are filed in the Official Personnel Folder (see item 1 of this schedule).	Until receipt of Office of Personnel Management inspection report or when 2 years old, whichever is earlier, providing the requirements of the Federal Personnel Manual, Chapter 333, Section A-4, are observed.
16.	(RESERVED)	

DOE RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
17.	<b>CORRESPONDENCE AND FORMS FILES.</b> Operating personnel office records relating to individual employees not maintained in Official Personnel Folders and not provided for elsewhere in this schedule.	
a.	Correspondence and forms relating to pending personnel actions.	Until action is completed.
b.	Retention Registers.	
(1)	Registers from which reduction-in-force actions have been taken.	2 years.
(2)	Registers from which no reduction-in-force actions have been taken.	Until superseded or obsolete.
c.	All other correspondence and forms.	6 months.
18.	<b>DUPPLICATE DOCUMENTATION AND PERSONNEL FILES MAINTAINED OUTSIDE PERSONNEL OFFICES.</b>	
a.	<b>Supervisor's Personnel Files.</b> Correspondence, memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.	Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.
b.	<b>Duplicate Documentation.</b> Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.	6 months.
19.	(RESERVED)	
20.	(RESERVED)	
21.	(RESERVED)	

DOE RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	<b>Copies of Complaint Case files.</b> Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case File.	1 year after resolution of case.
c.	<b>Background Files.</b> Background records NOT filed in the Official Discrimination Complaint Case Files.	2 years after final resolution of case.
d.	<b>Compliance Records.</b>	
(1)	Compliance Review Files.	Reviews, background papers, and correspondence relating to contractor employment practices.
(2)	EEO Compliance Reports.	3 years.
e.	<b>Employee Housing Requests.</b> Forms requesting agency assistance in housing matters, such as rental or purchase.	1 year.
f.	<b>Employment Statistics Files.</b> Employment statistics relating to race or sex.	5 years.
g.	<b>EEO General Files.</b> General correspondence and copies of regulations with related records pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation; and agency EEO Committee meeting and records including minutes and reports.	Until 3 years old, or when superseded or obsolete, whichever is applicable.
h.	<b>EEO Affirmative Action Plans (AAP).</b>	
(1)	Agency copy of consolidated AAP(s).	5 years from date of plan.

DOE RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
22.	(RESERVED)	
23.	<b>PERFORMANCE RATING RECORDS.</b>	
a.	Certificates of performance rating.	2 years.
b.	General or case files of forms, memoranda, and correspondence.	3 years.
c.	Appeals Files. Memoranda, correspondence, and other records relating to employee appeals of performance rating.	3 years after final settlement of case.
24.	(RESERVED)	
25.	<b>CONFLICT OF INTEREST CASE FILES.</b> Statements of employment and financial interests and related records.	2 years after separation of employee or 2 years after employee leaves the position for which the statement is required.
26.	<b>EQUAL EMPLOYMENT OPPORTUNITY RECORDS.</b>	
a.	<b>Official Discrimination Complaint Case Files.</b> Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of hearings, and meetings, and other records as described by 5 CFR 713.222.	
(1)	Cases resolved within DOE.	4 years after resolution of case.
(2)	Cases resolved by the Office of Personnel Management or a U. S. Court.	Files are controlled by Office of Personnel Management records schedule.

DOE RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
(2)	Agency feeder plan to consolidated AAP(s).	5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.
27.	<b>PERSONNEL COUNSELING RECORDS.</b>	
a.	<b>Counseling Files.</b> Reports of interviews, analyses, and related records.	3 years after termination of counseling.
b.	<b>Alcohol and Drug Abuse Program.</b> Records created in planning, coordinating, and directing an alcohol and drug abuse program.	3 years.
28.	<b>STANDARDS OF CONDUCT FILES.</b> Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	until obsolete or superseded.
29.	<b>LABOR MANAGEMENT RELATIONS RECORDS.</b>	
a.	<b>Labor Management Relations General and Case Files.</b> Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups:	
(1)	Office negotiating agreement.	5 years.
(2)	Other offices.	Until superseded or obsolete.
b.	<b>Labor Arbitration General and Case Files.</b> Correspondence, forms, and background papers relating to labor arbitration cases.	5 years after final resolution of case.

Attachment IV-1  
Page 4 (thru 14)

DOE 1324.2

5-28-80

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
30.	<u>TRAINING RECORDS.</u>	
a.	<u>Training Aids.</u>	
(1)	One copy of each manual, syllabus, textbook, and other training aid developed by the agency.	(To be obtained.)
(2)	Training aids from other agencies or private institutions.	Until obsolete or superseded.
b.	<u>General File of Agency-Sponsored Training.</u>	
(1)	Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives relating to the establishment and operation of training courses and conferences.	Until 5 years old or 5 years after completion of a specific training program.
(2)	Background and workpapers.	3 years.
c.	<u>Employee Training.</u> Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs sponsored by other Government agencies or non-Government institutions.	Until 5 years old or when superseded or obsolete, whichever is sooner.
d.	<u>Course Announcement Files.</u> Reference file of pamphlets, notices, catalogs, and other records which provide information on courses or programs offered by Government or non-Government organizations.	Until superseded or obsolete.
31.	<u>GRIEVANCE, DISCIPLINARY, AND ADVERSE ACTION FILES.</u>	
a.	Grievance Appeals files (5 CFR 771). Records originating in the review of	3 years after case is closed.

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Reactor operator and senior operator docket files, documenting the certification of reactor operators and senior reactor operators, including new or renewal applications, medical certificates, certifications and accreditations, examinations and results, related correspondence, including denial information.	
(1)	Latest applications and related correspondence, certification, examinations, and results; all medical certificates and data; and all examiners reports.	4 years after expiration or termination of certification or issuance of denial letter.
(2)	Superseded applications and related correspondence, certifications, examinations and results; denial letters.	2 years, or when superseded, whichever is earlier.
c.	Reactor Operator Examination Files consisting of copies of all examinations given by DOE at a facility for the purpose of issuing reactor and senior reactor operator certifications.	10 years.
d.	Reports of welders' tests, consisting of file of reports of tests on welders in Hastelloy and other stainless steel welding processes used to determine qualifications of welders, with included documents, such as analysis of X-ray test samples.	5 years.
e.	Records not covered above and maintained outside Official Personnel Folders except Security and Protective Services Records covered by Records Schedule 1B.	(To be obtained)

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	
d.	Adverse Action Files (5 CFR 752). Case files and related records created in reviewing an adverse action disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.	4 years after case is closed.
32.	<u>EMPLOYEE QUALIFICATION OR AUTHORIZATION RECORDS</u> consisting of evidence documenting: employee's qualifications or authorization to perform certain tasks, engage in certain employment or occupations, conduct certain activities; and to possess, use, distribute, be responsible for, operate, or sign for: supplies, equipment, material or property; and to authorize routine actions.	
a.	Records required to be maintained in Official Personnel Folders.	Follow disposition instructions applicable to Official Personnel Folders, item 1, this schedule.

DOE RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
33.	<u>TEMPORARY RECORDS RELATING TO PROMOTIONS.</u>	
	Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluations of candidates.	2 years.

DOE RECORDS SCHEDULE 2

PAYROLLING AND PAY ADMINISTRATION RECORDS

Payrolling and pay administration records pertain to disbursements to employees for personal services. Any record created prior to 1-1-21 must be offered to the National Archives and Records Service before applying these disposition instructions.

Papers required by the Comptroller General to be maintained for site audit are segments of accountable officer's accounts. In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office unless the agency concerned has written approval of the Comptroller General, as required by 82 Stat. 1301 (44 U.S.C. 3309). Most Federal civilian pay accounts are prepared and maintained in accordance with Title 6-Pay, Leave, and Allowances, and incorporated in the GAO Manual for Guidance of Federal Agencies.

In the payroll process different types of records are accumulated. In many cases the records will be in machine-readable form, as the payroll process has almost universally converted to electronic data process throughout the Federal Government. Under title 6 of the GAO Manual, these records are normally site audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signature of the certifying officer, checklists prepared in lieu of the core formal payrolls by Department of the Treasury or local disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts.

All payroll systems require the maintenance of a leave card, to which information is posted from more detailed records kept by time and attendance clerks located throughout the agency. Two basic forms or variations of them are used by most agencies: (a) Standard Form 1137, which shows leave taken by an employee over a 2-year period; and (b) Standard Form 1130, which is a combination time and attendance and leave record designated to be maintained in agencies in which the timekeeping function is decentralized. One Standard Form 1130 is maintained for each employee each pay period, and the current leave status figure is accumulated from pay period to pay period.

DOE RECORDS SCHEDULE 2

Payrolling process records include withholding tax and savings bond records, reports made to Treasury Department units and the Office of Personnel Management on income tax and retirement transactions. For other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function, apply records retention standards in schedule 16, items 5 and 8.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	<b>INDIVIDUAL ACCOUNTS FILES.</b> Individual earning and service cards, such as Standard Form 1127 or equivalent.	Transfer to the National Personnel Records Center (NPRC), St. Louis, Missouri. (a) If filed in official personnel folder (OPF) or in individual pay folder adjacent to the OPF, destroy with the OPF. (See Records Schedule (RS) 1, Item 1.) (b) If not in or filed adjacent to the OPF, destroy 56 years after the date of the last entry on the card.
2. (RESERVED)		
3.	<b>TIME AND ATTENDANCE REPORT FILES.</b> Forms such as Standard Form 1130 or equivalent.	3 years, or after GAO audit, whichever is sooner.
4.	a. Payroll preparation and processing copies.  b. All other copies.	6 months after the end of the pay period.
4.	<b>INDIVIDUAL AUTHORIZED ALLOTMENTS FILES.</b> Forms such as Standard Form 1192, or other records relating to authorization, changes or cancellation of individual payroll allotments for bond deductions, charitable contributions, savings bonds, union dues, or others.	

DOE RECORDS SCHEDULE 2

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
5.	<b>BOND REGISTRATION FILES.</b> Issuing agent's copies of bond registration stubs.	2 years.
6.	<b>BOND RECEIPT AND TRANSMITTAL FILES.</b> Receipts for and transmittals of U.S. Savings Bonds and checks.	3 months after date of receipt.
7.	<b>BOND PURCHASE FILES.</b> Forms and reports with related papers pertaining to deposits and purchases of bonds.	3 years.
8.	<b>LEAVE APPLICATION FILES.</b> Application for Leave SF 71, or equivalent, and supporting papers relating to requests for and approval of taking leave.	
8.	a. If the timecard has been initiated by the employee.	Until the end of the applicable pay period.
8.	b. If the timecard has not been initiated by the employee.	Until after GAO audit or when 3 years old, whichever is sooner.

DOE RECORDS SCHEDULE 2

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
9.	<b>LEAVE RECORD FILES.</b> Leave record cards maintained separately from pay and earnings records, including SF 1130 when used as a leave record.	3 years.
9.	a. Pay or fiscal copies.  b. Other copies.	3 months after the end of the period covered.
10.	<b>LEAVE DATA FILES.</b> Records of leave data, such as SF 1150, prepared except as noted in the Federal Personnel Manual, 293-A-3.	
10.	a. Original copy of SF 1150.  b. DOE copy.	File on right side of official personnel folder. See ERS 1, Item 1. 3 years.
11.	<b>NOTIFICATION OF PERSONNEL ACTION FILES.</b> Copies of SF 50 or equivalent, not filed in the Official Personnel Folder.	
11.	a. Pay or fiscal copy.  b. All other copies.	Until related pay records are audited by GAO, or when 3 years old, whichever is sooner. See ERS 1, Item 14.
12.	<b>BUDGET AUTHORIZATION REFERENCE FILES.</b> Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.	Until superseded.
13.	<b>PAYOUT FILES.</b> Memorandum copies of payrolls, check lists, and related certification sheets, such as SF 1013, SF 1128A, or equivalents.	

**Attachment IV-1**  
**Page 16 (thru 26)**

**DOE 1324.2**

**5-28-80**

**DOE RECORDS SCHEDULE 2**

<b>ITEM NO.</b>	<b>DESCRIPTION OF RECORDS</b>	<b>RETENTION PERIOD</b>
a.	If earning record card is maintained.	3 years, or after GAO audit, whichever is sooner.
b.	If earning record card is not maintained.	Transfer to NPPC, St. Louis, Missouri, when 3 years old. Destroy when 10 years.
14.	<b>PAYROLL CONTROL FILES.</b> Payroll control registers such as SF 112SA.	3 years, or after GAO audit, whichever is sooner.
15.	<b>PAYROLL CHANGE FILES.</b> Payroll change slips, exclusive of those of the DPF, such as SF 1126.	3 years, or after GAO audit, whichever is sooner.
a.	Copy used in GAO audit.	3 years, or after GAO audit, whichever is sooner.
b.	Disbursing officer copy used in preparing checks.	Destroy after preparation of check.
c.	All other copies.	1 month after the end of the pay period.
16.	<b>FISCAL SCHEDULES FILES.</b> Memorandum copies of fiscal schedules used in the payroll process.	3 years, or after GAO audit, whichever is sooner.
a.	Copy used in GAO audit.	3 years, or after GAO audit, whichever is sooner.
b.	All other copies.	1 month after the end of the pay period.
17.	(RESERVED)	

**DOE RECORDS SCHEDULE 2**

<b>ITEM NO.</b>	<b>DESCRIPTION OF RECORDS</b>	<b>RETENTION PERIOD</b>
23.	<b>LEVY AND GARNISHEMENT FILES.</b> Official - Notice of Levy or Garnishment (IRS Form 668A or equivalent); change slip, work-papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.	3 years.
24.	<b>WAGE SURVEY FILES.</b> Wage survey reports and data; working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	Until after completion of second succeeding wage survey.

**DOE RECORDS SCHEDULE 2**

<b>ITEM NO.</b>	<b>DESCRIPTION OF RECORDS</b>	<b>RETENTION PERIOD</b>
18.	<b>TAX FILES.</b>	
a.	Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.	4 years after form is superseded or obsolete.
b.	Returns on income taxes such as IRS Form W-2.	4 years.
c.	Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes.	4 years.
19.	(RESERVED)	
20.	(RESERVED)	
21.	<b>RETIREMENT FILES.</b> (Federal employees.) (For contractor pension plan records see RS 6-10.)	
a.	Reports and Registers or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.	3 years.
b.	Assistance Files. Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors claim insurance or retirement benefits.	1 year.
c.	Deduction Files. SF 2806 or equivalent and other records used to document retirement deductions of individual employees.	See ERS 1, Item 1.
22.	<b>INSURANCE DEDUCTION FILES.</b> Reports and related papers, including copies of vouchers and schedules of payments pertaining to insurance deductions.	3 years.

DOE RECORDS SCHEDULE 2			DOE RECORDS SCHEDULE 2		
ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD	ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	a. If earning record card is maintained.	3 years, or after GAO audit, whichever is sooner.	18.	<u>TAX FILES.</u>	4 years after form is superseded or obsolete.
	b. If earning record card is not maintained.	Transfer to NPPC, St. Louis, Missouri, when 3 years old. Destroy when 10 years.		a. Withholding tax exemption certificates, such as IRS Form W-4, and similar state tax exemption forms.	4 years.
14.	<u>PAYROLL CONTROL FILES.</u> Payroll control registers such as SF 1125A.	3 years, or after GAO audit, whichever is sooner.		b. Returns on income taxes such as IRS Form W-2	4 years.
15.	<u>PAYROLL CHANGE FILES.</u> Payroll change slips, exclusive of those of the OPP, such as SF 1126.	3 years, or after GAO audit, whichever is sooner.		c. Reports of withheld Federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes.	4 years.
	a. Copy used in GAO audit.	3 years, or after GAO audit, whichever is sooner.	19.	(RESERVED)	
	b. Disbusing officer copy used in preparing checks.	Destroy after preparation of check.	20.	(RESERVED)	
	c. All other copies.	1 month after the end of the pay period.	21.	<u>RETIREMENT FILES.</u> (Federal Employees.) (For contractor pension plan records see RS 6-10.)	3 years.
16.	<u>FISCAL SCHEDULES FILES.</u> Memorandum copies of fiscal schedules used in the payroll process.	3 years, or after the GAO audit, whichever is sooner.		a. Reports and Registers or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.	1 year.
	a. Copy used in GAO audit	1 month after the end of the pay period.		b. Assistance Files. Correspondence memoranda, annuity estimates, and other records used to assist retiring employees or survivors claims insurance or retirement benefits.	1 year.
	b. All other copies.			c. Deduction Files. SF 2806 or equivalent and other records used to document retirement deductions of individual employees.	Send to Office of Personnel Management in accordance with FPM Supplement 831-1, Subchapter S22.
17.	(RESERVED)		22.	<u>INSURANCE DEDUCTION FILES.</u> Reports and related papers, including copies of vouchers and schedules of payments, pertaining to insurance deductions.	3 years.

Vertical line denotes change.

DOE RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
23.	<b>LEVY AND GARNISHMENT FILES.</b> Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work-papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of Federal employees.	3 years.
24	<b>WAGE SURVEY FILES.</b> Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	Until after completion of second succeeding wage survey.

TYPE OR PRINT NAME, TITLE, NUMBER  
NAME AND DATE APPROVED

DOE 1324.2

5-28-80

DOE RECORDS SCHEDULE 3

PROCUREMENT, SUPPLY, AND GRANT RECORDS

Procurement and supply records document: the acquisition of goods and nonpersonal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from a simple small purchase to complicated prime contractor or subcontractor operations.

Copies of procurement papers frequently become integral parts of other files, such as project files of various types or general subject files pertaining to program operations; these copies are not covered by this schedule.

Contract files maintained in the contracting officer's office may be audited by GAO.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Records documenting procurement and supply are largely standardized by regulations of the Comptroller General and the Administrator of General Services. The physical arrangement of the transaction files differs in various organizations, however. All official contract files contain a minimum core of specified documents. Often there are other documents that vary in accordance with the organization's requirements.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they may include, in addition to a purchase document: specifications, bids, schedules of delivery, initiating requisition, invoices, and correspondence. Copies of these documents are used for expediting and other administrative purposes. The copies are maintained in organizations performing inspection, shipping, expediting, or other procurement-related activities.

Files related to the procurement and supply function include local requisition and stock inventory files, and other minor supply papers.

DOE RECORDS SCHEDULE 3

Title papers are special procurement records documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). Title papers are not destroyed if they may be needed by the Government to defend the title to: (a) Government-owned property; or (b) formerly Government-owned property conveyed to others: (1) conditionally, (2) with a recapture clause, or (3) by special or general warranty deed when the property was acquired by the Government by quitclaim deed.

It also should be ascertained that any title evidence to be destroyed relates only to the specific property sold by the Government. In many instances, land acquired by the Government is disposed of in different size parcels, and if the Government retains title to any portion of a property, the title evidence to it must be retained.

This schedule includes records relating to grant programs. They are included as an adjunct to procurement and supply records.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	UNIQUE PROCUREMENT FILES. Procurement files (as described in Item 4, below) documenting the initiation and development of transactions that are highly unusual, highly significant, and substantially deviate from established precedents with respect to general agency procurement or major procurement programs.	Permanent.
2.	REAL PROPERTY FILES. Title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise).	
a.	Papers for property acquired since 1-1-21, other than abstract or certificate of title.	10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

b. Abstract or certificate of title.

Transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

DOE RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
3.	(RESERVED)	
4.	ROUTINE PROCUREMENT FILES. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award, administration, receipt, inspection, and payment (other than those covered in items 1, 2, and 13).	
a.	Procurement or purchase organization copy, and related papers.	
(1)	Transactions of more than \$10,000 and all construction contracts exceeding \$2,000 dated subsequent to 7-25-74.	6 years and 3 months after final payment. (Place in inactive file on final payment, transfer fiscal year block to Federal Records Center after 2 years.)
(2)	Transactions of \$10,000 or less and construction contracts under \$2,000, dated subsequent to 7-25-74; and transactions of \$2,500 or less dated prior to 7-26-74.	3 years after final payment. (Close file at the end of the fiscal year, retain 3 years and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.)
(3)	Transactions of more than \$2,500 dated prior to 7-26-74.	6 years after final payment.
b.	Obligation copy.	Until funds are obligated.
c.	Other copies of records described above used by component elements of procurement offices for administrative purposes.	Until termination or completion of administrative actions.

DOE RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
d.	Bonds and warranties guaranteeing for specified periods of time materials and equipment furnished or installed by vendors.	Until expiration of guaranteed period.
5.	SUPPLY MANAGEMENT FILES. Files of reports on supply requirements and procurement matters submitted for supply management purposes, other than those incorporated in case files or other files of a general nature. For priorities and allocation records, see item 19, this schedule.	
a.	Copies received from other units for internal or reporting purposes.	2 years.
b.	Copies in other reporting units, and related workpapers.	1 year.
6.	BID FILES.	
a.	Successful or unsuccessful bids.	Apply provisions of item 4.
b.	Lists or cards of acceptable bidders.	Until superseded or obsolete.
7.	PUBLIC PRINTER FILES. Records relating to requisitions on the printer, and all supporting papers.	
a.	Printing procurement unit copy of requisition, invoice, specification, and related papers.	3 years after completion or cancellation of requisition.
b.	Accounting copy of requisition.	3 years after period covered by related account.

Attachment IV-1  
Page 28 (thru 38)

DOE 1324.2

5-28-80

DOE RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
8.	<b>KONPERSONAL REQUISITION FILE.</b> Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with accountable officers' accounts (Schedule 6)).	1 year.
9.	<b>INVENTORY REQUISITION FILE.</b> Requisitions for supplies and equipment from current inventory.	
a.	Stockroom copy.	2 years after completion or cancellation of requisition.
b.	All other copies.	6 months.
10.	<b>INVENTORY FILES.</b>	
a.	Inventory lists.	2 years from date of list.
b.	Inventory cards.	2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from DOE control.
c.	Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the ERS's.	2 years after date of survey action or date of posting, whichever is later.
11.	<b>TELEPHONE RECORDS.</b> Telephone statements and toll slips.	3 years after period covered by related account.

DOE RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	Correspondence subject files relating to routine operations and daily activities in administration of the grant program.	2 years.
18.	<b>FINAL PRODUCT FILES.</b> Published reports, books, studies, audiovisual materials, or any other final grant product and related records in textual or machine-readable form.	See ERS 19, Items 3 and 7.
19.	<b>PRIORITIES AND ALLOCATIONS RECORDS.</b>	
a.	Records on the use of DO, DX, and Authorized Controlled Material Order (ACM) rating authority, exclusive of correspondence on planning, policy, procedures, and authorizations which are to be retained.	3 years.
b.	Requirements studies in connection with mobilization planning and the Controlled Materials Plan, exclusive of correspondence on planning, policy, procedures, and authorizations which are to be retained.	3 years.

DOE RECORDS SCHEDULE 3

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
12.	<b>CONTRACTORS' PAYROLL FILES.</b> Contractors' payrolls (construction contracts) submitted in accordance with Labor Department regulations, with related certifications, anti-kickback affidavits, and other related papers.	3 years after date of completion of contract unless contract performance is subject of enforcement action on such date.
13.	<b>TAX EXEMPTION FILES.</b> Tax exemption certificates and related papers.	3 years after period covered by related account.
14.	<b>GRANT APPLICATION FILES.</b> Applications, memoranda, correspondence, and other records relating to the decision to accept or reject grant applications.	
a.	Rejected applications.	5 years after rejection.
b.	Accepted applications.	See Item 15 of this schedule.
15.	<b>GRANT CASE FILES.</b> Proposals or applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status, and monitoring of grants; allocation of funds, and project budgets.	Apply provisions of Item 4.
16.	<b>GRANT CONTROL FILES.</b> Indexes, registers, logs, or other records relating to control, assigning numbers, or identifying projects, applications, and grants.	Until superseded or obsolete.
17.	<b>GRANT CORRESPONDENCE AND SUBJECT FILES.</b>	
a.	Correspondence subject files including memoranda, studies, reports, forms and other records relating to the legal establishment of the grant program, its policies and basic procedures, and the management and evaluation of grants.	See Record Schedule 16, Item 5.

DOE RECORDS SCHEDULE 4

PROPERTY SALE AND DISPOSAL RECORDS

These records pertain to the sales of real and personal property, including property surplus to the needs of the Government.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office, without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

Three forms are prescribed for use in selling surplus personal property under GSA regulations:

- a. Standard Form 114, Sale of Government Property, Invitation, and Bid, and Acceptance. Related papers are usually maintained in case fashion, and consist of correspondence, bids, and other notices of sale, invoices, and sales slips.
- b. Standard Form 120, Report of Excess Personal Property, and 121, Quarterly Report of Utilization and Disposal of Excess and Surplus Personal Property. Form 120 reports personal property excess to DOE needs to the regional General Services Administration office, which initiates screening action. The quarterly reports are submitted to the Office of Personal Property, Utilization and Disposal Service, General Services Administration, where the data is consolidated.

ITEM NO. DESCRIPTION OF RECORDS

RETENTION PERIOD

1. SURPLUS PROPERTY PRECEDENTIAL CASE FILES. Case files on sales of surplus personal property (as described in Item 6 below) documenting the initiation and development of transactions that are highly unusual, highly significant, and substantially deviate from established precedents with respect to general agency disposal or major disposal programs.

Permanent.

2. PROPERTY DISPOSAL CASE FILES. Case files on disposal of surplus real and related personal property.

10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

DOE RECORDS SCHEDULE 4

ITEM NO. DESCRIPTION OF RECORDS

RETENTION PERIOD

3. EXCESS REAL PROPERTY REPORTS.

10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens.

4. (RESERVED)

5. EXCESS PERSONAL PROPERTY REPORTS.

3 years.

6. SURPLUS PROPERTY CASE FILES. Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 1 and 2).

6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.)

a. Transactions subsequent to 7-25-74 of more than \$10,000; and transactions prior to 7-26-74 of more than \$2,500.

6 years after final payment. (Close file at the end of each fiscal year, retain 3 years and destroy, except that files on which actions are pending will be brought to the next fiscal year's files for disposal therewith.)

b. Transactions subsequent to 7-25-74 of \$10,000 or less; and transactions prior to 7-26-74 of \$2,500 or less.

3 years after final payment. (Close file at the end of each fiscal year, retain 3 years and destroy, except that files on which actions are pending will be brought to the next fiscal year's files for disposal therewith.)

7. REAL PROPERTY FILES. Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by DOE, site maps and surveys.

Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money.

DOE RECORDS SCHEDULE 4

ITEM NO. DESCRIPTION OF RECORDS

RETENTION PERIOD

plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists, as well as duplicate copies of title papers, provided (a) that the records can be segregated without harm to other documents of enduring value; (b) that no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance; and (c) that if the property is released for historical use or purpose the user agrees to retain them and return them to the Federal Government immediately upon the discontinuance of its use for historical purposes.

8. NUCLEAR MATERIALS-RELATED REVENUE-PRODUCING CONTRACTS. Revenue-producing contracts with foreign and domestic customers, including documentation of the negotiations, administration, payment, and delivery for goods and services for (1) the sale of nuclear products, including source, byproduct, special nuclear materials, and heavy water; (2) toll enrichment services; and (3) chemical processing of irradiated fuel.

6 years after receipt of final payment.

9. RECORDS OF THE TRANSFER OF NUCLEAR MATERIALS FOR RESEARCH. "Transfer of Material" records documenting the "without charge" transfer of nuclear material in quantities suitable for research purposes only.

6 years after transfer is completed.

DOE RECORDS SCHEDULE 4

ITEM NO. DESCRIPTION OF RECORDS

RETENTION PERIOD

10. NUCLEAR MATERIALS LEASING RECORDS. Lease agreements documenting the leasing of nuclear materials and heavy water to foreign and domestic customers.

6 years after termination of the lease.

**DOE RECORDS SCHEDULE 5**  
**BUDGET PREPARATION, PRESENTATION,  
AND APPORTIONMENT RECORDS**

Budget and apportionment records include the various files accumulated in the course of formulating the budget for submission to the Office of Management and Budget and to the Congress; in defending requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available by the Office of Management and Budget (OMB). DOE must indicate and justify regularly to OMB the proposed rate of expenditure. After the funds have been made available, DOE's controls over the funds are in the expenditure accounting records (schedule 7) and detailed information relative to expenditures is contained in the accountable officers' account (schedule 6).

This schedule applies to records of budget preparation, presentation, and apportionment except that records created prior to 1-1-81 must be offered to the National Archives and Records Service before applying the disposition instructions.

Budget records are created at various organizational levels. Budget proposals reflect the input of operating levels, as well as the coordinating work done by formally organized budget offices. The records consist of detailed workpapers and budgetary statements developed by operating units, the core significant budget statements and related papers representing consolidated submissions prepared at higher levels and forwarded to the budget officer, and the records at the highest level pertaining to the budget submission.

The budget presentation system is standardized by the OMB, which prescribes format and procedures for all Federal agencies. However, the internal reports and papers which support the budget and are used in its preparation vary from agency to agency. The budget submission, a record copy of which is designated by DOE, is a duplicate of the set of papers submitted to the OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, statements of receipts, narrative summary statements which highlight the principal features of the request, and immediately related supporting documents. The narrative presents the policies and programs which the budget request and supplemental requests support. In addition to the summaries, the submission includes schedules of obligations and statements pertaining to each type of appropriation and fund under which DOE operates. Finally, OMB requires additional supporting data pertaining to objects of expenditure, particular programs, and figures based on the cost of various types of service operations, such as personnel and payrolling activities.

**DOE RECORDS SCHEDULE 5**

<b>ITEM NO.</b>	<b>DESCRIPTION OF RECORDS</b>	<b>RETENTION PERIOD</b>
1.	<b>BUDGET FILES</b> accumulated by Headquarters and field organizations in the course of budgetary activities, including contractor, field organizations, and internal budget submissions covering construction, operations, equipment, and other cost estimates; instructions on budget preparation; workpapers, together with related documents, and correspondence.  a. Budget files, Office of the Controller.  (1) File copy of instructions on budget preparation. Permanent.  (2) Budget estimates, narrative statements, related schedules, and data submitted to OMB and the Congress, including amendments and supplements, assenting and dissenting commentary by major DOE divisions, and relevant documentation.  (3) All other Office of the Controller budget files. 6 years after close of fiscal year covered by budget.	
	b. All other budget files. 6 years after close of fiscal year covered by budget.	
2.	<b>FINANCIAL PLAN FILES</b> consisting of authorization from the Controller to field and Headquarters organizations and national laboratories setting forth by progress the amount of funds available for the fiscal year, together with papers accumulated in connection with proposed revisions and with mid-year reviews. (Exclusive of DOE files, Office of the Controller files.)	3 fiscal years after close of fiscal year covered by plan.

DOE RECORDS SCHEDULE 6ACCOUNTABLE OFFICERS' ACCOUNTS RECORDS

This schedule covers accountable officers' returns and related records, including records under the cognizance of the General Accounting Office. This schedule does not apply to records created prior to 1-1-21. Such records must be offered to the National Archives and Records Service before applying the disposition instructions in this schedule.

Accountable officers' accounts include record copies of all records concerned with accounting for, availability, and status of public funds. There are several types of "accountable officers," such as: (a) the collecting officer, who receives monies owed to the Federal Government and ensures that it is credited to the proper accounts; (b) the disbursing officer, who is responsible for providing documentation to the General Accounting Office since he accomplishes the actual payment of public monies to proper Federal creditors; and (c) the certifying officer, whose signature on a summary attests to the authenticity of vouchers listed on the schedule.

Disbursements for most civilian Government agencies are made by the Chief Disbursing Officer of the Treasury, who heads the Division of Disbursement of the Bureau of Government Financial Operations within the Treasury Department. Since July 1949, disbursements have been made for most agencies on the basis of certified schedules, with the detailed vouchers transferred to the General Accounting Office from the agency or held in agency space if site audit was involved. This procedure was extended and confirmed by General Accounting Office General Regulations No. 115, issued 1-29-52, which promulgated a standard form voucher and schedule of payments (Standard Forms 1166 and 1167) for use by all agencies effective 1-29-52, and formally eliminated the transfer of vouchers of the Chief Disbursing Officer.

This schedule has been revised to include records held for onsite audit by the General Accounting Office, as described in Item 1a below. Under onsite audit, vouchers, contracts, schedules, statements of transactions and accountability, and other related supporting documents are retained in DOE space for General Accounting Office auditors. Section 5 of the Post Office Department Financial Control Act of 1950 and Section 117(b) of the Budget and Accounting Procedures Act of 1950 (whenever the Comptroller General determines that audit shall be conducted at the site) require agencies to retain these records, which are under General Accounting Office cognizance. The General Accounting Office has given general authority to the agencies, if the records are no longer required for administrative purposes, to transfer all audited records and any unaudited records more than 1 full fiscal year old to Federal Records Centers. To transfer unaudited accountable officers' accounts less than 1 year old, permission must be obtained from the Director, Office of Administrative Services, GAO.

Records relating to the availability, collection, and custody of funds include: (1) the appropriation warrants; (2) other documents which deposit funds into the Treasury; and (3) documents which provide accountable officers with status reports on funds in their custody, such as the proofs of depository account and statements of funds to their credit. DOE copies of these deposit and status documents are so intimately related to the accounts of these officers that they are included in this schedule.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
-----------------	-------------------------------	-------------------------

1. ACCOUNTABLE OFFICERS' FILES.

- a. Original or Ribbon Copy of accountable officers' accounts maintained in DOE for site audit for GAO auditors, consisting of statements of transactions, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, certain supporting vouchers or schedules, and all other schedules and vouchers--or documents used as schedules or vouchers--exclusive of freight records and payroll records. These records document only the basic financial transaction, money received and money paid out or deposited, in the course of operation of DOE. All copies except the certified payment or collection copy, usually the original or ribbon copy, an all additional or supporting documentation not involved in the integrated accounting system are covered by subtitle 1b and other succeeding items in this schedule.
- Site audit records include, but are not limited to, the Standard Forms listed below. Also included are equivalent agency forms which document the basic financial transaction as described above.

SF 224, Statement of Transactions  
SF 1034, Public Voucher for Purchases and Services Other than Personal

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
SF 1036	Statement of Certificate and Award	
SF 1047	Public Voucher for Refunds	
SF 1069	Voucher for Allowance at Foreign Posts of Duty	
SF 1080	Voucher for Transfer Between Appropriations and/or Funds	
SF 1081	Voucher and Schedule of Withdrawals and Credits	
SF 1095	Schedule of Voucher Inductons	
SF 1097	Voucher and Schedule to Effect Correction of Errors	
SF 1098	Schedule of Cancelled Checks	
SF 1113	Public Voucher for Transportation Charges	
SF 1114	Bill of Collection	
SF 1114A	Official Receipt	
SF 1114B	Collection Voucher	
SF 1129	Reimbursement Voucher	
SF 1143	Advertising Order	
SF 1145	Voucher for Payment Under Federal Tort Claims Act	
SF 1154	Public Voucher for Unpaid Compensation Due a Deceased Civilian Employee	
SF 1156	Public Voucher for Fees and Mileage of Witness	
SF 1166	Voucher and Schedule of Payments	
SF 1185	Schedule of Undeliverable Checks for Credit to Government Agencies	
SF 1218	Statement of Accountability (Foreign Service Account)	
SF 1219	Statement of Accountability	
SF 1220	Statement of Transactions According to Appropriation, Funds, and Receipt Accounts	
SF 1221	Statement of Transactions According to Appropriation, Funds, and Receipt Accounts (Foreign Service Account)	

DOE RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Memorandum or Extra Copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related papers not covered elsewhere in this schedule, and excluding freight and records covered by Schedule 1 and payroll records covered by Schedule 2.	3 years after the close of the Fiscal Year.
2. <u>AUDIT FILES.</u>		
a.	General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.	1 year after exception has been reported as cleared by GAO.
b.	Audit files generated in the performance of DOE and cost-type contractor operations, including pertinent reports and revisions thereof, concurrences, comments, reports relative to action on recommendations, pertinent correspondence, and related work papers.	
(1)	Files relating to DOE-wide audits conducted by DOE Headquarters audit staff and the General Accounting Office.	10 years.
(2)	Files relating to audits of individual DOE organizations and contractors, conducted by DOE field organizations or the Headquarters audit staff.	
(a)	Report files and related correspondence.	10 years.
(b)	Work papers.	5 years.

5-28-80

DOE RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
c.	Monthly memorandum reports summarizing activities between GAO and DOE pertaining to audits and inquiries, together with related correspondence reflecting specific requests for information and records by GAO and compliance by DOE.	3 years, or after GAO audit, whichever is sooner.
3.	<b>CERTIFICATES OF SETTLEMENT FILES.</b> Copies of certificates of settlement of accounts of accountable officers, statements of differences, and related records.	
a.	Certificates covering closed account settlements, supplemental settlements, and final balance settlements.	2 years after date of settlement.
b.	Certificates covering periodic settlements.	Until subsequent certificate of settlement is received.
4.	<b>GENERAL FUND FILES.</b> Records relating to availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit (SF 201, 203, and 219), other than those records covered by item 1 of this schedule.	3 years.
5.	(RESERVED)	
6.	<b>PERSONNEL SURETY BOND FILES.</b>	
a.	Official Copies of the bond and attached powers of attorney.	
(1)	Bonds purchased prior to 1-1-56.	15 years after bond becomes inactive.
(2)	Bonds purchased after 12-31-55.	15 years after the end of the bond premium period.

DOE RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	and computations. Included is information showing premium adjustments, coverage, funding, billing, and losses incurred.	
a.	Cases assigned to or administered by DOE upon contract completion or termination.	80 years after contract completion or termination.
b.	Cases for which DOE has no obligation or liability after contract completion or termination.	6 years after contract completion or termination.

DOE RECORDS SCHEDULE 6

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Other Bond Files including other copies of bonds and related papers.	Until bond becomes inactive or after the end of the bond premium period, whichever is sooner.
7.	<b>GASOLINE SALES TICKETS.</b> Hard copies of sales tickets filed in support of paid invoices for credit card purchases of gasoline.	3 years, or after GAO audit, whichever is sooner.
8.	<b>TELEPHONE TOLL TICKETS.</b> Original and copies of toll tickets filed in support of telephone toll call payments.	3 years, or after GAO audit, whichever is sooner.
9.	<b>TELEGRAMS.</b> Originals and copies of telegrams filed in support of telegraph bills.	3 years, or after GAO audit, whichever is sooner.
10.	<b>PENSION PLAN</b> case files consisting of cost-type contractor pension plans, modifications and amendments; correspondence, reports, studies, and analyses; negotiations; DOE requirements for acceptance and modification; funding and cost data; industry pension plan comparability studies.	
a.	Cases for which DOE has continuing obligations or liability for pension plan claims or adjustments after contract completion or termination.	80 years after contract completion or termination.
b.	Cases for which DOE has no obligations for liability after contract completion or termination.	10 years after contract completion or termination.
11.	<b>CASUALTY INSURANCE</b> (including Workmen's Compensation) plan case files: Case files on casualty insurance coverage plans for DOE cost-type contractors, including policies, endorsements, reports, correspondence, studies, analyses, actuarial data,	

DOE RECORDS SCHEDULE 7  
EXPENDITURE ACCOUNTING RECORDS

Expenditure accounting records are the ledgers and related documents maintained to show in summary fashion how funds, appropriated and nonappropriated, are spent after allotment by the Office of Management and Budget (OMB), and the sources and nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the accounting systems. The ledgers summarize the financial status and financial transactions and show the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in DOE custody. Expenditure accounting records are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with agency solvency, with expenditures, and with program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and papers further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect appropriation expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific agency purposes and thereby provide a safeguard against over expenditure by operating officials. The allotment ledgers are general controls over expenditures, and they in turn summarize and are supported by more detailed controls that normally take the form of project or job orders which authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, which flow through the ledger unit for posting.
- b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule, but these are only several aspects of the total ledger accounts. Consequently, the ledgers are the source of the data included in the basic apportionment reports to the OMB and the Treasury Department, and overall reports of fiscal condition which may be required by the General Accounting Office (Schedules 6 and 8). The adequacy for audit purposes of the general ledger accounts is normally considered by General Accounting Office auditors to be indicative of the suitability of an agency's entire accounting system and the reliability of its financial data.

DOE RECORDS SCHEDULE 7

This schedule does not apply to records created prior to 1-21-71 which must be offered to the National Archives and Records Service before applying these disposition instructions.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	(RESERVED)	
2.	GENERAL ACCOUNTING LEDGERS. General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.	10 years after the close of the fiscal year involved.
3.	APPROPRIATION ALLOTMENT FILES. Allotment records showing status of obligations and allotments under each authorized appropriation.	10 years after the close of the fiscal year involved.
4.	EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES. Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.	
	a. Original records.	3 years.
	b. Copies.	2 years.

DOE RECORDS SCHEDULE BSTORES, PLANT, AND COST ACCOUNTING RECORDS

Specialized stores, plant, and cost accounting records are maintained to reflect the net monetary worth of its assets and periodically these records are reconciled with the supply data reflected in stock inventory records; however, these records are not procurement papers. Any records created prior to 1-21-21 must be offered to the National Archives and Records Service before applying these disposition instructions.

- a. **Stores Accounting.** These records are maintained to provide personal accountability for the receipt and custody of materials and to provide information as to the monetary worth of such materials. Custody is established by accomplished copies of material movement documents, and stores accounting information data are normally reviewed and consolidated by means of records and returns submitted to Headquarters, where the information is used for procurement planning, budget, and other management purposes. These records do not include papers reflecting the physical movements of material to and from storage points, although they may be involved in storing. Summary data on plant value is also available in pertinent general ledger accounts.
- b. **Plant Accounting.** These records consist primarily of cards recording the principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value is also available in pertinent general ledger accounts.
- c. **Cost Accounting.** These records are designed to accumulate and show data on the costs of operation, the direct and indirect costs of production, administration, and the performance of program functions. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately posted to the accounts in the general ledgers concerned with operating and program costs. Material costs information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are utilized in evaluating economy of operation and in preparing budget estimates.

DOE RECORDS SCHEDULE B

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	<b>PLANT ACCOUNTING FILES.</b> Plant account cards and ledgers pertaining to structures.	To be obtained.
2.	(RESERVED)	
3.	<b>STORES INVOICE FILES.</b> Invoices or equivalent papers used for stores accounting purposes.	3 years.
4.	<b>STORES ACCOUNTING FILES.</b> Stores accounting returns and reports.	3 years.
5.	<b>STORES ACCOUNTING WORKPAPERS.</b> Workpapers used in accumulating stores accounting data.	2 years.
6.	<b>PLANT ACCOUNTING FILES.</b> Plant account cards and ledgers, other than those described in Item 1.	3 years after item is withdrawn from plant account.
7.	<b>COST ACCOUNTING REPORTS.</b>	
	a. Copies in units receiving reports.	3 years.
	b. Copies in reporting units, and related work papers.	3 years.
8.	<b>COST REPORT DATA FILES.</b> Ledgers, forms, and machine records used to accumulate data for use in cost reports.	
	a. Ledgers and forms.	3 years.
	b. Machine records.	
	(1) Detail cards.	6 months.
	(2) Summary cards.	6 months.
	(3) Tabulations.	1 year.

5-28-80

DOE RECORDS SCHEDULE 9TRAVEL AND TRANSPORTATION RECORDS

This schedule covers records pertaining to the movement of goods and persons under Government orders. Records include bills of lading, transportation requests, vouchers, and associated records, including those prescribed by Title 5 of the General Accounting Office Policy and Procedures Manual. Copies of some records used to support payments became either part of the accountable officers' accounts, or accounting posting media. Their disposition may be covered by Records Schedule 6, Item 1; Records Schedule 7, Item 4; or Items 1 and 3 of this schedule.

- a. **Movement of Goods.** The key record is the bill of lading, of which there are copies for consignor, consignee, and carrier. Papers related to and normally filed with the bill of lading are varied, often voluminous, and may consist of shortage and demurrage reports, invoices, and other descriptive data documenting the transaction. Included are records relating to the shipment of household effects, authorized by law and regulations for military personnel and for civilian employees of the Government. When DOE ships certain valuables under the Government Losses in Shipment Act, which ensures against loss, DOE retains copies of schedules of material shipped, papers relating to claims which may ensue, and other pertinent documents. Hazardous material shipping packaging records are also included.
- b. **Movement of Persons.** Is documented essentially by copies of travel orders, authorizing travel and subsequent payment, and standard form vouchers showing payment for official travel. The primary copies of the travel orders are the administrative copy maintained by the transportation unit controlling the issuance of travel orders, and copies used for encumbrance of funds.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
-----------------	-------------------------------	-------------------------

1. **FREIGHT FILES.** Records relating to freight consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records relating to the shipment of household goods.

DOE RECORDS SCHEDULE 9ITEM NO. DESCRIPTION OF RECORDS RETENTION PERIOD

- a. Travel administrative office files. 3 years.
- b. Obligation memorandum copies. Until funds are obligated.
- 5. **GENERAL TRAVEL AND TRANSPORTATION FILES.** These are routine administrative files, retained long enough to serve reference needs and not covered elsewhere in this schedule.
- a. Correspondence, forms, and related records pertaining to agency travel and transportation functions, not covered elsewhere in this schedule. 2 years.
- b. Accountability records documenting the issue or receipt of accountable documents involved in the travel and transportation functions. 1 year after all entries on the records are cleared.
- 6. **HAZARDOUS MATERIAL** (radioactive and fissile material) shipping packaging records including Certificates of Compliance, Safety Analysis Reports for Packaging (SARP), evaluations of SARP's, licenses, amendments to licenses, and quality assurance records documenting packaging design, fabrication, maintenance, and use in compliance with established safety and engineering standards. Destroy 5 years after Certificate of Compliance has terminated, unless information is received indicating that renewed use is definitely anticipated.

DOE RECORDS SCHEDULE 9

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
-----------------	-------------------------------	-------------------------

- a. Issuing office memorandum copies other than those identified in 1d. 3 years.
- b. All other copies 1 year.
- c. Registers and control records. 3 years.
- d. Records on international shipments of household goods moved by freight forwarders. 6 years after the period of the account.
2. **LOST OR DAMAGED SHIPMENTS FILES.** Schedules of valuables shipped, correspondence, memoranda, reports, and other records relating to the administration of the Government Losses in Shipment Act. 3 years.
3. **PASSENGER TRANSPORTATION FILES.** Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.
  - a. Issuing office memorandum copy. 3 years.
  - b. Obligation memorandum copy. Until funds are obligated.
  - c. Unused ticket redemption forms, such as SF 1170. Until no longer needed for administrative use.
4. **PASSENGER REIMBURSEMENT FILES.** Records relating to reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.

DOE RECORDS SCHEDULE 10MOTOR VEHICLE MAINTENANCE AND OPERATION RECORDS

These records pertain to the management, maintenance, and operation of motor vehicles used by DOE.

DOE Property Management Regulation 109-38 prescribes policies and procedures. Standard Form No. 82 is an annual motor vehicle report required by the Federal Supply Service, General Services Administration. Cost and inventory control forms are available but are not mandatory. This schedule covers records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Supply Service (Standard Form No. 82, Annual Motor Vehicle Report); (b) maintenance of the vehicles; and (c) protecting the interest of the Government in accident claims against it. Records consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1. (RESERVED)		
2. <u>MOTOR VEHICLE OPERATING MAINTENANCE FILES.</u>		
a. <u>Operating Records</u> , including those relating to gas and oil consumption, dispatching, and scheduling.	1 year.	
b. <u>Maintenance Records</u> , including those relating to service and repair.	1 year after vehicle leaves DOE custody.	
3. <u>MOTOR VEHICLE COST FILES</u> . Motor vehicle ledger and worksheets providing cost and expense data.	3 years after discontinuance of ledger or date of worksheet.	
4. <u>MOTOR VEHICLE REPORT FILES</u> . Reports on motor vehicles (other than accident, operating and maintenance reports).	3 years after date of report.	
5. <u>MOTOR VEHICLE ACCIDENT FILES</u> . Records relating to motor vehicle accidents, maintained by transportation offices.	6 years after case is closed.	

DOE RECORDS SCHEDULE 10

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
6. <u>MOTOR VEHICLE RELEASE FILES</u> . Records relating to transfer, sale, donation, or exchange of vehicles.	4 years after vehicle leaves DOE's custody.	
7. <u>MOTOR VEHICLE OPERATION</u> . Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employee or 3 years after revision of authorization to operate Government-owned vehicle, whichever is sooner.	

DOE RECORDS SCHEDULE II

SPACE AND MAINTENANCE RECORDS

This schedule provides for the disposal of records relating to space and maintenance, except as indicated in the next paragraph. Records pertain to the acquisition, allocation, utilization, and release of space and include: (a) reports submitted to the General Services Administration as directed by Federal Property Management Regulation 101-17 (Assignment and Utilization of Space); (b) correspondence and forms relating to the compilation of directory service listings; (c) identification credentials and related accountable records; and (d) requests for building and equipment services.

This schedule does not cover (a) copies of these records that are an integral part of accountable officer's accounts (schedule 6), or (b) records of procurement and supply (schedule 3).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	(RESERVED)	
2.	<b>DOE SPACE FILES.</b> Records relating to the allocation, utilization, and release of space under DOE control, and related reports to the General Services Administration.	
a.	Building plan files and related records utilized in space planning, assignment, and adjustment.	2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.
b.	Reports and correspondence relating to space holdings and requirements.	
(1)	Reports to General Services Administration regarding space occupied in "Metropolitan Washington" and "Outside the District of Columbia." Includes related papers.	2 years.
(2)	Copies in subordinate reporting units and related work papers.	1 year.

DOE RECORDS SCHEDULE II

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
3.	<b>DIRECTORY SERVICE FILES.</b> Correspondence, forms, and other records relating to the compilation of directory service listings.	2 months after issuance of listing.
4.	<b>CREDENTIALS FILES.</b> Identification credentials and related papers.	
a.	Identification credentials including cards, badges, passes, parking permits, photographs, and property, dining room and visitors passes, and other identification credentials.	3 months after return to issuing office.
b.	Receipts, indices, listings, and accountable records.	Until all listed credentials are accounted for or 5 years after loss, whichever is sooner.
5.	<b>BUILDING AND EQUIPMENT SERVICE FILES.</b> Requests for building and equipment maintenance services, excluding fiscal copies.	3 months after work is performed or requisition is cancelled.

DOE RECORDS SCHEDULE 12

COMMUNICATIONS RECORDS

The principal records documenting communication functions include passenger service data, telecommunications service control and operational records; summaries of long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; DOE copies of penalty mail reports; and records relating to private delivery services (such as United Parcel Service).

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	MESSENGER SERVICE FILES. Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	2 months.
2.	COMMUNICATION CORRESPONDENCE, REPORTS, AND REFERENCE FILES.	
a.	(RESERVED)	
b.	Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	3 years.
c.	Telecommunications statistical reports, including cost and volume data.	1 year.
d.	Telecommunications reference voucher files.	
(1)	Reference copies of vouchers, bills, invoices, and related records.	1 fiscal year.
(2)	Records relating to installation, change, removal, and servicing of equipment.	1 year after audit or when 3 years old, whichever is sooner.

DOE RECORDS SCHEDULE 12

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
6.	MAIL AND DELIVERY SERVICE CONTROL FILES.	
a.	Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding both those covered by item 5 and those used as indexes to correspondence files.	1 year.
b.	Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post, or packages over 4 pounds).	6 months.
c.	Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).	6 months.
d.	Statistical reports and data relating to handling of mail and volume of work performed.	1 year.
e.	Records relating to checks, cash, stamps, money orders, or any other valuables remitted to DOE by mail.	1 year.
f.	Records of and receipts for mail and packages received through the Official Mail and Messenger Service.	6 months.
g.	(RESERVED)	
h.	Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	5 months after separation or transfer of individual or when obsolete, whichever is applicable.

DOE RECORDS SCHEDULE 12

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
e.	Copies of agreements with background data and other records relating to agreements for telecommunications services.	2 years after expiration or cancellation of agreement.
3.	TELECOMMUNICATIONS OPERATIONAL FILES.	
a.	Message registers, logs, performance reports, daily load reports, and related and similar records.	6 months.
b.	Copies of incoming and original copies of outgoing messages.	3 days after transmission.
c.	Machine copies (hard copies), discs, and tapes of outgoing messages.	Destroy after transmission.
4.	TELEPHONE SUMMARIES. Summaries of long distance telephone reports used to indicate authorized use of telephone service, as well as to audit expense vouchers.	Until the close of the fiscal year in which audited.
5.	POSTAL RECORDS. Post Office forms and supporting papers.	
a.	Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail, including receipts and return receipts.	1 year.
b.	Application for postal registration and certificates of declared value of matter subject to postal surcharge.	1 year.
c.	Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter.	1 year.

DOE RECORDS SCHEDULE 12

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
7.	PENALTY MAIL REPORT FILES. Official penalty mail reports and all related papers.	6 years.
8.	POSTAL IRREGULARITIES FILES. Memoranda, correspondence, reports and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	3 years after completion of investigation.
9.	COMSEC RECORDS, consisting of forms, reports, and correspondence recording or relating to the accountability, transfer, inventory, receipt, and destruction of COMSEC materials.	
a.	Records of agency COMSEC custodian.	5 years.
b.	Records of other COMSEC custodians.	
(1)	COMSEC card files.	1 year provided reconciliation of COMSEC material has been completed.
(2)	Key Card and Key List Usage Reports.	1 month provided destruction report has been prepared and sent to agency COMSEC Custodian.
(3)	Other COMSEC accounting records.	1 year provided reconciliation of COMSEC material has been completed.

DOE RECORDS SCHEDULE 13

PRINTING, BINDING, DUPLICATION, AND DISTRIBUTION RECORDS

This schedule provides for the retention or disposal of records relating to printing, binding, duplicating, and distribution. The principal records documenting these functions are: (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and regis-ters or similar media utilized to control the receipt of the requisitions, and to record the production, distribution, and cost analysis within the operating units); and (b) report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters.

This schedule does not cover records retained by DOE for onsite audit by the General Accounting Office, and DOE memorandum copies which are part of account-able officers' accounts (schedule 6).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	(RESERVED)	
2.	(RESERVED)	
3.	PROJECT FILES (WORK ORDERS). Job or project records containing all papers and data pertaining to the planning and execu-tion of printing, binding, duplication, and distribution jobs.	
a.	Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of records covered by schedule 3 for (1) requisi-tions on the Public Printer and related records; and (2) records relating to services obtained from outside sources.	1 year after completion of job.
b.	Files pertaining to planning and other technical matters.	3 years.

DOE RECORDS SCHEDULE 13

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
4.	CONTROL FILES. Control registers pertaining to requisitions and work orders.	1 year after close of fiscal year in which compiled or 1 year after filling of register, whichever is applicable.
5.	MAILING LISTS.	
a.	Correspondence, request forms, and other records relating to changes in mailing lists.	Until revision of mailing list or after 3 months, whichever is earlier.
b.	Card lists.	Until individual cards are cancelled or revised.
c.	Plate or stencil mailing lists.	Until plates or stencils are cancelled or revised.
6.	JCP REPORTS FILES. Reports to Congress and related records.	
a.	DOE reports to Joint Committee on Printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants or in storage.	3 years.
b.	Copies in subordinate reporting units and related workpapers.	1 year after date of report.

5-28-80

Page 159

DOE RECORDS SCHEDULE 1AINFORMATIONAL SERVICE RECORDS

This schedule covers records pertaining to DOE informational services and relations with the public, including records created in administering Freedom of Information Act (FOIA) items 16 through 19), and Privacy Act (items 25 through 29). Except as otherwise specified in individual items, this schedule applies to copies of these records wherever located in DOE. Item 1 applies only to files maintained in the offices responsible for the operation of the informational activities of DOE.

These records consist of inquiries, replies, and related correspondence; FOIA and Privacy Act reports and appeal case files; and administrative background material for formal informational releases.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<u>INFORMATION FILES.</u> Complete set of formal informational releases and publications, such as press releases, press conference transcripts, official speeches, and indexes thereto.	Permanent.
2. (RESERVED)		
3.	<u>INFORMATION REQUESTS FILES.</u> Requests for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research; and requests for and transmittals of publications, photographs, and other informational literature.	3 months after transmittal or reply.
4.	<u>ACKNOWLEDGMENT FILES.</u> Acknowledgment and transmittals of inquiries and requests that have been referred elsewhere for reply.	3 months after acknowledgment and referral.
5.	<u>PRESS SERVICE FILES.</u> Press service teletype news and similar materials.	3 months.
6.	<u>INFORMATION PROJECT FILES.</u> Informational services project case files maintained in formally designated informational offices.	1 year after close of file or 1 year after completion of project.

DOE RECORDS SCHEDULE 1AITEM NO. DESCRIPTION OF RECORDS RETENTION PERIOD

(a)	Request <u>not</u> appealed.	2 years after date of reply.
(b)	Request appealed.	Until authorized under item 17.
(3)	Denying access to all or part of the records requested.	
(a)	Request <u>not</u> appealed.	5 years after date of reply.
(b)	Request appealed.	Until authorized under item 17.
b.	Official file copy of requested records.	Dispose of in accordance with approved DOE disposition standard for the related records, or with the related FOIA request, whichever is later.
17.	<u>FOIA APPEALS FILES.</u> Files created in responding to administrative appeals under the FOIA for release of information denied by DOE, consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.	
a.	Correspondence and supporting documents ( <u>EXCLUDING</u> the official file copy of the records under appeal if filed herein).	4 years after final determination by DOE, or 3 years after final adjudication by courts, whichever is later.
b.	Official file copy of records under appeal.	Dispose of in accordance with approved DOE disposition standard for

DOE RECORDS SCHEDULE 1AITEM NO. DESCRIPTION OF RECORDS RETENTION PERIOD

	consisting of copies of drafts, requisitions, distribution lists, and work-papers generated in the preparation and issuance of formal informational releases.	
7.	<u>COMMENDATION OR COMPLAINT CORRESPONDENCE FILES.</u> Anonymous letters, letters of commendation, complaint, criticism and suggestion, and replies thereto, excluding those on the basis of which investigations were made or administrative action taken and those incorporated into individual personnel records.	3 months.
8.	<u>INDEXES AND CHECK LISTS.</u> Bibliographies, checklists, and indexes of agency publications and releases, except those used as indexes to formal informational releases (see item 1).	Until superseded or obsolete.
9. through 15. (RESERVED)		
16.	<u>FREEDOM OF INFORMATION ACT (FOIA) REQUESTS FILES.</u> Files created in response to requests for information under the Freedom of Information Act consisting of the original request, a copy of the reply thereto, and all related supporting files which may include official file copy of requested record or copy thereof.	
a.	Correspondence and supporting documents ( <u>EXCLUDING</u> the official file copy of the records requested if filed herein).	
(1)	Granting access to all the requested records.	2 years after date of reply.
(2)	Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay reproduction fees.	

DOE RECORDS SCHEDULE 1AITEM NO. DESCRIPTION OF RECORDS RETENTION PERIOD

		The related record, or with the related FOIA requests, whichever is later.
18.	<u>FOIA CONTROL FILES.</u> Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requestor.	
a.	Registers or listing.	5 years after date of last entry.
b.	Other files.	5 years after final action by the agency or after final adjudication by courts, whichever is later.
19.	<u>FOIA REPORTS FILES.</u> Recurring reports and one-time information requirements relating to DOE's implementation of the Freedom of Information Act, including annual reports to the Congress.	
a.	Annual reports at department level.	Permanent. Offer to National Archives with related DOE records approved for permanent retention, or when 15 years old, whichever is sooner.
b.	Other reports.	2 years or sooner if no longer needed for administrative use.
20. through 24. (RESERVED)		

Attachment IV-1  
Page 160 (thru 170)

DOE 1324.2

5-28-80

DOE RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
25.	<b>PRIVACY ACT REQUESTS FILES.</b> Files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1). Files contain original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.	
a.	Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed herein).	
(1)	Granting access to all the requested records.	2 years after date of reply.
(2)	Responding to requests for nonexistent records; to requestors who provide inadequate descriptions; and to those who fail to pay reproduction fees.	
(a)	Requests <u>not</u> appealed.	2 years after date of reply.
(b)	Requests appealed.	As authorized under Item 26.
b.	Official file copy of requested records.	Dispose of in accordance with approved DOE disposition standard for the related records, or with the related Privacy Act request, whichever is later.
26.	<b>PRIVACY ACT AMENDMENT CASE FILES.</b> Files relating to an individual's request to	

DOE RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requestor's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.	5 years after the disclosure for which the accountability was made, whenever is later.
28.	<b>PRIVACY ACT CONTROL FILES.</b> Files maintained for control purposes in responding to requests, including registers and stellar records listing date, nature of request, and name and address of requestor.	
a.	Registers or listings.	5 years after date of last entry.
b.	Other files.	5 years after final action by the DOE or final adjudication by courts, whichever is later.
29.	<b>PRIVACY ACT REPORTS FILES.</b> Recurring reports and one-time information requirement relating to DOE's implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems.	
a.	Annual DOE report.	Permanent. Offer to National Archives with related DOE records approved for permanent retention, or when 15 years old, whichever is sooner.
b.	Other reports.	2 years.

DOE RECORDS SCHEDULE 14

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of DOE's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against DOE for refusing, as provided under 5 U.S.C. 552a(g).	
a.	Requests to Amend Agreed to by DOE. Includes individual's requests to amend or review refusal to amend, copies of DOE's replies thereto, and related materials.	Dispose of in accordance with the approved disposition standard for the individual's record, or 4 years after DOE's agreement to amend, whichever is later.
b.	Requests to Amend Refused by DOE. Includes individual's requests to amend and to review refusal to amend, copies of DOE's replies thereto, statement of disagreement, DOE justification for refusal to amend a record, and related materials.	Dispose of in accordance with the approved disposition standard for the individual's record; 4 years after final determination by DOE; or 3 years after final adjudication by courts, whichever is later.
c.	Appealed Requests to Amend. Includes all files created in responding to appeals under the Privacy Act for refusal by DOE to amend a record.	Dispose of in accordance with the approved disposition standard for individual's record, or 3 years after final adjudication by courts, whichever is later.
27.	<b>PRIVACY ACT ACCOUNTING OF DISCLOSURE FILES.</b> Files maintained under the provisions of 5 U.S.C. 552a(c) for an accurate accounting of the date, nature, and	Dispose of in accordance with the approved disposition standard for the individual's records, or

DOE RECORDS SCHEDULE 15

FACILITY RECORDS

This schedule applies to those records accumulated by offices in the management, maintenance, and general upkeep of facilities such as buildings, structures, plants, laboratories, utilities, and houses; exclusive of design and construction drawings and related records covered by ERS 22. This schedule includes records documenting maintenance and repair of fixture-type equipment such as boilers, heating and ventilating systems, and equipment requiring the use of design and construction drawings to make repairs. (For other equipment see ERS 23.)

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<b>FACILITY INVENTORY RECORDS.</b> Files accumulated in connection with the execution of leases for the operation of commercial or other facilities, or Government property under lease.	
a.	<u>Inventory Lists.</u>	3 years after close of fiscal year in which inventory is superseded.
b.	<u>Inventory Cards.</u>	
(1)	Individual tenant cards.	6 years after tenant vacates property.
(2)	Individual property cards.	6 fiscal years after close of fiscal year in which property is closed to tenancy or leaves DOE control.
c.	<u>Lease files.</u> Copies of leases, renewals, termination notices, and related papers.	6 fiscal years following close of fiscal year in which (a) lease termination, lapse, or cancellation occurs, or (b) litigation is concluded, whichever is later.

DOE RECORDS SCHEDULE 15

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	hours of operation, hours idle, and repair hours. Includes power and utility plant records (e.g., power, water, heating, refrigeration, and air conditioning).	
b.	<b>Power and Utility Plant Operational Source Records.</b> Including checklists, Tops, Inspection sheets, and other forms and records used to record the procedural steps followed by the operators; and instrument recorder charts, tapes, and graphs reflecting source data recorded in connection with the operation of various power and utility equipment.	3 months.

DOE RECORDS SCHEDULE 15

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
2.	<b>FACILITY MAINTENANCE RECORDS</b> include inspection, servicing, and repair records.	
a.	Summary card or ledger records reflecting maintenance and repair.	3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves DOE control.
b.	Inspection, service, maintenance, and repair records.	
(1)	Records reflecting unresolved monitored problems.	5 years after resolution of problem.
(2)	Records reflecting satisfactory inspection, service, maintenance, and repair including requisitions, requests for service, repair estimates, repair orders, work orders showing scheduled or completed maintenance or service, billings, and inspection reports.	
(a)	Boilers, electric motors, and unfired pressure vessels.	5 years.
(b)	Others.	3 fiscal years after close of fiscal year in which work is done.
3.	<b>MANAGEMENT RECORDS.</b>	
a.	Control and Supervisory Records. Including operation and cost ledgers and worksheets providing cost and expense data for administration, or operation. Includes equipment hours of operation, scheduled and actual.	3 years after date of last entry.

DOE RECORDS SCHEDULE 16

ADMINISTRATIVE MANAGEMENT RECORDS

This schedule provides for the retention or disposal of certain records relating to administrative management activities. The activities include the direction and control of operations and programs. The schedule excludes records of personnel, budget, accounting, and printing functions covered by other DOE Records Schedules, but includes records of specialized procedural and management staffs. Included within the scope of the schedule are files of organizational planning, records management activities, and administration of programs. DOE Records Schedule 1 (items 12 and 13) provides for the disposition of incentive award case files and similar types of management improvement programs. Any records created prior to 1-1-79 must be offered to the National Archives before applying these disposition instructions.

Files pertaining to a management program in a well defined area, such as reports management, consist primarily of detailed case files on each form or report and for a limited period of time are of administrative importance. Files of programs covering broader and more diverse fields, such as organizational planning studies, normally consist largely of project files, which are established for each separate problem assigned for investigation; the resulting case file is usually of continuing value in documenting the history of how the Department conducted its business. In addition, there are ephemeral administrative materials. These may include working papers that do not have a direct bearing on the transaction, preliminary or intermediate drafts of documents, and preliminary worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgment, routing slips, and extra copies of documents.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<b>1. DIRECTIVE CASE FILES.</b>		
a.	Management directives case files documenting the policies and procedures of the DOE, except those described in b., below. These files include DOE orders, notices, and announcements.	
(1) Headquarters.		
(a)	Master printed copy of each directive maintained by the Office of Organization and Management Systems, Directorate of Administration.	Permanent.
(2) Field Offices.		
(a)	Master printed copy of each local directive issued, maintained by organizational entity responsible for directives management.	10 years after closeout of office.
(b)	All other printed copies.	Nonrecord--destroy when no longer needed for reference.
(c)	Backup material supporting issuance of the directive.	10 years.
b.	Management directives case files documenting the policies and procedures of DOE relating to procurement and property management. These files include DOE procurement regulations (DOE-PR's); and DOE property management regulations (DOE-PRM's).	
(1) Headquarters.		
(a)	Master printed copy of each directive maintained by the Directorate of Procurement and Contracts Management.	Permanent.
(b)	All other copies.	Nonrecord--destroy when no longer needed for reference.
(c)	Backup material supporting issuance of the directive.	15 years.

DOE RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<b>(b) All other copies.</b>		
		Nonrecord--destroy when no longer needed for reference.
(c)	Backup material supporting issuance of the directive.	10 years.
<b>(2) Field Offices.</b>		
(a)	Master printed copy of each local directive issued, maintained by organizational entity responsible for directives management.	10 years after closeout of office.
(b)	All other printed copies.	Nonrecord--destroy when no longer needed for reference.
(c)	Backup material supporting issuance of the directive.	10 years.
<b>b. Management directives case files documenting the policies and procedures of DOE relating to procurement and property management. These files include DOE procurement regulations (DOE-PR's); and DOE property management regulations (DOE-PRM's).</b>		
(1) Headquarters.		
(a)	Master printed copy of each directive maintained by the Directorate of Procurement and Contracts Management.	Permanent.
(b)	All other copies.	Nonrecord--destroy when no longer needed for reference.
(c)	Backup material supporting issuance of the directive.	15 years.

DOE RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<b>(2) Field Offices.</b>		
(a)	Master printed copy of each local directive issued, maintained by organizational entity responsible for directives management.	15 years after closeout of office.
(b)	All other copies.	Nonrecord--destroy when no longer needed for reference.
(c)	Backup material supporting the issuance of the directive.	15 years.
c.	Administrative announcement files containing record copies of announcements concerning routine or temporary administrative matters, distributed for informational purposes to organizational components or to employees, exclusive of announcements covering policy, authorizations, planning, or procedural matters.	1 year.
2. <b>PUBLICATIONS.</b> Pamphlets, reports, leaflets, title manuals, or other published or processed documents, or the last manuscript report if not published, relating to management projects.		
a.	Record copy with the supporting papers which document the inception, scope and purpose of the project.	
(1)	Documenting substantive programs and accomplishments.	Permanent. Offer to National Archives when 10 years old.
(2)	Others.	5 years.
b.	Working papers and background materials. See item 10.	

DOE RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<b>3. RECORDS DISPOSITION FILES. Descriptive Inventories, disposal authorizations, schedules, and reports.</b>		
a.	Basic Documentation of records disposition program, including Standard Form 115, Request for Records Disposition Authority; Standard Form 135, Records Transmittal and Receipt and related documentation; or other records retirement and transfer documents including descriptive lists, box and location information, disposal authority, access restrictions, and security classification of records.	Until related records are destroyed, or when no longer needed for administrative or reference purposes.
b.	Records Inventory and Disposition Schedules, DOE Form AD-304, or equivalent, containing a listing of filing units and general files of an organization; citation as to appropriate disposal authority; retention period; instructions for file cutoff, retirement, transfer or disposal; and concurrences of responsible organizational authority.	Until superseded or obsolete.
c.	Records Disposal action notices used to notify retiring offices, records officers, and other interested parties of the destruction of records whose retention period has expired, including appropriate concurrences for their destruction.	1 year.
d.	Extra Copies and routine correspondence and memoranda.	Until no longer needed for reference.
e.	Working Papers and background material. See item 10 of this schedule.	

5-28-80

DOE RECORDS SCHEDULE 16

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
4.	<b>FORMS FILES</b> (Standardization and Control).	
a.	Form files containing data showing the inception and scope of the form, the program or administrative purpose served by the form, and the related procedures instituted, revised, superseded, or cancelled.	10 years after form is discontinued, superseded, or cancelled.
b.	Working papers, background materials, requisitions, specifications, processing data, and control records.	Until related form is discontinued, superseded, or cancelled.

  

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
5.	<b>CORRESPONDENCE FILES.</b> General subject correspondence files, consisting of letters, memoranda, messages, studies, reports, forms, and other data documenting or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to DOE programs and staff activities, or pertaining to internal administration or operations.	

  

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
a.	Files documenting the development of plans and policies pertaining to the mission, program, or functions for which the concerned division, office, field office, laboratory, or contractor has primary responsibility; opinions and decisions of an important policy or precedent nature; and summary reports and data reflecting its overall accomplishment. (These files will generally be found in the offices of principal staff of Headquarters offices and divisions, field organizations, laboratories, and contractors.)	Permanent.
b.	Files of an operational nature documenting implementation of the clearly established mission, programs, policies, and procedures for which the division,	15 years.

DOE RECORDS SCHEDULE 16

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	office, field office, laboratory, or contractor has primary responsibility, provided that the documentation in a. is preserved.	
c.	Files documenting transactions of a routine character, generally recurring type, which relate to local performance of particular transactions of a mission, program, or activity, and which essentially are summarized or duplicated in records described in b. above, maintained at a higher organizational level.	6 years.
d.	File, pertaining to internal administration and operations, and informational copies of correspondence, forms, publications, reports, and other issuances relating to temporary needs and routine nonmission or nonprogramming responsibilities.	2 years.
e.	Acknowledgments and transmittals of inquiries and requests that have been referred elsewhere for reply; routing requests for information and replies thereto; anonymous letters, letters of commendation, complaint, criticism, and suggestions and replies thereto, exclusive of those leading to investigative or administrative action and those incorporated in individual personnel files.	3 months.
6.	<b>RECORDS HOLDINGS FILES.</b> Statistical reports of agency records holdings required by the General Services Administration, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.	3 years.
7.	<b>PROJECT CONTROL FILES.</b> Memoranda, reports, and other records documenting assignments, progress, and completion of projects.	1 year after the year in which the project is closed.

DOE RECORDS SCHEDULE 16

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
8.	<b>REPORT FILES.</b>	
a.	Reports Control case files maintained for each DOE report created, cancelled, or superseded.	2 years after the report is discontinued.
b.	Activity or Status reports, consisting of textual, statistical, or graphic matter, prepared periodically and reflecting activities in, or status of, the assigned functions of units, sections, branches, divisions, field offices, or their equivalents.	
(1)	Units, sections, and branches of field offices and of Headquarters divisions and offices.	
(a)	Weekly and monthly reports.	3 years.
(b)	Quarterly, semiannual, and annual reports.	6 years.
(2)	Field offices, field office divisions, and Headquarters divisions and offices.	
(a)	Weekly and monthly reports.	6 years.
(b)	Quarterly, semiannual, and annual reports.	10 years.
(3)	Summary reports reflecting the overall accomplishments of specific programs, missions, or projects determined by a principal staff member to have historical or archival interest and concurred in by NARS; and copies of reports to the President or to the Congress.	Permanent.

DOE RECORDS SCHEDULE 16

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
c.	Reports, Other Than Activity or Status Reports, usually concerning a single function or subject, prepared periodically, occasionally, or on a one-time basis and directed to higher or equal levels of organization for summarization or total inclusion in final reports.	
(1)	Feeder or preliminary reports.	
(a)	Weekly and monthly reports.	1 year.
(b)	Quarterly, semiannual, annual, occasional, and one-time reports.	3 years.
(2)	Final reports or summary reports periodically produced which are the equivalent of a final report.	See ERS 16, Item 5.
d.	Trip Reports, reflecting activities engaged in or official travel of employees for the purpose of orientation, rendering assistance or making studies, exclusive of reports regarding management appraisals.	3 years.
e.	Management Appraisal Reports, documenting the findings, conclusions, and recommendations resulting from reviews of facilitating programs or functions of DOE components and contractors, prepared from data gathered during visits to installations, or from examination of reports and documents, or both; exclusive of audit reports and reports evaluating or appraising the substantive or programmatic functions of DOE and its contractors.	6 years.
f.	Copies of Management Improvement Reports and related analyses and feeder reports.	

DOE RECORDS SCHEDULE 16

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	(1) Documenting substantive programs and accomplishments.	Permanent. Offer to National Archives when 10 years old.
	(2) Others.	6 years.
9.	(RESERVED)	
10.	WORKING PAPERS. Project background records such as studies, analyses, notes, drafts, and interim reports.	Until 6 months after final action on project report, or 3 years after completion of report if no final action is taken.
11.	RECORDS MANAGEMENT FILES. Reports, correspondence, authorizations, techniques, and related records concerning the development and improvement of the management of records in the Department. Includes the management of files, forms, correspondence, mail, reports, microfilm, automatic data processing, vital records, and related records not covered elsewhere in this schedule.	6 years.
12.	CONFERENCE AND COMMITTEE RECORDS.	
	4. Conference, Meeting, and Convention Records, including copies of plans, announcements, invitations, agenda, papers presented, summaries, and related reports.	
	(1) International and national conferences in which DOE is a participant:	
	(a) Official files maintained by the office, division, field organization, or contractor responsible for coordinating the DOE effort.	Permanent.

DOE RECORDS SCHEDULE 16

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	(b) All other copies.	3 years, or when no longer needed for reference, whichever is earlier.
	(2) DOE-wide staff or field office meetings of mission (program) groups.	
	(a) Official files of sponsoring office, division, field office, or contractor.	Permanent.
	(b) All other copies.	2 years, or when no longer needed for reference, whichever is earlier.
	(3) DOE-wide staff or field office meetings of support groups.	
	(a) Official files of sponsoring office, division, field office, or contractor.	10 years.
	(b) All other copies.	2 years, or when no longer needed for reference, whichever is earlier.
	(4) Conferences, meetings, conventions, symposiums, and seminars not sponsored by DOE or its contractors.	
	(a) Reports containing summaries of views presented and action taken by the assembly and of benefits derived from DOE participation.	3 years.

DOE RECORDS SCHEDULE 16

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	(b) All other material.	2 years, or when no longer needed for reference, whichever is earlier.
	b. Committee, Board, Panel Files consisting of charter, meeting notices, agendas, minutes, reports, recommendations, and correspondence directly related to the mission of the group.	
	(1) Official files of Advisory Committees subject to the Federal Advisory Committee Act and OMB Circular A-63.	Permanent.
	(2) Official files of "Panels," "Task Forces," "Study Teams," and "Work Groups" established internally to provide information, advice, or recommendations to DOE or contractor management (exclusive of organizational surveys and studies).	15 years after termination of assignment.
	(3) Files maintained by individual members of committee, panel, or task force.	Until superseded, obsolete, or upon termination of membership.
13.	<u>ORGANIZATIONAL RECORDS.</u>	
	a. Official organization charts, narrative histories, and related records which document the organization and functions of DOE.	
	(1) Record copy.	Permanent.
	(2) All other copies.	Until superseded or obsolete.

DOE RECORDS SCHEDULE 16

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	b. Surveys and studies of organizational units and operating procedures, including formal reports resulting herefrom, except for records otherwise covered in this or other schedules.	Permanent.
14.	AWARDS. Case files maintained to document the Enrico Fermi and Ernest O. Lawrence awards.	
	a. Case files of award recipients containing nominating form, commenters' recommendations, Secretary's decision, and documentation of ceremony date.	Permanent.

b. Case files of award nominees.

5-28-80

DOE RECORDS SCHEDULE 17CARTOGRAPHIC, REMOTE SENSING IMAGERY, AND RELATED RECORDS

This schedule covers cartographic, remote sensing imagery, and related records. Records created prior to 1-1-50 must be offered to the National Archives before applying the disposition standards in this schedule.

Cartographic records include maps, charts (hydrographic, nautical, weather, and aeronautical), photomaps, atlases, cartograms, globes, and relief models. Related records are those records that form an integral part of the mapmaking process, such as field survey notes, geodetic controls, map history case files, source materials, indexes, and finding aids. Records of the mapmaking process in automated storage and retrieval systems are covered by Records Schedule 20.

Remote sensing imagery covers aerial photographs and visual images of the surface of the earth taken from airborne vehicles for evaluation, measuring, or mapping the cultural and physical features of the landscape; and related indexes.

Additional descriptive information applicable to the disposition instructions for selected items are included in explanatory notes at the end of this schedule.

This schedule is broad and complements other schedules.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1. <u>MANUSCRIPT, STICKUP, AND ANNOTATED MAPS.</u>	Maps for administrative use, research, or exhibits or wall displays; map enclosures to reports or correspondence; original topographic planimetric sheets, terrain sketches, and nautical depth-sounding sheets; final manuscript "smooth sheets" and "fair sheets" showing the results of surveys; maps or aerial photographic prints annotated with field survey information, initial hand-drawn photogrammetric stereoplottings from aerial photographs; and proofsheets or overlays that bear annotations resulting from field checking or verification of survey data or that are annotated to show source of information used on the map.	Submit DOE Form AD-331, Records Retention and Disposal Authorization.
2. <u>CARTOGRAPHIC RECORDS PREPARED DURING INTERMEDIATE STAGES OF PUBLICATION.</u>	Scribes plastic sheets, color separation	Destroy 1 year after publication of resultant map or 1 year after no

DOE RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose information content is duplicated by the final published map.	longer needed for revision.
3. <u>PUBLISHED MAPS.</u>	One copy of each DOE-produced published map, atlas, portfolio, and photocopy, including each edition and variant, and all related indexes [in map or other form].	Permanent.
4. <u>MAP HISTORY CASE FILES AND SOURCE MATERIAL.</u>	Map chart history case files documenting planning, surveying, field work, and production and revision of specific maps, and sources of information, specifications, location diagrams, and cartographer's notes.	Submit DOE Form AD-331, Records Retention and Disposal Authorization.
5. <u>MAPS ON MICROFILM.</u>	a. If both original hard copy maps and microfilm copies exist. b. If only the microfilm copies exist.	Submit DOE Form AD-331, Records Retention and Disposal Authorization. Follow disposition standard for related hard copy records.
6. <u>COMPUTER-RELATED MAPS.</u>	a. One copy of each published, manuscript, or computer-produced map that shows the general geographic coverage of a computer system, or the geographic location of input stations.	Permanent. Offer to National Archives within 10 years.

## Attachment IV-1

Page 193

DOE RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
6. <u>COMPUTER-RELATED MAPS.</u>	b. Hard copy maps acquired as sources of data for a computer system.	Submit DOE Form AD-331, Records Retention and Disposal Authorization.
	c. Computer-plotted maps (hard copy printouts or microfilm output).	Submit DOE Form AD-331, Records Retention and Disposal Authorization.
7. <u>GLOBES, TERRAIN MODELS, AND RAISED RELIEF MAPS.</u>	a. One representative sample of each type.	Permanent. Offer to National Archives within 1 year of production, or when no longer needed.
	b. Remaining items.	Until no longer needed for Contractor use.
8. <u>FINDING AIDS.</u>	Graphic or written indexes and other finding aids relating to maps.	Follow disposition standard for related maps.
9. <u>SURVEY FIELD NOTES, GEODETIC CONTROLS, AND COMPUTATIONS.</u>	(Hard copy or Microfiche). Field notes from surveys, observations, and explorations, consisting of a running account of the terrain, geological notes, water depths, a daily log or journal (often a notebook, triangulation diagrams, annotated aerial photographs, and survey computations).	Permanent. Offer to National Archives within 10 years after completion of resultant map.
10. through 15. <u>(RESERVED)</u>		
16. <u>VERTICAL AND OBLIQUE AERIAL FILM, CONVENTIONAL AIRCRAFT.</u>	Vertical and oblique film in black and white, color, or "false color," including photo indexes	

DOE RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	(controlled or uncontrolled mosaics), flight line indexes, or coordinate grid systems used as finding aids.	
a. <u>Original or master negative.</u>		Submit DOE Form AD-331, Records Retention and Disposal Authorization.
b. <u>Copy negatives, internegatives, rectified negatives, and glass plate negatives.</u>	(1) Annotated. (2) Unannotated.	Submit DOE Form AD-331, Records Retention and Disposal Authorization. Until no longer needed for contractor use.
c. <u>Prints.</u>	(1) Annotated. (2) Unannotated.	Submit DOE Form AD-331, Records Retention and Disposal Authorization. Until no longer needed for contractor use.
17. <u>INFRARED, ULTRAVIOLET, MULTISPECTRAL (MULTIBAND), VIDEO, IMAGERY RADAR, AND RELATED DATA TAPES, CONVERTED TO A FILM BASE.</u>	a. <u>Original or master negative.</u> b. <u>Prints.</u>	Submit DOE Form AD-331, Records Retention and Disposal Authorization. Submit DOE Form AD-331, Records Retention and Disposal Authorization.

DOE RECORDS SCHEDULE 17

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
(2)	Unannotated.	Until no longer needed for contractor use.
18.	FINDING AIDS. Photo mosaics flight line indexes, coded grids, coordinate grids, and other finding aids relating to remote sensing imagery.	Follow disposition standard for related remote sensing imagery records.

EXPLANATORY NOTES

Items 1 through 9

The term "map" is used as a generic term for maps, charts, cartograms, and atlases. The word "published" is used to mean maps or charts reproduced in multiple copies by printing, photograph, or similar processes. If hand-corrected editions are filed with other published maps in a central or master file, do not remove the hand-corrected copies; instead, maintain the file in original order.

Item 6b

Maps used for input into a computer system may have enduring value for explaining the unique information used in the system or to verify the original source of information. If the maps are arranged in a numbered or alphabetized file, retain the original and complete order. Finding aids should be retained in conjunction with the maps.

Item 6c

An evaluation of these maps must take into account the reproducibility, repetitive nature, access, and legibility of the maps.

Item 7

Globes are often unique and valuable items of cartographic expression and may have enduring value (except multiple copies). One sample of each globe produced or accumulated by the contractor in an official capacity should be preserved permanently.

DOE RECORDS SCHEDULE 17

[EXPLANATORY NOTES (Continued)]

Item 8

Graphic indexes are maps containing lines, symbols, or colors designed to show the geographic coverage, limits, or state of compilation of each item in a series or multiple set of map records. Other finding aids may include written map lists, box lists, card file indexes, or magnetic tape or other machine-readable finding aids.

Item 9

Survey notes in machine-readable form may be permanently valuable. Guidelines for the disposition of automated records are found in Records Schedule 20.

Item 16

Vertical aerial film consists of film images that are exposed with the optical axis of the camera approximately perpendicular to the earth's surface and with the film image as nearly horizontal as practicable.

Oblique aerial film consists of film images that are made with the camera axis directed between the horizontal and the vertical. (Oblique photography is generally used for reconnaissance purposes and may be repetitive. If repetitive, representative samples may be selected by agreement with National Archives.)

Item 17

These sensor systems provide photographic imagery, sometimes after conversion or transfer of information from raw data. The film is considered to be the primary record. The raw data, if machine-readable, is covered by Records Schedule 20. (Nonphotographic sensor records such as microwave, radiometer, thermal infrared, thermal ultraviolet, and nonimaging radar are not covered by this schedule.)

DOE RECORDS SCHEDULE 1B

SECURITY AND PROTECTIVE SERVICES RECORDS

Security and protective services records include the various files created by DOE to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by or seeking employment with the Government; and to develop and implement plans for the protection of life and property under emergency conditions. Included are files of offices having Departmentwide responsibilities for security and protective services programs, files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions. Any records created prior to 1-1-81 must be offered to the National Archives and Records Service before applying these disposition instructions.

SECURITY AND PROTECTIVE SERVICES PROGRAM RECORDS

Records accumulated by organizational elements having responsibilities for administration of security and protective services programs. They relate to classified information accounting and control, facilities security and protective services, personnel security clearance, and emergency planning.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
----------	------------------------	------------------

1. SECURITY POLICY FILES.

- a. Files which document the official policy developed in the administration and direction of security and protective services programs.
  - (1) Manuals and directives. See Records Schedule 16, Item 1.
  - (2) Plans and correspondence. See Records Schedule 16, Item 5.
  - (3) Reports. See Records Schedule 16, Item 8.

DOE RECORDS SCHEDULE 1B

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
----------	------------------------	------------------

- b. Files which document the official policy, standards, and procedures for administration of DOE's classification and declassification program.
  - (1) Program and policy guides. Permanent.
  - (2) DOE action and information papers (single copy) concerning classification policy. Permanent.
  - (3) Files documenting the development of classification policy, including policy studies. 50 years.
  - (4) Local guides. 10 years after guide is superseded.
- c. Records documenting classification and declassification review actions taken on the basis of established policy, directives, regulations, and guides. Each file includes the request for classification review, statement of action taken, basis for the decision, comments of the reviewer, plus related and supporting correspondence.
  - (1) Review actions which deviate from established policy and set a precedent for future action, or reflect unusual sensitivity, or which are of historical interest, or the subject of litigation.
    - (a) Headquarters. Permanent.
    - (b) Field organizations. 6 years.
  - (2) All other files. 6 years.

DOE RECORDS SCHEDULE 1B

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
----------	------------------------	------------------

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken to protect classified information from unauthorized disclosure in accordance with Executive Order 10501, other Executive orders, or statutory or regulatory requirements.

- 2. (RESERVED)
- 3. DOCUMENT RECEIPT FILES. Classified document receipts, relating to the receipt and issue of classified documents. 2 years.
- 4. DESTRUCTION CERTIFICATES. Classified documents destruction certificates relating to the destruction of classified documents. 2 years.
- 5. CLASSIFIED DOCUMENT INVENTORY FILES. Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule. 2 years.
- 6. TOP SECRET ACCOUNTING AND CONTROL FILES.
  - a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. 5 years after documents shown on forms are downgraded, transferred, or destroyed.
  - b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. Until related document is downgraded, transferred, or destroyed.
- 7. ACCESS REQUEST FILES. Requests and authorizations for individuals to have access to classified files. 2 years after authorization expires.

DOE RECORDS SCHEDULE 1B

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
----------	------------------------	------------------

- 8. CLASSIFIED DOCUMENT CONTAINER SECURITY FILES. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. Until superseded by a new form or list, or upon turn-in of containers.
- 9. (RESERVED)
- 10. SURVEY AND INSPECTION FILES (GOVERNMENT-OWNED FACILITIES). Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry. 3 years, or 3 years after termination of facility, whichever is sooner.
- 11. SURVEY AND INSPECTION FILES (PRIVATELY OWNED FACILITIES). Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies, and related papers. 4 years, or 3 years after termination of facility, whichever is sooner.
- 12. INVESTIGATIVE FILES accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in other agencies or organizational elements; and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements. 2 years.

DOE RECORDS SCHEDULE 18

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
13.	PROPERTY PASS FILES authorizing removal of property or materials.	3 months after expiration or revocation.
14.	GUARD ASSIGNMENT FILES relating to guard assignments and strength.	
a.	Ledger records.	3 years after final entry.
b.	Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements.	2 years.
15.	POLICE FUNCTIONS FILES. Files relating to exercise of police functions.	
a.	Ledger records of arrest, cars ticketed, and outside police contacts.	3 years after final entry.
b.	Reports, statements of witnesses, warning notices, and other case papers relating to arrest, commitments, and traffic violations.	2 years.
c.	Reports on contact of outside police with building occupants.	1 year.
16.	PERSONAL PROPERTY ACCOUNTABILITY FILES relating to accountability for personal property lost or stolen.	
a.	Ledger files.	3 years after final entry.
b.	Reports, loss statements, receipts, and other papers relating to lost and found articles.	1 year.
17.	KEY ACCOUNTABILITY FILES. Files relating to accountability for keys issued.	For areas under maximum security, destroy 3 years after turn-in of key. For other areas, destroy 6 months after turn-in of key.

DOE RECORDS SCHEDULE 18

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
a.	Data sheets, door slip summaries, checklists, and guard reports on security violations (except copies in files of agency security offices covered by item 25 of this schedule).	1 year.
b.	Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in item 25 of this schedule.	1 month.
20.	GUARD SERVICE CONTROL FILES.	
a.	Control center key or code records, emergency call cards, and building record and employee identification cards.	Until superseded or obsolete.
b.	Round reports, service reports on interruptions and tests, and punch clock dial sheets.	1 year.
c.	Automatic machine patrol charts and registers of patrol and alarm services.	1 year.
d.	Arms distribution sheets, charge records, and receipts.	3 months after return of arms.
21.	LOGS AND REGISTERS. Guard logs and registers not covered elsewhere in this schedule.	
a.	Central guard office master logs.	2 years after final entry.
b.	Individual guard post logs of occurrences entered in master logs.	1 year after final entry.

DOE RECORDS SCHEDULE 18

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
18.	VISITOR CONTROL RECORDS.	years after turn-in of key. For other areas, destroy 6 months after turn-in of key.
a.	Visitor registration cards or similar records, documenting admission of visitors (or employees without official passes) to administrative or restricted areas, or installations --reflecting such data as name of visitor, admission badge number, date, home address, citizenship, signature of visitor, time in and time out, verification of appointment occasioning visit, whether "Q" cleared or under escort, names of escorts, names of persons receiving visitor, and identification of articles in visitor's possession upon departure.	Restriction: Facilities where exposure to radiation could occur, destroy 50 years after date of document.
b.	Registers of persons authorized access to exclusion areas, maintained by patrolmen on duty, and recording such data as name of employee or firm, vehicle number, time checked in and out, reason for entrance, signature of patrolman, and name or initials of patrolman.	Unless restricted above, for areas under maximum security, destroy 5 years after final entry or 5 years after date of document, as appropriate; for other areas, destroy 2 years after final entry or 2 years after date of document, as appropriate.
19.	FACILITIES CHECKS FILES relating to periodic guard force facility checks.	For areas under maximum security, destroy 5 years after final entry or 5 years after date of document, as appropriate; for other areas, destroy 2 years after final entry or 2 years after date of document, as appropriate.

DOE RECORDS SCHEDULE 18

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
<u>PERSONNEL SECURITY CLEARANCE RECORDS</u>		
	Records accumulating from investigations of personnel conducted under Executive Order 10450, other Executive orders, or statutory or regulatory requirements.	
22.	(RESERVED)	
23.	PERSONNEL SECURITY CLEARANCE CASE FILES. Records of investigations of personnel employed by or seeking employment, or who otherwise require a security clearance.	10 years following termination of clearance or access authorization, discontinuance, or cancellation, provided, however, all copies of Personnel Security Questionnaires, or equivalent, are removed from the file and retained pending completion of Health and Mortality Study.
	Personnel security clearance case files of DOE and contractor employees and consultants, access permittees and their employees and consultants, and others. Such files include Federal Bureau of Investigation reports, Office of Personnel Management reports, or other Government agency reports, and letters, memoranda, and other communications pertinent to the case.	
24.	PERSONNEL SECURITY CLEARANCE STATUS FILES.	
a.	Records showing the security clearance status of individuals, either in the form of lists or rosters, or as individual case files containing copies of documents contained in case files described in item 23 above.	Destroy lists or rosters when superseded or obsolete; destroy case files upon transfer or separation of related individual.
b.	Case files containing information on individuals of any nationality, political belief, or profession who may be of interest to Office of Safeguards and Security management in their conduct of assigned functions. Data contained in individual case reports from the FBI, CIA, or OPM, official correspondence, extracts from news media publications, and similar material. This record	5 years after last entry to the case file.

DOE RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	series is maintained by the Office of Safeguards and Security to assist in carrying out functions involving such areas as internal security, espionage, sabotage, violations of the Atomic Energy Act, or other Federal statutes.	
25.	<b>NONFELONIOUS SECURITY VIOLATION FILES.</b> Case files relating to investigations of alleged security violations, but exclusive of files concerning felonies and papers placed in official personnel folders.	2 years after completion of final corrective or disciplinary action.
26.	<b>FELONIOUS SECURITY VIOLATION FILES.</b> Records of cases involving violations of the Atomic Energy Act or other Federal laws of security interest.  a. Cases which are or were of widespread public, governmental, or congressional interest.  b. Others.	Permanent.  25 years.

EMERGENCY PLANNING RECORDS

Records accumulating from the formulation and implementation of plans (such as evacuation plans) for protection of life and property during emergency conditions.

28.	<b>EMERGENCY PLANNING CASE FILES</b> accumulated by offices responsible for preparation and issuance of plans and directives, consisting of a record copy of each plan or directive issued, with related background papers.	See Records Schedule 16, item 1.
29.	<b>EMERGENCY DIRECTIVES REFERENCE FILES.</b> Copies of plans and directives, other than those maintained in case files described in item 28 above.	Until superseded or obsolete.

DOE RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
30.	<b>EMERGENCY PLANNING REPORTS.</b> Department reports of operations tests, consisting of consolidated or comprehensive reports reflecting Departmentwide results of tests conducted under emergency plans.	See Records Schedule 16, item 5b.
31.	<b>EMERGENCY OPERATIONS TESTS FILES.</b> Papers accumulating from tests conducted under emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and retained copies of reports.	3 years.

DOE RECORDS SCHEDULE 19  
RESEARCH AND DEVELOPMENT RECORDS

These are records created in the conduct of technical and scientific research and development (R&D) activities to develop new concepts, techniques, equipment, and materials, or modify those in existence. The records relate to such phases of research and development as the establishment of requirements and preliminary characteristics, experimentation, design, engineering, codification, testing, and acceptance. They accumulate at various organizational levels, such as offices responsible for program direction, and laboratories.

Scientific data accumulating during the conduct of a specific project are generally recorded in laboratory notebooks, and later summarized in technical reports. While the technical reports will normally show the progressive and final results of the research effort, they do not always show how these results were achieved, or when a theory, device, or process was first conceived or reduced to practice. The laboratory notebooks and other subsidiary scientific papers record the methods and procedures used daily by the scientist in research performance, and may possess value for the establishment of patent or invention rights.

Research and development is conducted by DOE personnel and by private commercial or research organizations under contract to DOE. Contractors furnish research results to DOE via technical reports, experimental data, or comparable media. The records become the property of the Government and are subject to the provisions of this schedule.

The work of a major research and development project or system may be assigned to various organizational elements of DOE. These work assignments may be designated as "sub-projects," "tasks," or "phases." They are generally identified with the major project or system through the DOE project numbering or classification system. The term "project" as used in this schedule includes any related sub-projects, tasks, or phases. It is desirable that these related records be consolidated into a single project file prior to transfer to a Federal Records Center.

For projects of long duration, where volume or other factors preclude retaining the records in DOE until completion of the entire project, records of individual subprojects, tasks, or phases may be transferred to Federal Records Centers following the requirements in standard 3 of this schedule.

DOE RECORDS SCHEDULE 19

ITEM NO.	DESCRIPTION OF RECORDS.	RETENTION PERIOD
1.	R&D PROGRAM FILES. Program documents, schedules, and correspondence maintained by offices responsible for execution, review, and analysis of research and development programs, and relating to the general planning and supervision of the programs.	Permanent.
2.	(RESERVED)	
3.	R&D PROJECT CASE FILES. Project Case Files reflecting the history of a project from initiation to completion, including research, development, design, and test results. Included are records such as: project proposals; review mechanisms and commentaries; project authorizations and directives; copies of unpublished manuscripts, journal articles, and conference papers; progress reports; correspondence influencing the direction of the project; and lists of publications and files resulting from the project.	Permanent.
a.	Case files deemed by DOE, contractor, or the National Archives to have exceptional value because of the highly significant nature of the research and development involved or uniqueness of the case file. Included are files that:	
(1)	Show development of new and significant techniques.	
(2)	Relate to new and significant methodology and materials.	
(3)	Were the subject of Congressional investigation or came under intensive public scrutiny.	

DOE RECORDS SCHEDULE 19

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
(4)	Result in judicial decisions or legislative activities affecting the functions and activities of DOE.	
(5)	Result in significant changes in the functions of the DOE.	
b.	All other case files.	15 years.
4.	R&D PROJECT LISTS. Lists, card indexes, or other media reflecting in a comprehensive manner individual projects administered by DOE.	Subsidiary DOE Form AD-331, Records Retention and Disposal Authorization.
5.	R&D SOURCE DATA FILES. Punch cards, electronic tape, or comparable media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments, observation, or a routine repetitive nature, and used for reference in arriving at determinations in the conduct of research projects.	Dispose of when determined by competent DOE research personnel that the files have served all research purposes. ERS 20, Machine-Readable Records, provides disposition guidelines.
6.	R&D LABORATORY NOTEBOOKS FILES. Notebooks containing technical and scientific data accumulating from the conduct of research and development.	
a.	Notebooks containing data essential in establishing patent or invention rights.	Retain 25 years, and then follow b. and c. requirements below.
b.	Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file.	Destroy 6 months after completion or termination of the related project or projects.

DOE RECORDS SCHEDULE 19

ITEM NO.	DESCRIPTION OF RECORDS.	RETENTION PERIOD
c.	Other notebooks.	Subsidiary DOE Form AD-331, Records Retention and Disposal Authorization.
7.	R&D TECHNICAL REPORT FILES. Published and unpublished scientific and technical reports.	
a.	Record copy of reports not sent to the Technical Information Center (TIC), Oak Ridge.	Permanent.
b.	Copy(s) maintained by TIC, Oak Ridge:	
(1)	Master copy of each report submitted to TIC:	
(a)	Those that have been microfilmed.	3 years or until no longer needed for reference, whichever is later.
(b)	Those that have not been microfilmed.	Permanent.
(2)	Microfiche master copy.	Permanent.
c.	All other copies.	Nonrecord--return to library when no longer needed for reference.
8.	R&D DRAWING AND SPECIFICATION FILES. An official file copy of each drawing and specification showing final design and technical characteristics of items developed.	See ERS 22, Design and Construction Records for disposition instructions.
9.	(RESERVED)	

Attachment IV-1  
Page 218 (thru 228)

DOE 1324.2  
5-28-80

DOE RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
10.	R&D PROJECT CONTROL FILES. Copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel not to be of sufficient value for incorporation into project case files.	Destroy upon completion or cancellation of project, or earlier, as they serve their purpose.
11. (RESERVED)		
12. R&D INVESTIGATIVE FILES. Records pertaining to exploration of the feasibility of unsolicited proposal for projects received from individuals.		
a.	Proposals resulting in authorized projects.	Follow disposition standard for item 3.
b.	Rejected proposals.	5 years after completion of investigation.
13.	R&D PROCUREMENT FILES. Formal contracts or agreements with universities, commercial concerns, and individuals for research and development work, and related papers, but exclusive of technical or scientific data furnished to the Government pursuant to the terms of the contract or agreements and copies of contractual documents filed in project case files defined in Item 3 of this schedule.	See Item 4, Records Schedule 3.
14.	R&D TECHNICAL REFERENCE FILES. Copies of technical reports, specifications, drawings, and other technical and scientific data received from Government agencies, commercial concerns, or other sources, used as a reference source in the performance of	Until superseded or obsolete.

DOE RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	the research and development function, but exclusive of official file copies of these documents.	
15. PARTICLE ACCELERATOR EXPERIMENT RECORDS	resulting from experiments conducted with particle accelerators (spark chamber, and bubble chamber.)	
a.	Raw data recorded on film, magnetic tape, punched cards, computer printouts, record charts, logs.	Until pertinent data have been extracted, reduced or summarized, evaluated, and interpreted and the raw data is no longer needed for experiments; or 5 years following the acquisition of the data, whichever is earlier, provided that the data have been reviewed by qualified scientific personnel and determined to have no probable value for secondary evaluations or future, different experiments.
b.	Raw data determined to have probable value for secondary evaluations or future different experiments.	Review annually, dispose of when no longer of value for research purposes.
c.	Summary data and data reflecting unusual occurrences recorded on film, magnetic tapes, punched cards, computer printouts, logs, and notebooks which serve as backup for reports generated during experiments.	15 years.

DOE RECORDS SCHEDULE 19

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
d.	Final reports reflecting the results of experiments conducted with particle accelerators.	Permanent.
16.	WEAPON FIELD TEST RECORDS accumulated at test sites and consisting of various types of motion picture film, oscilloscopes, and magnetic tapes on which are recorded raw or unevaluated data; and evaluation data resulting from study of above material, including memoranda, graphs, tabulations, reports, and related papers referred to collectively as "Reduced Data."	
a.	Raw test data, consisting of Mitchell camera film, Askania Phototherodolite film, and Fastex film; trajectory data oscilloscopes, telemetry oscilloscopes, and magnetic tapes.	5 years, or 1 year after completion of final evaluation report of test project, whichever comes first.
b.	Reduced data, as described above.	Until complete weapon or subassembly becomes obsolete and is removed from stockpile.

## DOE RECORDS SCHEDULE 20

MACHINE-READABLE RECORDS

This schedule covers machine-readable records and related documentation. Machine-readable records require processing and decoding for conversion to human-readable information and are usually stored on media which make them easy to modify and update. Federal statutes and regulations define Federal records as the products of Government business and specifically include all media on which they may be recorded. When information exists in both machine-readable and hard copy forms, including computer output microfilm (COM), various factors bear on the decision of which medium should be retained for archival purposes. Among these are the relative cost of storage and preservation, the relative convenience of reference, and the facility with which cost hard copy forms may be regenerated from machine-readable files (a process which is costly to reverse).

The disposition of data on media other than computer magnetic tape (such as punch cards, paper tape, disc packs, or drums) is authorized by this schedule; however, magnetic tape is usually required for transfer of archival data to the National Archives.

Machine-readable records differ from records on other media in four important ways:

1. The machine-readable media on which they are most often recorded are erasable and reusable, thus creating a cost effectiveness factor in their management which is not present with more permanent media.
2. The magnetic media on which most machine-readable records are recorded are not designed to be permanent storage media for records. Thus the fragility of cost information in machine-readable form poses it mandatory that such records be brought under control as early as possible in their life cycle. Ideally this control should be exercised at the time a system is created, even before it has generated records. If this is done, disposition standards can be written on the medium as an integral part of the internal file label. Early identification of files of archival value ensures that they are stored under optimum conditions.
3. Due to the ease with which machine-readable records may be updated or revised and the media reused, their life cycle is briefer and more complex than that of other records. While the master file is most often of archival value, sometimes other versions should be retained because their informational content is more complete than related master files or especially relevant to DOE policy, decisions, or special reports.

## DOE RECORDS SCHEDULE 20

4. Because machine-readable records must be subjected to both mechanical and electronic processing and decoding to be converted to human-readable information, the records, revealing such processes (documentation) must be scheduled with the machine-readable records.

The qualities which separate machine-readable records from those on other media also make it difficult to produce a subject-oriented schedule for machine-readable records. Thus, this schedule categorizes records for disposition standards on the basis of the kinds of records or files that are common to most ADP systems. They are divided into three classes:

Documentation (Part I) covers those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are the descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. The disposition of documentation is linked to the disposition of the related machine-readable files.

Processing files (Part II) are those machine-readable files employed to create and use a master file. Processing files include work files, raw data input files, publication files, and security backup files. Processing files generally do not qualify for long term retention. Those for which disposal is not authorized may contain more complete information than the related master file or be especially relevant to DOE policy, decisions, or special reports and thus possess potential historical value. Application of the schedules for processing files will increase the availability of space on machine-readable media and reduce DOE expenditures for additional stock of magnetic media.

Master files (Part III) constitute the definitive state of a data file in a system at a given time. Such files are categorized in this schedule only partly on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the scope of the informational value of a file and may require submission of DOE Form AD-331, Records Retention and Disposal Authorization.

The decision table format is used for two reasons: (1) it reduces requirements for explanatory footnotes, and (2) assists the user in conceptualizing the many categories and subcategories of records involved.

## PART I - DOCUMENTATION

File function designation	Consisting of	Which are Then	
1 Date Systems	documents containing definitions of the system including functional requirements, system or subsystem specifications, requests for the system, and authorizing directives	for a disapproved proposed system	dispose of 1 year after final action.
2	For an approved system for which all related magnetic data files are authorized for disposal	For an approved system for which all related magnetic data files are authorized for disposal	dispose of one year after discontinuance of the system.
3	For an approved system for which any related magnetic data file is not authorized for disposal	retain with related data file	for a disapproved proposed system

## PART I - DOCUMENTATION

File function designation	Consisting of	Which are Then	
6 File specifications	definitions of the logical and physical characteristics of each record, element, or item of data in the file, including names and tags or labels; relative position, form, format and size of data elements (record layout); specifications of all codes used; cross reference code definitions; security and privacy restrictions; and validity characteristics; update and access conditions; recording medium and volume	for a system for which all related magnetic data files are authorized for disposal	dispose of with related data file.
7	For a system for which any related magnetic data file is not authorized for disposal	retain with related data file	for a disapproved proposed system
8 User guides	information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results	handbooks, guides to data availability, and procedures for querying files	retain with data system specifications.
9 Detailed specifications	detailed descriptions of products of the system that are to be used outside the computer center	statements of each type of output by little and by selected criteria, voltage and frequency, media, graphic displays, and symbolic, security and privacy conditions and disposition of output	dispose of when no longer needed.

File function designation	Consisting of	Which are	Then
1 Work	temporary machine-readable media used by console operators or tape handlers to facilitate general computer runs such as sorts and merges	new media, or media not included in a library control system, or files whose retention dates have expired	available for immediate use or reuse.
2 Test data	machine-readable media used in testing a system	routine or benchmark data sets constructed or used for the purpose of testing	dispose of when no longer needed
3 Initial data	machine-readable media containing data abstracted from source documents or other media and entered into the system for the first time per update cycle	used for updating and required to support reconstruction of master file	dispose of after third cycle. <sup>1</sup>
4		not required to support reconstruction of master file or used as input for a one-time study, survey or experiment	dispose of after raw data is satisfactorily processed into final or reduced data.
5		officially designated to replace or serve as the basic source data in lieu of the hard copy or other input source document	dispose of in accordance with instructions applicable to the hard

PART II - PROCESSING FILES

File function designation	Consisting of	Which are	Then
10 Reports	printed final reports containing the statistical tabulation and an analysis of the findings of a study or survey including a narrative description of methodology employed	for systems which require retention of related data	retain one copy with related file specifications.
11 Information retrieval routine	series of machine instructions designed to retrieve information from specific data systems	general purpose programs	dispose of when no longer needed.
12		special purpose programs for data files for which disposal is authorized	dispose of with related file.
13		special purpose programs for data files for which disposal is not authorized	retain with related data file.

PART I - DOCUMENTATION

File function designation	Consisting of	Which are	Then
9		retained by ADP operational elements as backup to magnetic media	dispose of when no longer needed.
10		converted to magnetic media	dispose of after verification of data on related magnetic media.
11	punched cards that contain original entry data with film or written inserts	source documents	dispose of in accordance with instructions applicable to the hard copy or other files documenting the same process, transaction, or case.
12 Intermediate data input, output	machine-readable media containing output within or from one run to a subsequent run that manipulates, sorts, or moves data through the system; includes checkpoint.	used in an updated system	dispose of after subsequent data files that contain detail data

PART II - PROCESSING FILES

File function designation	Consisting of	Which are	Then
5			copy of other files documenting the same process, transaction, or case.
6		not used as input to a master file or processed into analyzed or reduced data and not required to reconstruct a master file	submit DOE Form AD 331, Records Retention and Disposal Authorization.
7	machine-readable media files created by another agency	not a record of the receiving agency <sup>2</sup>	dispose of as reference material.
8	punched cards or paper tape created after 1-1-70, containing data abstracted from source documents and used for conversion to magnetic media or processing on electric accounting machine equipment	electric accounting machine output	dispose of in accordance with instructions applicable to the hard copy or other files documenting the same process.

PART II - PROCESSING FILES

File function designation	Consisting of	Which are	Then
17 Information retrieval system master reference	machine-readable media containing data created by the merging of prior master file with valid transaction data to create a new master file	a cumulative index to scientific and technical publications, and bibliographic and other non-record material	dispose of after third update cycle. <sup>1</sup>
18		an index to record material such as correspondence, legal hearings, patents, and trademarks, and record copy of publications	submit DOE Form AD 331, Records Retention and Disposal Authorization.
19		an "audit trail" of a file not disposable under this schedule	dispose of as provided for related master data file.
20 Publication	machine-readable media containing source output data extracted from the system (without destroying the source file)	reproduced and disseminated as a publication or used for producing a printed publication of less historical preservation value than the machine-readable media used to produce it	submit DOE Form AD 331, Records Retention and Disposal Authorization.

PART II - PROCESSING FILES

File function designation	Consisting of	Which are	Then
13	edit, correction, reject list, unmatched data eliminating error, and rerun files.	used in a one-time study or survey	have been created and proven satisfactory.
14 Valid transaction	machine-readable media containing items used with an input master file for creation of an output master file	updates of items liquidated from current status files	dispose of after third update cycle. <sup>1</sup>
15		valid transaction after cumulative final master file is prepared and determined to be successful, and there is no necessity for statistical analysis	dispose of after third update cycle. <sup>1</sup>
16		used in additional analysis	submit DOE Form AD 331, Records Retention and Disposal Authorization.

PART II - PROCESSING FILES

File function designation	Consisting of	Which are	Then
1 Housekeeping system master file	machine-readable media containing data for such "housekeeping systems" as fiscal accountability, supply management, and payroll administration	not required for GAO site audit	dispose of in accordance with instructions applicable to hard copy or other files documenting the same process, transaction, or case.
2		required for GAO site audit	dispose of in accordance with hard copy records retention requirements for records subject to GAO audit.
3 Federal loan and grant program master file	machine-readable media containing data created by the merging of prior master file with valid transaction data to create a new master file (initial data includes excerpts from forms placed in case files)	cumulative data of funds made available through federally supported loan and grant programs	dispose of after third update cycle. <sup>1</sup>
		noncumulative periodic files of status of Federal loan and grant activity	submit DOE Form AD 331, Records

PART III - MASTER FILES

File function designation	Consisting of	Which are	Then
21 Print	machine-readable media containing source output data extracted from the system (without destroying the source file)	used for producing required printouts of tabulations, ledgers, tables registers, and reports of an extremely specialized nature having less historical preservation value than the machine-readable media used in producing them	submit DOE Form AD 331, Records Retention and Disposal Authorization.
22 Security backup	machine-readable media that is identical in format to master file and retained as security in case master file is damaged or inadvertently erased	updated	dispose of after third update cycle.
23		a one-time study or survey	dispose of as provided for related master file.

PART II - PROCESSING FILES

FILE Function Designation	Containing file	Which are there
Y (MASTERFILE)		
38 (PLS4010)		
11 Summary file	Machine-readable media containing substantially similar data, or contain data in greater detail than published reports.	Dispose of as provided for related master data file. Retention and Disposal Authorities

PART III - MASTER FILES

FILE Function designation	Containing or consisting of	Which are there	When	DOE
4			Retention and Disposal Authorities	
5 Statistical Master File	Machine-readable media containing data created by averaging data from various sources. The average of each record is written to a new master file with valid transaction data to create a new master file.	Observations such as data collected by the averaging function, which includes data on other factors, such as survey data, and data on characteristics of natural resources.	Submit DDCI Form AD-311, Records Retention and Disposal Authorities	
6			Used to generate reports covering a limited period of time, requiring periodic surveys and census.	
7 (PLS4010)				
8 (PLS4010)				

PART I II - MASTER FILES

FILE Function designation	Containing or consisting of	Which are there	When	DOE
12 Redesigned file	Machine-readable media containing substantially similar data from the native data file but which is created for use with other computer hardware.	Disclose of specific application for DDCI computer hardware system.	Dispose of when determination is made that such format is unnecessary.	Submit DDCI Form AD-311, Records Retention and Disposal Authorities
13				
14 Samples, subsamples, and special studies	Machine-readable media containing data selected from a larger census or survey file.	Disclose free or useful to statistical analysis and simulation studies.		
15 Master data file	Machine-readable media containing data created by merging or transaction data to create a new master file.	Cumulative data on various DDCI projects, all functions.	(To be obtained)	
		Functional data on various DDCI projects, and functions.	(To be obtained)	

DOE RECORDS SCHEDULE 20

EXPLANATORY NOTES

1. "Dispose of after third update cycle" indicates that first generation data may be disposed of after the fourth successful update.
2. Records received from another agency become the records of the receiving agency under either of two conditions:
  - a. When the data is merged or reduced by the receiving agency, and no comparable copy exists in the originating agency; and
  - b. When the data is provided by the originating agency in a form designed to meet the needs of the receiving agency, and no comparable copy exists in the originating agency.

In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.

DOE RECORDS SCHEDULE 21

AUDIOVISUAL RECORDS

This schedule covers audiovisual and related records that have been created by or for DOE and those acquired by DOE in the course of business. Audio-visual records created prior to 1-1-46 must be offered to the National Archives before applying disposition instructions set forth in this schedule.

Audiovisual records include still pictures, motion pictures, sound recordings, video recordings, and related documentation used for, or necessary to, the proper identification and retrieval, or bearing on the origin, acquisition, use, and ownership of these records.

Audiovisual records that may have continuing legal, administrative, and research value are of two kinds: (1) those created, acquired, used, or distributed by DOE for informational purposes, and (2) those generated in conjunction with the transaction of DOE business or resulting from DOE program responsibilities. As such, they constitute evidence of the organization, functions, policy development, decisions, procedures, operations, or other activities of DOE. Additional descriptive information applicable to the disposition instructions for selected items are included in explanatory notes at the end of this schedule.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<b>STILL PICTURE FILES.</b> Still photographs, slide sets, filmstrips, posters, original artwork, and other pictorial records that:	
a.	Provide documentation of DOE's organization, functions, policies, procedures, and essential transactions; or contain information that is unique in substance, arrangement, or manner of presentation, and unavailable in another form; or document events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to National Archives when no longer needed for administrative use, or when 10 years old, whichever is later.
(1)	Still photographs.	
(a)	Black and white photography--the original negative and a captioned print.	
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with the approved disposition instruction applicable to the records of which they are a part.
c.	Are not permanent records as described under item 2a of this schedule.	Until no longer needed for administrative use.
d.	Are faulty or technically poor photography.	Destroy immediately.
3.	<b>SOUND RECORDINGS FILES.</b> Sound recordings on tapes or discs that:	

DOE RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	or color original plus separate optical soundtrack, an intermediate master positive or duplicate negative plus optical soundtrack, and a sound projection print.	
(2)	Films produced by or for DOE that are intended for internal staff use--the original negative or color plus sound and a projection print.	
(3)	Films acquired by DOE--two projection prints.	
(4)	Unedited outtakes and trims, the discards of film productions, which have been appropriately arranged, labeled, and described--the original negative or color original and a work print.	
(5)	Films resulting from a visual or electronics transfer of video recordings.	
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with the approved disposition instruction applicable to the records of which they are a part.
c.	Are not permanent records as described under item 2a of this schedule.	Until no longer needed for administrative use.
d.	Are faulty or technically poor photography.	Destroy immediately.
3.	<b>SOUND RECORDINGS FILES.</b> Sound recordings on tapes or discs that:	

DOE RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
(1)	Color photography--the original color transparency or color negative, a captioned print, and an internegative if one is available.	
(2)	Other still pictorial records--the original and a reference print of each.	
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
c.	Are not permanent records as described under item 1a of this schedule.	Until no longer needed for administrative use.
d.	Are faulty or technically poor photography.	Destroy immediately.
2.	<b>MOTION PICTURES FILES.</b> Motion picture titles, including negatives, masters, and prints of productions and unedited outtakes and trims that:	
a.	Provide documentation of DOE's organization, functions, policies, procedures, and essential transactions; or contain information that is unique in substance, arrangement, or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to National Archives when no longer needed for administrative use, or when 5 years old, whichever is later.
(1)	DOE-sponsored films intended for distribution--the original negative	

DOE RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
a.	Provide documentation of DOE's organization, functions, policies, procedures, and essential transactions; or contain information that is unique in substance, arrangement, or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to National Archives when no longer needed for administrative use, or when 5 years old, whichever is later.
(1)	Conventional mass-produced multiple copy disc recordings--the master tape, matrix or stamper, and one disc pressing.	
(2)	Magnetic audio tape recordings (reel-to-reel, cassette, or cartridge)--the original tape or the earliest generation of each recording and a "dubbing" if one exists.	
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with disposition instructions applicable to the records of which they are a part.
c.	Are not permanent records as described under item 3a of this schedule.	Until no longer needed for administrative use.
d.	Are faulty or technically poor recordings.	Dispose of immediately.
4.	<b>VIDEO RECORDINGS FILES.</b> Video recordings that:	
a.	Provide documentation of DOE's organization, functions, policies, procedures, and essential transactions;	Permanent. Offer to National Archives when no longer needed for

DOE RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	or contain information that is unique in substance, arrangement, or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art. Included are the original or earliest generation of the recording.	Administrative use, or when 5 years old, whichever is later.
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
c.	Have been transferred by visual or electronic process to motion picture film.	Dispose of after verifying the adequacy of the film copy.
d.	Are not permanent records as described under Item 4a of this schedule.	Until no longer needed for administrative use.
e.	Are faulty or technically poor recordings.	Dispose of immediately.
5.	<u>AUDIOVISUAL DOCUMENTATION FILES</u> . Finding aids and documentation files relating to audiovisual records, including:	
a.	Finding Aids consisting of any of the following: shelf lists, visual aid cards, data sheets, shot lists, continuities, review sheets, indexes, caption lists, catalogs, or other documentation in a textual, microform, or machine-readable form that is necessary or helpful for the proper identification, retrieval, and use of the audiovisual records described in ERS 21, Items 1, 2, 3 and 4.	Dispose of in accordance with instructions covering the related audiovisual records.

DOE RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Production files or similar files which include production contracts, scripts, transcripts, and other documentation bearing on the origin, acquisition, release, and ownership of the production.	Dispose of in accordance with instructions covering the related audiovisual records.

Explanatory Notes

Item 1a(1)

Included are photographs of significant DOE activities, personalities, procedures, programmatic responsibilities and developments which are made available to the public and those which are made and utilized in the course of DOE business but which are intended for internal staff use and not normally available to the public.

Item 1a(2)

Included are records that explain, instruct, advertise, or illustrate DOE programs and functions. A representative sampling of these records should be identified as permanent records and offered to the National Archives. Determinations as to the items to be selected as permanent records should be based upon the significance of their content and the uniqueness and quality of its presentation. Disposition of audio recordings that relate to filmstrips or slide sets should be in accord with instructions governing the associated filmstrip or slide set.

Item 1c

Included are still photographs that have limited administrative use or interest such as photographs whose subject matter is transitory in nature or is of purely local interest. Such photographs might depict athletic events, social gatherings, or other activities not directly related to DOE operations or responsibilities. Included also are photographs of low-level administrative staff functions and ceremonial activities showing award presentations and commendations.

Item 2a

Included are edited motion picture productions as well as unedited footage (outtakes and trims) that depict significant DOE activities, personalities,

DOE RECORDS SCHEDULE 21

procedures, programmatic responsibilities, and developments. This item includes motion films made for distribution and intended to inform, teach, or entertain, and films made and utilized in the course of DOE business for internal staff use and not necessarily available to the public. This item also includes television advertisements and announcements, commonly referred to as "TV spots," which describe, explain, or promote DOE programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity but in a slightly different arrangement; or they are of such a general nature that their informational and evidential value is inconsequential. Every TV spot produced by or for DOE is not a permanent record. A representative sampling of TV spots should be identified as permanent records and offered to the National Archives. Determinations as to which TV spots possess sufficient value to warrant selection as permanent records should be based upon the significance of their content and the quality of their presentation. Those spots not selected as permanent records by DOE are disposable in accordance with the disposition instructions for Item 4d. DOE originated video recordings and recordings acquired by DOE from non-Government sources that contain unique documentation of or for DOE programs and show their relationship to and impact on the public or present a historical account of some aspect of DOE's development.

Item 2c

Included are motion picture productions as well as unedited footage (outtakes and trims) that have limited administrative use or interest such as motion picture films whose subject matter is transitory in nature or is of purely local interest. Such motion picture films might depict athletic events, social gatherings, or other activities not directly related to DOE operations or responsibilities. Included also is motion picture footage of low-level administrative staff functions and ceremonial activities showing award presentations and commendations. This item also includes motion pictures that present standard, well-known, widely available technical instruction or managerial training programs which were acquired from Government agencies having established Government-wide training functions and responsibilities such as the Office of Personnel Management or the armed services.

Item 3a

Included are completed audio productions which are distributed on discs and intended to inform, teach, or entertain. Also included are "radio spotasters" of radio announcements which describe and explain significant DOE programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement. In such cases only a

DOE RECORDS SCHEDULE 21

basic information but in a slightly different arrangement. In such cases only a sampling of representative radio spots pertaining to a specific DOE activity or program need be considered permanent records. This item also includes sound recordings of significant speeches, conferences, committee meetings, and other recordings which may be made in the course of business but which are intended for internal staff use and not normally made available to the public. Those not selected as permanent records should be disposed of in accordance with the disposition instructions for Item 3c.

Item 3c

Included are sound recordings which have limited administrative use or interest such as recordings which were produced for and utilized in some other audio-visual production such as a motion picture or a slide show. Sound recordings whose subject matter is transitory or of a local interest nature are also included.

Item 4a

Included are video recordings which are distributed and intended to inform, teach, or entertain as well as video recordings of significant programmatic events, procedures, conferences, meetings, operations, and techniques, and other recordings made in the course of business but which are intended for internal staff use and not normally available to the public. This item also includes television advertisements and announcements, commonly referred to as "TV spots," which describe, explain, or promote DOE programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement or they are of such general nature that their informational and evidential value is inconsequential. Every TV spot produced by or for DOE should not be considered a permanent record. A representative sampling of TV spots should be identified as permanent records and offered to the National Archives. Determinations as to which TV spots possess sufficient value to warrant selection as permanent records should be based upon the significance of their content and the quality of their presentation. Those spots not selected as permanent records by DOE are disposable in accordance with the disposition instructions for Item 4d. DOE originated video recordings and recordings acquired by DOE from non-Government sources that contain unique documentation of or for DOE programs and show their relationship to and impact on the public or present a historical account of some aspect of DOE's development.

DOE 1324.2  
5-28-80

Attachment IV-I  
Page 245 (thru 256)

Item 4c

Instructions governing the disposition of motion picture films that contain material that was originally in a video recording format will be found in Item 2 of this schedule.

Item 4d

Included are video recordings which are purely transitory in nature and those which depict routine activities and functions having only marginal importance. Video recordings that present standard, well known, widely available technical instruction or managerial training programs, which were acquired from Government agencies having established Government-wide functions or responsibilities such as the Office of Personnel Management or the armed services, are included.

DOE RECORDS SCHEDULE 22

DESIGN AND CONSTRUCTION DRAWINGS AND RELATED RECORDS

This schedule provides guidelines for the disposition of design and construction drawings and related records that have been created or received by DOE in connection with official activities. Drawings refer to those graphic or engineering records that depict conceptual as well as precise-measured information essential for the planning, design, and construction of facilities such as buildings, structures, plants, utilities, and other public works projects, as well as miscellaneous engineering and fabrication projects such as machinery and equipment. Related records include engineering studies, design calculations, project performance documentation, indexes and finding aids, specifications, and three-dimensional models. Most design and construction records lose their usefulness after specific periods of time. Generally, drawings pertaining to the conceptual or preliminary design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings, which are used and finalized during the construction process have a continuing value during the life of the facility especially for repair and maintenance needs. The finalized ("as-built") construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is still used, maintained, or owned by the Federal Government.

After the design and construction files are no longer useful to DOE, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomic and unnecessary to retain a complete set of drawings and related records for each construction project sponsored by the Federal Government, it is necessary to make a selection of records for permanent preservation. This selection must take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. Criteria for the selection of the significant records are contained in the notes following the schedule. The selection of individual buildings or projects should be made by personnel with appropriate historical training, subject to the approval of National Archives and Records Service (NARS). Any records created prior to 1-1-21 must be offered to NARS before applying the disposition instructions in this schedule.

This schedule relates primarily to records on the design and construction of buildings. The principles established here can also be applied to other static structures and miscellaneous engineering projects.

DOE RECORDS SCHEDULE 22

Those records which are developed during the design process generally consist of:

**Initial Design Planning Records.** Drawings and sketches that are conceptual in nature, and architectural renderings, that show the basic design features of the project, including building perspectives, elevations, floor plans, and other general features; order-of-magnitude cost estimates and performance schedules; and may include three-dimensional models prepared for illustration or presentation purposes.

**Advanced Planning Records.** These cover the pre-Title I design activity documentation, including construction project data sheets or other types of project proposals, conceptual design studies and reports, conceptual safety and environmental impact analyses, cost estimates, performance schedules, methods of project performance, and the design criteria for the project; and development of the project management plan.

**Preliminary (Title I) Design Records.** Title I design studies, and reports summarizing the design results (including more refined definition of project requirements, cost estimates, performance schedules, methods of project performance, safety, and environmental impact analyses (reports); and final project management plan for construction).

**Final (Title II) Design Records.** Title II (final working) drawings, final construction specifications, performance schedules, methods of project performance, final safety and environmental impact analyses (reports); and final project management plan for construction.

**Other Engineering and Design Records.** Engineering studies and reports, design calculations, analyses, and other engineering data and information developed during project planning and design which documents the engineering and design decisions.

**Other Documents and Information.** Information, correspondence, and other records developed during the planning and design phases, essential to the performance of the processes but not essential for project record purposes following project completion.

Those records which pertain to or are developed during the construction process usually consist of:

DOE RECORDS SCHEDULE 22

**Final Working Drawings.** (Developed during Title II Design) Architectural and engineering drawings which consist of the master tracings and acceptable reproducibles. These drawings provide information about various aspects of the construction of the building or facility including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, heating, ventilating, and air-conditioning details, as well as site and landscaping plans. These are important records because they provide not only detailed instructions for the erection of the building, but also present a comprehensive and detailed picture of its design.

**Final Construction Specifications.** (Developed during Title II Design) Detailed requirements for the project which identify materials and workmanship requirements, and explain the materials and equipment items depicted on the related working drawings.

**Project Management Plans for Construction.** (Developed during project planning and design) Details of the project work breakdown structure; authorities and responsibilities of participants; performance diagrams; and technical, cost, and schedule control systems for the project.

**"As Built" Drawings.** Annotated copies of final working drawings or additional drawings which show changes in the construction from the original design.

**Shop Drawings.** Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be fabricated or assembled in their shops. These drawings which include plans for architectural features and interior design such as tile and marble work, special cabinet work, elevators, or heating, ventilating, and air-conditioning systems, not only provide instructions for assembling the products on the job site, but may also be necessary for future operation and maintenance.

**Repair and Alteration Drawings.** Original drawings which depict repairs and alterations to the building as it was originally constructed.

**Standard Drawings.** Final drawings for standard details and other documents created in their preparation.

**Reports and Other Documentation.** Progress reports, construction completion reports, equipment specifications, operating and maintenance instructions (manuals), warranty data, final inspection and acceptance reports, and other information documenting the construction process.

DOE RECORDS SCHEDULE 22

**Other Documentation and Information.** Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion (such as interim process reports and other interim project activity information).

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	<b>PROJECT PLANNING AND DESIGN FILES.</b>	
a.	<b>Initial Design Planning Records.</b>	Until project completion (see b., below, for exception); or upon project termination, whichever is earlier.
b.	Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	Permanent. Offer to NARS when file is inactive. (See first paragraph of introduction to this schedule.)
(1)	Project description, location, engineering or design costs and performance schedule.	
(2)	Architectural renderings and final architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).	
(3)	Special engineering or design reports, studies, and data (for projects of technological or architectural significance).	
(4)	Construction Completion Reports.	
(5)	Models.	

DOE RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
c.	Other Planning and Design Records, (Advanced planning, preliminary and final design, and engineering or design studies, calculations, analyses, and other engineering or design data documenting design decisions made.)	
(1)	Records of completed projects costing more than \$750,000, or which involve special equipment, systems, or processes.	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier. (See b., above, for exception.)
(2)	Records of completed projects costing \$750,000, or less, which do not involve special equipment, systems, or processes.	10 years after completion of project.
(3)	Records of terminated projects (projects not authorized for design, construction, or fabrication; or terminated prior to completion of any of these activities) costing more than \$750,000, or which involve special equipment, systems, or process projects.	10 years after project is terminated.
(4)	Records of terminated projects (projects not authorized for design, construction, or fabrication, or terminated prior to completion of any of these activities) costing \$750,000, or less, which do not involve special equipment, systems, or process projects.	5 years after project is terminated.

DOE RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
(1)	For unique or special-interest projects.	20 years, unless covered by exception in d., below.
(2)	For other projects.	Until dismantlement or disposal of the facility, equipment, or process; or when superseded or obsolete, whichever is earlier.
c.	Miscellaneous Construction Records. Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion.	Until project completion.
d.	Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	Permanent. Offer to NARS when file is inactive. (See first paragraph of introduction to this schedule.)
(1)	Project description, location, construction costs and performance schedules.	
(2)	"As-Built" architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).	
(3)	Photographs of completed project.	
(4)	Construction Completion Reports.	

DOE RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
(5)	Miscellaneous planning and design records, information, and correspondence essential to performance of the processes but not essential for project record purposes (such as interim progress reports, preliminary drawings and specifications, and other in-process documentation or information).	Until project completion or termination, whichever is earlier.
2. PROJECT CONSTRUCTION FILES.		
a.	Working drawings and construction specifications, "as-built" drawings, shop drawings, standard drawings, repair and alteration drawings, equipment specifications, operating and maintenance manuals, equipment warranty data, final inspection and acceptance reports, construction cost and schedule data, space assignment plans, and other essential information to document the construction process.	
(1)	For completed projects.	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier (see d., below, for exceptions).
(2)	For projects terminated prior to construction completion.	5 years after construction is terminated (see d., below for exceptions).
b.	Construction Completion Reports. Documented summary of the project, from design through construction completion.)	

DOE RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
3.	(RESERVED)	
4.	(RESERVED)	
5.	FINDING AIDS. Indexes and other finding aids to design and construction files.	Destroy in accordance with instructions covering the related design and construction records.
6.	QUALITY ASSURANCE RECORDS prepared, received and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems. (Reference for nuclear facilities: American National Standards Institute (ANSI) standard N45.2.9-1974.)	
a.	Records which would be of significant value in demonstrating capability for safe operation; in maintaining, reworking, repairing, replacing or modifying the item; in determining the cause of an accident or malfunction of the item; and those which provide baseline data for inservice inspection.	Until the item is removed from service.
b.	Records which verify that an activity was performed in accordance with the applicable requirements but need not be retained for the life of the plant or item.	
(1)	Records maintained in compliance with regulatory requirements.	Retain in accordance with current regulatory requirements, or for nuclear facilities, 6 years after plant or item is put into operation.

DOE RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
(2)	Records for nuclear facilities which are useful through first overhaul or reload.	2 years after plant or item is put into operation or after first overhaul or reload, whichever is later.
(3)	Records which are needed to process and support claims made under the warranty.	1 year after plant or item is put into operation or upon expiration of warranty, whichever is later.
(4)	Records which have no value after plant or item is put into operation.	Until day after plant or item is put into operation.

EXPLANATORY NOTES

Items 1a and 2a

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

Architectural Significance.

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

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

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

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

DOE RECORDS SCHEDULE 22

Historical Significance.

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

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

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

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

Technological Significance.

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

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variations. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard.

It should be noted that comprehensive site development plans or master plans are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see Schedule 17), while individual buildings and facilities within the system can be evaluated on the basis of this schedule.

DOE RECORDS SCHEDULE 23

EQUIPMENT CONTROL, MAINTENANCE,  
AND OPERATION RECORDS

Records described in this schedule are those generally maintained by property and plant management personnel fulfilling their responsibility for the management, control, accountability, maintenance, and operation of mobile or stationary equipment and personal property. Fixture-type equipment requiring use of design and construction drawings for repair and maintenance is covered by Facility Records (EIS 15). This schedule covers personal property, equipment, machinery, machine tools, vehicles, office equipment, and accessory and auxiliary items, and spare parts; exclusive of motor vehicles (EIS 10). Equipment records may complement or supplement procurement and supply records and accounting records.

Records may be segregated into groups by equipment kind, type, purpose, use, location, valuation, or other assigned category, e.g., plant, office, supplier-owned, personal-use, tool receipts, loaned property, borrowed property, and controlled-use equipment. Records may be either as brief or as detailed as is required to efficiently manage equipment consistent with its value, usage, or servicing requirements. In some instances, copies of a primary control record are used for additional secondary record or indexing purposes, e.g., a duplicate equipment inventory card is filed by name of accountable employee.

ITEM NO.	DESCRIPTION OF RECORD	RETENTION PERIOD
1.	<b>EQUIPMENT CONTROL RECORDS</b> are property accountability records which constitute an inventory of equipment, personal property, and spare parts.	
a.	<u>Inventory Lists.</u>	3 years from date of list.
b.	<u>Inventory Cards.</u> Includes history information documenting acquisition, assignment, or accountability; and final disposition.	3 years after a new control card is prepared, or 4 years after equipment or property is removed from control.
c.	<u>Adjustment of Inventory Authorizations.</u> Reports of survey and other papers used as evidence of authority to adjust inventory control card.	4 years after date of authorization or date of posting action.

DOE RECORDS SCHEDULE 23

ITEM NO.	DESCRIPTION OF RECORD	RETENTION PERIOD
d.	<b>Property Transfer Files</b> documenting accountability transfers of property and equipment.	
(1)	Copy in property accountability office.	2 years after date of posting inventory card.
(2)	Copy in offices transferring property.	1 year.
2.	<b>EQUIPMENT MAINTENANCE RECORDS, INCLUDING INSPECTION, SERVICING, AND REPAIR.</b>	
a.	Succinct ledger or card records reflecting maintenance and repair.	3 years after property is disposed of or removed from control.
b.	Inspection, service, maintenance, and repair records.	
(1)	Records reflecting unresolved monitored problems.	3 years after resolution of problems.
(2)	Records reflecting satisfactory inspection, service, maintenance, and repair; includes requests for service, repair orders, work orders showing dates of scheduled or completed maintenance or service, billings, and inspection reports.	3 years following close of fiscal year in which work is done.
3.	<b>OPERATION AND COST RECORDS.</b> Equipment ledgers and work sheets providing cost and expense data for equipment maintenance or operation, reflecting scheduled and actual hours of operation, hours idle, and repair hours.	3 years after date of last entry.

DOE RECORDS SCHEDULE 24

SPECIAL MATERIALS ACCOUNTABILITY RECORDS

DOE special materials accountability records pertain to documentation involved in the allocation and transfer of nuclear material. Transfer of special nuclear material, DOE-owned source material, and certain other DOE-owned material transferred within the United States or between the United States and foreign entities is controlled. Records included in this schedule cover material transfer, reporting, inspections, requests for material, allotments, and allocations.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	REQUEST FOR MATERIALS. Requests for special, source, and fissionable materials; files maintained by accountability stations to authorize and control the use of SS materials under the allotment system, and in accounting for transfers.	4 years.
2.	MATERIALS ALLOTMENT FILES. Source and special nuclear materials allotment files: Records documenting requests for annual allotments and special allotments of source and special nuclear materials, and actions taken by higher authority in concurring with or amending estimated requirements, and in establishing allotments.	
a.	Files of offices responsible for the establishment of source and special nuclear materials allotments, together with related correspondence.	5 years.
b.	Files of operations offices pertaining to each organization requesting source and special nuclear materials; and consolidated requests for allotments, together with related correspondence.	2 years.
3.	MATERIALS ALLOCATION FILES. Special research and reactor materials allocation files, consisting of records concerning	

DOE RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	estimated requirements of beryllium, zirconium, hafnium, heavy water, and graphite.	
a.	Files of offices with authority to make allocations, together with related correspondence.	3 years.
b.	Files of operations offices, consisting of estimates submitted by contractors projecting special material needs over a 3-year period.	2 years.
c.	Files of approved allocations in area offices which handle the supplying of special materials.	2 years.
4.	SAFEGUARDS CONTROL SURVEY FILES. SS material survey or appraisal files consisting of working papers generated in connection with nuclear materials management survey and appraisal activities, including copy of final report.	5 years.
5.	ACCOUNTABILITY REPORTS. Source and special nuclear materials balance and accountability reports files consisting of periodic reports and related documents compiled and submitted by contractors, lessees, and DOE field offices, and including the files of the staff division responsible for administration of the SS Material Accountability System.	
a.	Report files of the staff division administering the accountability system.	
(1)	June 30 and December 31 reports.	25 years.
(2)	All others.	5 years.

DOE RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	Report files of Materials Leasing Office, including related correspondence.	
(1)	June 30 and December 31 reports submitted by lessees.	25 years.
(2)	All others.	5 years.
c.	Report files of field offices including related correspondence.	4 years.
6.	REPORTS OF APPARENT LOSSES of source or nuclear material (losses as defined by directives issued in the 5630 series).	25 years.
a.	Cases which are of widespread public, governmental, or congressional interest, subject to review every 10 years to verify that report still represents an apparent loss.	Permanent.
b.	Others, subject to review every 10 years to ascertain that report still represents an apparent loss.	25 years.
7.	REPORTS OF SHIPPER-RECEIVER MEASUREMENT DIFFERENCES pertaining to transfers of SS material between installations under the same operations office and under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences.	
a.	Copies forwarded to staff office administering SS accountability system.	3 years.
b.	Copies filed in operations offices and in shipping and receiving installations.	2 years.

DOE RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
8.	SS TRANSFER JOURNALS maintained by accountability stations as a continuing control record of contractor's inventories, to which are posted receipts and shipments of SS materials.	3 years after date of last entry.
9.	SS MATERIAL TRANSFER FILES (inter and intraplant transfers), consisting of records utilized to account for transfers from one unit to another within production plants or facilities, or between such plants.	3 years.
10.	SS MATERIAL SHIPPING FORM FILES consisting of DOE Form DP-741 or equivalent, used in the transfer of source and special nuclear materials, or other material controlled by the SS materials accountability system.	3 fiscal years.

DOE RECORDS SCHEDULE 25

MEDICAL, HEALTH, AND SAFETY RECORDS

Records covered by this schedule include the following classes of records:  
(a) safety management; (b) medical and health research; (c) operational records for health units, fire units, and biological laboratories; (d) individual case files of employees exposed to hazardous or toxic substances, or radioactivity; and (e) records of DOE-controlled activities reflecting the protection provided to employees, the public, property, and the environment during the conduct of the activity.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<b>1. SAFETY MANAGEMENT RECORDS.</b>		
a.	Occurrence (as defined by the Assistant Secretary for Environment) investigation files.	
(1)	Report files maintained by the Division of Operational and Environmental Safety, Headquarters.	Permanent.
(a)	Files on occurrences which were of widespread public and congressional interest.	Permanent.
(b)	Files on all other occurrences.	80 years.
(2)	Files maintained by field organizations, including a copy of the report, related correspondence, technical data, statements of witnesses and employees, other relevant information and data.	15 years.
b.	Reports of inspections, appraisals, audits, studies, and pertinent correspondence maintained by organizational units responsible for safety of facility, covering unsafe conditions, hazards of criticality, fire hazards, fires, and explosions,	10 years.

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<b>2. HEALTH UNIT RECORDS.</b>		
a.	together with accident statistics, exclusive of individual accident reports.	
c.	Records of reports of routine safety inspections, including evidence of action taken.	1 year.
d.	Reports, statistics, and correspondence relative to traffic and property damage accidents, including records relative to summaries of industrial personal injury accidents, exclusive of cases involving personal injury.	10 years.
e.	Reserved.	
f.	Prescriptions for safety glasses.	6 months.
g.	Individual Employee Health Case File. Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit, EXCLUDING records of exposure to toxic substances, toxic chemicals, and to unique occupational hazards of the atomic energy program (Item 7, this schedule). Also excludes preemployment physical examinations and disability retirement and fitness for duty examinations which are filed in the Official Personnel Folder (OPF) upon separation of employee (Ref: FPMR 293-31). Those records not required for filing in the OPF, if not retained by the agency, may be transferred to the	12 years after last entry.

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
e.	Ambulance service reports.	3 years.
f.	Fire alarm system tests, radio communications logs, reports on inside and outside fire drills, daily force reports, and building inspections.	1 year.
g.	Auxiliary brigade attendance and training records.	1 year.
h.	Fire truck records and controlled burning records.	1 year.
4.	<b>MEDICAL OR HEALTH RESEARCH PROJECT CASE FILES</b> reflecting the history of the research project from initiation to completion, including research, development, design, and test results. Included are records such as: project proposal; review memoranda and comments; project authorizations and directives; copies of unpublished manuscripts, journal articles and conference papers; progress reports; correspondence influencing the direction of the project; and lists of publications and films resulting from the project. Also included are the records of any subsequent studies resulting from the research.	Permanent.
5.	<b>RECORDS OF PERSONNEL EXPOSED TO HAZARDOUS CONCENTRATIONS OF TOXIC CHEMICALS AND OTHER MATERIALS.</b> Records prepared in the normal course of business establishing exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides, and individual employee files.	
a.	Standards, operating guides, and procedures, including revisions and background records which establish operating practices.	Permanent.

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	local Federal Records Center. Under no circumstances should these files be sent to the National Personnel Records Center (NPRC).	
b.	Individual Health Record Files. Cards which contain such information as date of employee's visit, diagnosis and treatment.	6 years after date of last entry.
c.	Health Unit Control Files. Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units. (1) If information is summarized on statistical reports. (2) If information is not summarized.	3 months after last entry. 2 years after last entry.
3.	<b>FIRE UNIT RECORDS.</b>	
a.	Alarm, investigation, and incident reports relating to various types of fire alarms and investigations of fires; including source data concerning fires in which fatalities may result or when arson is suspected.	10 years.
b.	Fire extinguisher history records and fire hose records.	1 year after removal of equipment from service.
c.	Fire extinguisher inspection records showing description of extinguishers, recharging data, and names of inspectors.	1 year.
d.	Fire station operating logs.	6 years.

Attachment IV-1  
Page 294

DOE 1324.2  
5-28-80

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Operating plans for specific jobs within the scope of the above-established operating practices.	1 year.
c.	Records and investigations establishing the extent of employee exposure to toxic chemicals and materials. These records should be filed in the Health Physics personnel folder (item 7 below), wherever possible.	75 years.
d.	Industrial Hygiene logsheets recording surveys for industrial hazards other than radiation and contamination.	
(1)	Surveys indicating no industrial hazard.	75 years.
(2)	Surveys indicating a potential industrial hazard.	Until related facility is dismantled.
6.	<b>RADIATION-CONTAMINATION CONTROL PROGRAM</b> <u>RECORDS</u> providing an accurate, quantitative description of the exposure of personnel to external radiation and internally deposited radionuclides, including development of appropriate regulations and procedures used as a basis for the radiation-contamination control program. Excludes individual employee files.	
a.	Personnel Exposure Dose Record, indicating radiation exposure dose to the individual due to alpha, beta, gamma, and neutron radiation as determined by personnel radiation monitors or by estimates based on other radiation dose instruments.	75 years.
(1)	Results of equipment calibration establishing the authenticity of the above dose results.	75 years.

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
(2)	Automatic data processing system programs, codes, instruction tapes, and discs if used for retrieval of item a above.	75 years.
(3)	Worksheets, requests for analysis, chart records recording information which must be interpreted or further modified before use, automatic data processing system input records, other information used in interim calculations or to verify that recorded data is correct (for example: checksheets, film badges, and statistical summaries duplicating the above exposure data).	Until exposure record above has been verified and approved, or 1 year, whichever is earlier.
b.	<u>Technical Standards, Operating Guides, Laboratory Operating, and Radiation-Contamination Control Procedures</u> describing the technical and administrative basis for the radiation-contamination protection program.	
(1)	Historical file of standards, guides, and procedures, including revisions, and background records defining philosophy in development, methods of evaluation, and code and scope of radiation-contamination protection efforts.	Permanent.
(2)	Detail plans for specific jobs performed within the scope of the above procedures and similar records relating to routine daily operations.	1 year.
c.	Logbooks (chronological history) which provide a concise summary of shift and daily activities, including unusual	75 years.

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	Incidents, radiation and contamination problems, release of radionuclides to work areas or public zones, interpretation of unusual chart recordings, and similar items.	
d.	<u>Routine Radiation and Contamination Surveys</u> and air sample logs, including resulting laboratory analyses and equipment calibrations, indicating no unusual health or safety problems.	75 years.
e.	<u>Recorder Chart Records</u> of radiation and contamination detected by air activity monitors (gaseous and particulate) and ionization chambers.	Until purpose is served, or 3 months, whichever is earlier.
f.	<u>Reports and Engineering Studies</u> of unusual radiation or contamination problems.	100 years.
7.	<b>INDIVIDUAL EMPLOYEE HEALTH HAZARD CASE FILE</b> . Individual employee toxic chemical or material exposure history file, including radiation exposure (both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results; and shall include:	75 years.
a.	Records of skin and nasal contamination incidents, including decontamination details.	
b.	Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used.	
	<u>DOE RECORDS SCHEDULE 25</u>	
<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
c.	Results of direct measurement of radiation from the chest, specific organs, or whole body.	
d.	Investigations of the following types:	
(1)	Assimilations of radioactive materials in excess of standards and control guides;	
(2)	Missing or unusual personnel radiation exposure data;	
(3)	Radiation exposures exceeding quarterly to yearly exposure guides and standards.	
e.	Records of bioassay data.	
(1)	Positive laboratory results on bioassay samples (urine, feces, blood) used to determine internal assimilation of a radionuclide by an individual.	
(2)	Laboratory results indicating no assimilation of radioactive materials.	
B.	(RESERVED)	
9.	<b>ENVIRONMENTAL CONTAMINATION MEASUREMENT RECORDS</b> indicating presence and amount of contaminating materials (including radioactive materials) in samples of air, water, earth, biological (animal and vegetation) and special materials from onsite and offsite locations.	
a.	Procedures which detail the methods used and frequency of analysis of environmental samples. Includes	

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	records or correspondence which give the philosophy and scope of sampling, provide interpretations of results, and detail the plans for sampling and analysis of environmental samples.	
(1) General procedures.	Permanent.	
(2) Specific procedures.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.	
b. Analytical Summaries of results of analyses. Including results on standards or other calibrations used to establish the validity of analytical results.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.	
c. Logbooks containing pertinent sampling or analytical calculations, observations, and interpretations of results.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.	
d. Worksheets, recorder charts, laboratory analysis requests, radioautograph film, dosimeter data, and other interim records or devices used in determining the basic data from which results in item b., above, are obtained.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.	
e. Notebooks of laboratory technicians and field inspectors concerned with earth sciences.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.	

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
c. Machine-Readable Data taken from worksheets (see n. below) pertaining to radiological analysis or beta analysis of animal or aquatic life, used for organization of data for entry in biology notebooks.	Until entered in biology notebook.	
d. Necropsy Protocols recording data collected during autopsies performed on animals, including pathologic diagnosis of various organs and glands. Provides source data for animal case histories (see e. below) and is pertinent to the evaluation of experimental results.	15 years, or 3 years after completion of study, whichever is later.	
e. Animal Case Histories recording such facts as: data from lambing records, treatment records, genealogical records, gestation periods, lambing dates, numbers, sex, weight, important in the evaluation of experimental results and as a source of entries to biology notebooks.	20 years, or 3 years after completion of study, whichever is later.	
f. Thyroid Count Records consisting of tabulating cards listing data taken from animal thyroid count worksheets (see n. below). Records provide source of data entered in biology notebooks.	15 years.	
g. Radio Analysis Sample Data describing collected samples, counted samples, and listing the beta count, decay factor, analysis factor, and remarks. This record is useful to accumulate data for transferring to keypunch cards, and is useful during retention period for checking errors on such cards (related to e. above).	2 years.	

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
f. Data gathered to measure residual contamination of soil and ground water with long-lived radioactive or toxic substances at or near DOE sites.	Permanent.	
g. Environmental Monitoring Reports and topical reports defining the extent and levels of radioactive contamination in soil or real estate.	Permanent.	
10. (RESERVED)		
11. BIOMEDICAL LABORATORY RECORDS documenting programs under which data concerning the effect of radiation on animal and aquatic life are accumulated, evaluated, and reported.		
a. Researcher's Biology Notebooks containing all notes pertinent to laboratory experiments, including observations and calculations, and all other data pertinent to the experiment, including discussions by the researcher and conclusions.	Permanent.	
(1) Research notebooks deemed by the DOE, contractor, and the National Archives to have exceptional value because of the highly significant nature of the research involved or uniqueness of the research.	Permanent.	
(2) All other notebooks.	15 years.	
b. Periodic Reports relating to activity and progress prepared weekly, monthly, and annually from data recorded in biology notebooks described in (a.), above.	6 years.	

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
h. Aquatic Biology Data Analysis showing type of sample, location or source, counting information, laboratory correction factors, and related data (related to e. above).	2 years.	
i. Decay Curve Data Sheets used to identify and verify characteristics of radioactive samples tested under laboratory conditions.	2 years.	
j. Absorption Curve Data Sheets listing sample number, sample designation, date sampled and related facts, observed laboratory reactions, and corrected entries.	2 years.	
k. Daily Counter Background Reports, listing counting instruments and summarizing all the background data recorded on radiation counters on a daily basis. Reports are transcribed to results of all requests for analysis, such as items g. and h. above.	2 years.	
l. Analytical Requests describing samples for which laboratory analysis is desired, including results of the analysis, and related facts pertinent to special or to alpha-beta-tritium counting requests. Information from this record is abstracted to biology notebooks (a. above) for correlation and evaluation.	2 years.	
m. Photomicrographic Requests and requests for related photographic work, including instruction and justification.	2 years.	

DOE RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
n.	Laboratory Worksheets, recording data pertaining to animal birth records, animal weight, animal treatment, habit patterns, thyroid counts, and related data compiled in animal case histories and useful in evaluation of experimental results.	5 years.
o.	Animal Tissue Preparation Request listing tissues to be prepared, fix to be used in laboratory, thickness of section, stain to be used, special instructions, and schedule of completion.	2 years.
p.	Radiation Counter Control Data used to maintain correct operating conditions for radiation detection instruments.	1 year.
q.	Radiation Counter Plateaus listing equipment number, tube number, date, time, mica window thickness, voltage, lights and total counts; used to determine and list the operating condition of radiation counters.	1 year.
r.	Source Data Card Files used to check accuracy of radiation counters against the known calibration standards published by the U.S. Bureau of Standards.	1 year.
12.	PERSONAL INJURY FILES. Forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries, whether or not a claim for compensation was made, EXCLUDING copies filed in the Official Personnel Folder and copies submitted to the Department of Labor.	5 years.

DOE RECORDS SCHEDULE 26

LEGAL RECORDS

Legal records include the files created in the provision of legal services to the department. Legal services protect the legal and financial rights of the Government, the Department of Energy, and persons directly affected by the Department's activities. The records retention standards in this schedule include Patent records, Litigation files, and True Copy Certifications.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS.</u>	<u>RETENTION PERIOD</u>
1.	<u>INVENTION DOCKETS</u> containing copy of invention disclosure and pertinent correspondence.	
a.	Active cases under investigation.	Retain.
b.	Inactive cases, abandoned applications, and closed items.	30 years.
2.	<u>U.S. PATENT APPLICATION</u> case files containing record of invention disclosure, record of invention, draft of patent application with inventor's notes, copy of patent application as filed in Patent Office, pertinent correspondence, amendments, reports, and references as follows.	
a.	Authorized and under prosecution, including suspension under secrecy order.	Retain.
b.	Issued patents (domestic and foreign).	25 years.
3.	<u>PATENT CONTRACTS</u> subcontracts, and purchase orders containing miscellaneous correspondence and related papers pertaining to negotiation of contract patent provisions, inventions or discoveries concealed under contracts; reports and papers reviewed for patent clearance, and patent clearance of terminated contracts.	

DOE RECORDS SCHEDULE 26

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS.</u>	<u>RETENTION PERIOD</u>
8.	<u>INVENTIONS INVOLVING CONTRACTS(NUCLEAR MATERIAL OR ATOMIC ENERGY) OR AXONIC WEAPONS--CASE FILES</u> containing correspondence with contractors regarding U.S. patent applications referred for review under sections 151 and 152 of the Atomic Energy Act.	
a.	151 "C" Reports and Applications:	
(1)	Headquarters.	25 years after date of last action.
(2)	Field Offices.	10 years.
b.	152 Applications:	
(1)	Headquarters	6 years after patent expires.
(2)	Field Offices.	10 years after referral from HQ.
9.	<u>LITIGATION FILES</u> reflecting all aspects of DOE or contractor litigation proceedings and documenting the General Counsel actions taken in protecting the interest of DOE and the Federal Government. Records consist of general reports, investigation reports, analyses, recommendations, and copies of contractual records.	
a.	Significant case files determined by DOE to have had a significant effect on a statute, regulation, or rule.	Permanent.
b.	Intense public interest cases--determined by DOE to have attracted the interest of a	Permanent.

DOE RECORDS SCHEDULE 26

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS.</u>	<u>RETENTION PERIOD</u>
a.	In negotiation.	Retain.
b.	Active.	Retain.
c.	Cleared (purchase orders, prime and subcontracts).	10 years.
4.	<u>PATENT LICENSING RECORDS</u> containing license agreements and assignments in U.S. patents and pertinent correspondence regarding execution of license agreements and royalty payments.	25 years after issuance of patent.
5.	<u>EMPLOYEE PATENT AGREEMENT FORMS</u> (DOE Form GC 203) "Agreement Covering Discoveries, Inventions, and Improvements," signed by all employees at time of employment.	56 years.
6.	<u>DOCKET FILES (PATENTS)</u> containing findings, determinations, and statements of reason, decisions, backup material, and correspondence with the Patent Compensation Board, U.S. Court of Appeals, and U.S. Court of Claims.	
a.	Headquarters.	25 years.
b.	Field Offices.	10 years.
7.	<u>PATENT INFRINGEMENT FILES</u> containing copies of patents which have been or possibly might be infringed; pertinent correspondence regarding use of patented process, device, or material; copies of purchase orders and other backup material; Court of Claims petitions and actions.	
a.	DOE Headquarters.	30 years.
b.	Field Offices and contractors.	5 years after final action.

DOE RECORDS SCHEDULE 26

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS.</u>	<u>RETENTION PERIOD</u>
	Congressional Committee, the Executive Office of the President, or national media.	
c.	Cases reviewed by the Supreme Court.	Permanent.
d.	Cases involving personal injuries alleged to have been caused by radiation.	75 years.
e.	Other cases.	10 years after case is closed.
10.	<u>INVENTION DISCLOSURE LOGS AND LEDGERS</u> showing invention disclosures reported, date, disposition, and U.S. Patent Office actions.	10 years after last entry.
11.	<u>TRUE COPY CERTIFICATIONS</u> certifying or evidencing true copy nature of material submitted for publication in the Federal Register or elsewhere, including copy of material to be published, evidence of certification of true copy, letter of transmittal, and related correspondence and documents.	1 year.

DME RECORDS SCHEDULES

SUBJECT INDEX

	<u>Schedule*</u>	<u>Item*</u>
Access permits for restricted data	18	7
Account ledgers and cards	8	6
Accountability records, SS materials	24	
Accountable officers' accounts	6	1
Accounts current	6	1b
Accounts payable index	6	1a
Accounts receivable files	6	1a
Accounts receivable invoices	6	1b
Administrative, cost and final reports on construction projects	16;8	8;7
Administrative management	16	
Alien visit files	18	7,24
Allocation files, SS materials	24	3
Allotments	7	3
Allotments, payroll	2	4
Assumption stock reports	23	1a
Announcements	16	1c
Applicant availability files	1	15
Applicant evaluation files	1	15
Application Patents	26	2
Applications for employment	1	15
Appropriation reports	5	1
Appropriation warrants	6	4
Arrest case files	18	15
Arrival and departure files, travel	9	5
Audit reports and files	6	2
Automatic data processing	20	
Awards, employee		
Employee	1	12
Fermi-Lawrence	16	14
Badge or pass records	11	4
Bids	3	6
Billings covering contractor expenditures	6	1
Bills of lading	9	1
Bills of material, construction	9	1

\*Item(s) in the item column preceding the first semicolon are found in the schedule preceding the first semicolon in the schedule column. The same relationship applies to additional semicolons.

	<u>Schedule</u>	<u>Item</u>
Contracts	3;4	1,4;8
Control forms, classified mail	18	3,6b
Controlled material	3	19
Correspondence files	16	5
Cost reports ledger and data	8	8
Cost schedules	8	7
Courier receipts	18	3
Cover sheets, Top Secret	18	6b
Cryptographic records	12	9
Data automation records	20	
Documentation	20	Part I
Master files	20	Part II
Processing files	20	
Declassification	18	5,6
Declassification files, patent	18	5,6
Deductions, payroll	2	4
Delegations of authority	1;16	32;1
Demurrage	9	1
Design data	22	
Destruction certificates, classified documents	18	4
Destruction certificates of Top Secret documents	18	6
Directives, management	16	1
Disbursement of funds, schedules of contractors	6	1b
Discription complaints	1	26
Dispensary logs or registers	25	2c
Dispensary treatment record cards	25	2d
Disposal of property	4	5,6
Drawings		
Construction	4,22	
Nuclear weapons	26	
Research and Development	22	
Drivers' license and testing	10	7
Drugs and narcotics files	23	1
Electronic data processing (EDP)	20	
Elevator inspection reports	23	2
Emergency supply records	3	14
Employee financial statement	1	25
Employee health statistical summaries and reports	25	2c
Employee interviews	1	8

	<u>Schedule</u>	<u>Item</u>
Biological records	25	11
Bonds and warranties	3	4d
Bonds, performance	3	1,4
Bonds, savings	2	5,6,7
Bonds, surety	6	6
Budget files	5	
Budget office activity reports	16	8
Budget office correspondence	16	5
Building lists	15	1
Building maintenance	11	5
Calibration records	25	6(a)(1)
Cash receipts and disbursement journal files	7	4
Certificates of availability	1	15
Certificates of settlement	6	3
Change slips, payroll	2	15
Claims files, contractor employee	6	11
Claims files, workmen's compensation and public liability	6	11
Classification program management files	16	1
Classification or declassification case files	16	1
Classified document control and accountability records	18	3-8
Classified document receipts	18	3,6a
Clearance files, facility	18	10,11
Committees	16	12
Communications	12	
Communications unit administrative operations files	16	5
COMSEC records	12	9
Conferences, periodic, papers pertaining to consolidations of Top Secret documents, notices of	16	12
Construction, engineering and design	22	
Contamination measurement records	25	9
Contraband receipts	16	5
Contractor employee claims files	2	
Contractor payrolls, construction	3	12
Contractor wage policy file	2;16	24;5c

	<u>Schedule</u>	<u>Item</u>
Employee medical history	25	2a,5,7
Employee record cards	1	2
Employee suggestion case file	1	12,13
Engineering and design	4,22	
Environmental contamination measurement records	25	9
Equal employment opportunity	1	26
Equipment utilization and history	23	
Examination files, reactor operator	1	32c
Excess property	4	3,5
Expenditure accounting	7	
Exposure records		
Hazardous materials	25	5,7
Radioactive materials	25	6,7
Facility clearance files	18	10,11
Facility operations files	15	3
Federal register certifications	26	11
Field test records (nuclear weapons)	19	15
Film badges	25	6(a)(3)
Film negatives		
Environmental contamination measurement	25	9d
Experiment and test	19;21	16;1,2
Personnel radiation exposure	25	6
Financial plans	5	2
Fire drills	25	3f
Fire records	25	3
Firearms qualification record	1	32
First aid treatment	25	2b
Form standardization and control	16	4
Freight bills	9	1
Freight records, losses, miscellaneous	9	2
Freight transportation payment records	9	1
GAD-DOE activities reports	6	2c
Garnishment and levy records	2	23
General Accounting Office exceptions	6	2a
General ledgers	7	2
General subject files	16	5
Grants	3	1,4,14-18
Guard force	18	14
Guard orders	18	14b

	<u>Schedule</u>	<u>Item</u>
Hazardous material,		
Exposure to	25	5,6,7
Shipping (radioactive and fissile)	9	6
Health records	25	2
Highway operation and maintenance files	22	
Household effects, shipment of	9	1
Housing, lease	15	1b
Income tax	2	16b
Individual earning and service card	2	1
Information services records	14	
Inspection reports, construction	22	
Inspection reports, safety and fire protection	25	1
Insurance certificates	6	6
Insurance deductions, reports of	2	22
Insurance policy files	6	6,10
Insured mail	12	5
Interagency agreements	3	4
Invention dockets	14	1
Inventory	3	10
Inventory of major equipment	23	1
Inventory of patrol supplies and equipment	23	1
Inventories of classified documents	18	5
Invoices, stores accounting	8	3
Laboratory biological records	25	11
Laboratory notebooks	19	6
Lease files, housing	15	1c
Leases	3;15	4;1c
Leave records	2	9,10
Ledgers, general	7	2
Ledgers, cost report	8	8
Levy and garnishment records	2	23
Licensing (now certification) of reactor operators enforcement files	1	32c
Lock and key control files	18	17
Machine readable records (EDP)	20	
Mail	12	5,6
Mail, followup	12	6
Mailing lists	13	5
Maintenance service, buildings and equipment	11;15;23	5;2;2

	<u>Schedule</u>	<u>Item</u>
Packing lists	3	4c
Particle acceleration	19	15
Passenger transportation	9	3,4
Passes, property or material removal	18	13
Patent files	26	
Patent agreements	26	4,5,6
Patent applications	26	2
Patent clearances	26	3
Patent dockets	26	6
Patent infringement	26	7
Patent ledgers and logs	26	10
Patrol force	18	14b
Patrol officers' reports of inspection	18	20b
Patrol supplies and equipment, receipts for and inventories of	23	1
Payroll administration correspondence	16	5
Payroll allotments	2	4
Payroll change slips	2	15
Payroll certification sheets	2	13
Payroll, construction contractor	3	12
Payroll, control registers	2	14
Payroll deductions	22	4,21c,22
Payroll files, individual	22	4
Payroll fiscal schedules	22	16
Payroll, memorandum copies	2	13
Payroll, overtime authorizations	16	5
Payroll, pension plan records	6	10
Payroll, reports	16	8c(1)(b)
Penalty mail reports	12	7
Pension plan records	6	10
Personnel	1	
Personnel actions, notifications of	1;2	14;11
Personnel ceilings authorizations (budget)	2	12
Personnel correspondence	1	3,17a,17c,18a
Personnel folders, health physics	25	7
Personnel folders, official	1	1,10
Personnel management correspondence	1;2	14;11
Personnel radiation exposure records	25	6
Personnel statistical reports	16	8
Photographs (See also Audiovisual RS 21)		
Construction progress	4;22	7
Badge or pass	11	4

	<u>Schedule</u>	<u>Item</u>
Management directives	16	1
Management improvement reports	16	8f
Management projects	16	2,7,10
Maps, drawings, and specifications	17;22	
Measurement records environmental contamination	25	9
Medical records	25	2
research project	25	4
Messenger service	12	6
Mobile equipment operation and maintenance	23	2,3
Mobilization and manpower	18	28-31
Motion picture film		
Field tests, weapon	19	16
Experiment and test	21	2
Motor pool trip tickets	10	2a
Motor vehicle operation and maintenance	10	2
Motor vehicle Operators, testing training and licensing of	10	7
Marijuana and drug files	3	10
Nuclear material		
Contracts, revenue production	4	8
Lease agreements	4	10
Losses	24	6
Shipping packaging records	9	6
Transfers without charge	4	9
Occurrence investigation files	25	1
Office machines	23	1,2
Official personnel folders	1	1
Operations, plant test records	18	31
Organization and functional charts	16	13a
Organization studies and surveys	16	13b
Organization and management office and administrative operation files	16	5
Overtime authorization files	16	5d

	<u>Schedule</u>	<u>Item</u>
Informational releases	14	1
Master plan	17	1,2,16
Res. & dev. background data	19	5
Res. & dev. product	19;22	8; :
Plans, design	22	
Policy issuances	16	1
Position descriptions, position record cards and position identification strips	1	11
Postage	12	6
Postal records	12	5
Posting and control media, ledger	7	4
Power records	15	3b
Press releases	14	1,6
Preemployment reference checks	1	10
Printing, binding, duplication	13	3,6
Priorities	3	19
Procurement	3	
Procurement approval files	3	4
Procurement case files	3	1,4
Progress reports, construction	3	
Project control files	22	
Projects, management	16	7
Property disposal and transfer	4	2,10
Property, loan or rental of	23	6,7
Property management	23	1,2
Property procurement	3	4
Proposals for research projects		
solicited	3	4
unsolicited	19	12
Publications and releases, informational	14	1
Purchase orders	3	1,4
Quota files, SS materials	28	2
Quality assurance	22	6
Radiation exposure records, personnel	25	6
Radio	12	3
Radioactive contamination records	25	9
Radioactive material shipping packaging records	9	6
Radioactive measurement records	25	9
Railroad operation and maintenance files	22	
Raw test data	19	5,16
Real property	4	2,3,7

	<u>Schedule</u>	<u>Item</u>
Receipts, classified material	18	3,6
Receipts for bonds and checks	2	6
Receipts for contraband articles confiscated	18	13
Receipts for patrol supplies and equipment	23	1
Receiving logs, stores	3	4
Records management and disposition	16	3,11
Reduced test data	19	16b
Registered mail	12	5
Registers of persons visiting exclusion areas	18	18
Registers of visitors to areas, installations and communities	18	18
Registers of visits to dispensaries	25	2c
Reports (activity, feeder, status, trip, meeting, appraisal)	16	8,12
Reports control	16	8a
Requests for technical reports	18	3
Request for visit approval	18	18
Requirements	3	5,19
Research and development		
Drawings, specifications	19;22;26	8; ; ;
Experiment files	19	5
Notebooks	19	6
Photographs	19;21;22;26	5;1,2; ; ;
Program files	19	1
Project case files	19	3
Reports	19	7
Backup papers	19	5
Test files	19	5
Retention registers	1	17b
Retirement	2	21
Returns on income tax withheld	2	16b
Rewards for superior accomplishment	1	12
Safety glasses, prescriptions for	25	1h
Safety records	21	1
Schedules, disbursement	6	1
Schedules of valuables shipped	9	2
Scientific and technical reports	19	7
Security	18	
Security personnel clearance case files	18	23
Security office administrative operations files	16	5

	<u>Schedule</u>	<u>Item</u>
Time and attendance reports	2	3
Title papers, real property	3	2
Tool receipt files	23	1
Top Secret cover sheet	18	6
Top Secret destruction certificates	18	6
Top Secret document consolidations, notices of	18	6
Top Secret document inventories	18	6
Top Secret document receipts	18	6
Traffic accidents	18	15
Traffic records	18	18
Traffic violation files	18	15
Training course records	1	30
Transfer advices to contractors	6	1
Transportation	9	
Transportation request register	9	
Travel	9	
Travel arrival and departure files	9	5
Travel, miscellaneous	9	5
Travel vouchers	9	4
Trip reports and log of courier escorted shipments	18	3
Trip tickets	10	2,4
Uncollectable accounts	6	1a
Utility records	15	3
Visit		
Approval requests of Aliens	18	18
Registration cards	18	18
Voucher preparation correspondence	16	5
Vouchers	6	1
Vouchers, travel	9	4
Wage policy files	16	5c
Wage survey files	2	24
Marranties	3	4d
Weapon data reports	19	7
Withdrawal authorization cards for stock items	1	32
Withholding tax exemption certificates	2	18a
Workers' compensation claims	25	12
X-ray films	25	7

	<u>Schedule</u>	<u>Item</u>
Service record card	1	2
Settlement certificates	6	3
SF transfer records, also SS	24	8,9,10
Shipment	9	1
Shipping documents	9	1
Shuttle trip reports	10	4
Site audit records	6	14
Source and fissionable materials	24	9,2
Space	11	2,3
Special delivery	12	5
Special materials accountability records	24	
Specifications, construction	22	
Speeches, official	14	1
Statement of employment and financial interests	1	25
Stock cards	3	10
Stores accounting	8	4
Stores receiving files	3	4
Stores receiving logs	3	4
Stores stock request	3	9
Subject files	16	5
Supply management files (stores receiving files, stores control ledger, etc.)	3	4,5
Supply requisition files (supply requirements reports, withdrawal of supplies, requisition, etc.)	3	9
Surplus property	4	6
Surplus property shipping documents	9	1
Survey files, SS materials	24	4
Surveys and studies of organizational units	16	13b
Surveys of construction progress	22	
Symposiums	16	12
System documentation (EDP)	20	
Tapes, teletypewriter and telescriber	12	5b
Tax exception, withholding	2	18
Tax withheld reports	2	18c
Telephone	12	2,4
Telephone toll slips	6	8
Teletype	12	2,3
Termination, employee clearance and termination notice	1	17
Test papers, employee	1	32

CHAPTER V

RETENTION OF CONTRACTOR RECORDS

1. **CONTRACTOR RECORDS SCHEDULES (CRS).** Twenty-six contractor records schedules and an index are issued as attachment 1 to this chapter. The schedules contain records retention standards that specify the retention, disposition, or destruction of operating and onsite service contractor records. The standards apply to all records created, collected, or maintained using government funds unless by contract provision the government does not have the right to assume custody or control of the records. Before applying the standards, however, compliance also is necessary with the requirements and procedures in chapter III. See in particular page III-2, paragraph 5, Restrictions Affecting the Disposal of Records.
2. **AUTHORIZATION TO USE CONTRACTOR RECORDS SCHEDULES (CRS).**
  - (a) Authorization to use contractor records schedule by operating and onsite service contractors is contained in the Department's Procurement Regulations. See (a) 41 CFR § 9-7.402-7 Examination of Records by Comptroller General; (b) Federal Procurement Regulations 41 CFR § 1-7.103-3, modified as set forth in 41 CFR § 9-7.103-3; and (c) 41 CFR Subpart 9-50.20 Retention Requirements for Contractor and Subcontractor Records.
  - (b) Contractor Records Schedules are for use by operating and onsite service contractors. The following definition from the DOE Procurement Regulations 41 CFR § 9-50.001 defines these contractors:

"§9-50.001 Definitions

"(a) ... the following terms have these meanings:

"(1) Operating contracts are contracts:

"(i) For the management of Government-owned laboratories, production plants, and research facilities located on Government-owned or leased sites, where the programs being conducted are considered of a long-term, continuing nature; or

"(ii) For the operation of Government-owned facilities located on contractor-owned or leased sites where the programs being conducted are of a long-term,

continuing nature. An example of this category would be those contracts with universities for the operation of Government-owned laboratories and facilities, located on university-owned sites, for the purpose of conducting long-term basic research programs.

- "(iii) Other contracts performed on Government-owned sites, designated by the Senior Procurement Official, Headquarters, or the Head of the Procuring Activity, to be subject to the provisions of this part..."
  - "(2) Onsite service contracts are those cost-reimbursement type contracts for the performance of services of a continuing nature for DOE at Government-owned sites. (These generally would not include support service contracts such as those for management support services, technical evaluation, etc.)
  - "(3) Single purpose contracts for the operation of process developmental units, pilot plants, and demonstration plants where the purpose is to demonstrate the viability of processes toward the goal of commercialization are not considered to be included unless designated operating contracts in accordance with (iii) above..."
3. NEED FOR NEW STANDARDS. If a records retention standard is not provided in the Contractor Records Schedules for a contractor record subject to the provisions of the contract, the requirements of page III-18, paragraph 11, Appraisal - Development of New Standards, should be followed.

TABLE OF CONTENTS  
CONTRACTOR RECORDS SCHEDULES

Schedule	Page
1. Personnel Records	3
2. Payrolling and Pay Administration Records	17
3. Procurement and Supply Records	27
4. Property Sale and Disposal Records	37
5. Budget Records	45
6. Receipt and Disbursement Account Records	51
7. Expenditure Accounting Records	61
8. Stores, Plant, and Cost Accounting Records	69
9. Travel and Transportation Records	77
10. Motor Vehicle Maintenance and Operation Records	85
11. Space and Maintenance Records	93
12. Communications Records	101
13. Printing, Binding, Duplication, and Distribution Records	111
14. (Reserved)	117
15. Facility Records	119
16. Administrative Management Records	127
17. Cartographic, Remote Sensing Imagery, and Related Records	143
18. Security and Protective Services Records	155
19. Research and Development Records	167
20. Machine-Readable Records	181
21. Audiovisual Records	203
22. Design and Construction Drawings and Related Records	217
23. Equipment Control, Maintenance, and Operation Records	233
24. Industrial Facility Records	241
25. Medicine, Health and Safety Records	261
26. Nuclear Weapon Records	281
Index	289

CONTRACTOR RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
6.	<u>EMPLOYEE RECORD CARDS</u> used for informational purposes outside personnel offices.	Until separation or transfer of employee.
7.	<u>POSITION FILES</u> .	
a.	Job Classification Manuals.	Disposal suspended pending completion of Health and Mortality Study.
b.	Position Descriptions. Files describing established positions including information on title, duties, and responsibilities.	
(1)	Record copy.	3 years after position is abolished or description is superseded.
(2)	All other copies.	Until position is abolished or description is superseded.
8.	<u>INTERVIEW RECORDS</u> . Correspondence, reports, and other records relating to interviews with employees.	6 months after transfer or separation of employee.
9.	(RESERVED)	
10.	(RESERVED)	
11.	<u>POSITION IDENTIFICATION RECORDS</u> . Records such as strips used to provide summary data on each position occupied.	Until position is cancelled or new record is prepared.
12.	<u>EMPLOYEE AWARD FILES</u> .	
a.	General Award Records. Case files including recommendations, approved	2 years after approval or disapproval.

CONTRACTOR RECORDS SCHEDULE 1

PERSONNEL RECORDS

Contractor personnel records relate to the supervision over and management of contractor employees. This schedule covers the disposition of personnel folders and other records relating to personnel.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	<u>OFFICIAL PERSONNEL FOLDERS (OPF)</u> .	
4.	OPF's of contractors whose contracts contain one of the two safety and health clauses in 41 CFR 9-50.704-2 (DOE PR).	
(1)	Those records in the OPF pertaining to jobs held by the employee from initial date of employment to date of termination. Include previous jobs held by employee as shown on his or her application or other documents.	75 years from date of earliest employment history (including non-DOE contractor employment).
(2)	All other OPF records.	6 years after separation of employee, provided requirements of 1a(1), above, are met.
b.	OPF's of contractors whose contracts do not contain either of the safety and health clauses in 41 CFR 9-50.704-2 (DOE PR).	6 years after separation of employee.
2.	<u>SERVICE RECORD CARDS</u> .	3 years after separation or transfer of employee.
3.	(RESERVED)	
4.	(RESERVED)	
5.	(RESERVED)	

CONTRACTOR RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	nominations, memoranda, correspondence, reports, and related material describing award. Awards include contractor-sponsored cash and noncash awards, incentive awards, salary increases, suggestions, and outstanding performance awards.	
b.	<u>Length of Service Awards File</u> . Records including correspondence, memoranda, reports, computations of service, and list of awardees.	1 year.
c.	<u>Letters of Commendation and Appreciation</u> . Copies of letters recognizing length of service, retirement, letters of appreciation, and performance commendations. Excludes copies filed in Official Personnel Folder.	2 years.
d.	<u>Lists or Indexes of Award Recipients or Winners</u> .	Until superseded or obsolete.
13.	<u>INCENTIVE AWARDS PROGRAM REPORTS</u> . Reports pertaining to the operation of the Incentive Awards Program.	3 years.
14.	<u>NOTIFICATIONS OF PERSONNEL ACTION</u> . Forms documenting initial employment, promotions, transfers, in or out, separation, and all other individual personnel actions, exclusive of those in Official Personnel Folders.	
a.	Chronological file copies, including fact sheets, maintained in personnel offices.	2 years.
b.	All other copies maintained in personnel offices.	1 year.

**Attachment V-1**  
**Page 2**

**DOE 1324.2**

**5-28-80**

CONTRACTOR RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
15.	<b>EMPLOYMENT APPLICATIONS</b> and related records, EXCLUDING applications resulting in appointment which are filed in the Official Personnel Folder (see item 1 of this schedule).	2 years.
16.	(RESERVED)	
17.	(RESERVED)	
18.	<b>DUPLICATE DOCUMENTATION AND PERSONNEL FILES MAINTAINED OUTSIDE PERSONNEL OFFICES.</b>	
4.	<b>Supervisor's Personnel Files.</b> Correspondence, memoranda, forms, and other records relating to positions, authorizations, pending actions; copies of position descriptions; requests for personnel action, and records on individual employees duplicated in or not appropriate for the Official Personnel Folder.	Review annually and destroy superseded or obsolete documents; or destroy all documents relating to an individual employee 1 year after separation or transfer.
b.	<b>Duplicate Documentation.</b> Other copies of documents duplicated in Official Personnel Folders not provided for elsewhere in this schedule.	6 months.
19.	(RESERVED)	
20.	(RESERVED)	
21.	(RESERVED)	
22.	(RESERVED)	
23.	<b>PERFORMANCE RATING RECORDS.</b>	2 years.
24.	(RESERVED)	

CONTRACTOR RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
9.	<b>EEO General Files.</b> General correspondence and copies of regulations pertaining to the Civil Rights Act of 1964, the EEO Act of 1972, and any pertinent future legislation; and contractor EEO Committee meeting records including minutes and reports.	3 years, or when superseded or obsolete, whichever is applicable.
h.	<b>EEO Affirmative Action Plans (AAP).</b>	5 years from date of plan.
27.	<b>PERSONNEL COUNSELING RECORDS.</b>	
a.	<b>Counseling Files.</b> Reports of interviews, analyses, and related records.	3 years after termination of counseling.
b.	<b>Alcohol and Drug Abuse Program.</b> Records created in planning, coordinating, and directing an alcohol and drug abuse program.	3 years.
28.	<b>STANDARDS OF CONDUCT FILES.</b> Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	Until obsolete or superseded.
29.	<b>LABOR MANAGEMENT RELATIONS RECORDS.</b>	
a.	<b>Labor Management Relations General and Case Files.</b> Correspondence, memoranda, reports, and other records relating to the relationship between management and employee unions or other groups:	
(1)	<b>Office negotiating agreement.</b>	11 years.
(2)	<b>Other offices.</b>	Until superseded or obsolete.

CONTRACTOR RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
25.	<b>CONFLICT OF INTEREST CASE FILES.</b> Statements of employment and financial interests and related records.	2 years after separation of employee, or 2 years after employee leaves the position for which the statement is required.
26.	<b>EQUAL EMPLOYMENT OPPORTUNITY RECORDS.</b>	
a.	<b>Official Discrimination Complaint Case Files.</b> Complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, and records of hearings and meetings.	4 years after resolution of case.
b.	<b>Copies of Complaint Case Files.</b> Duplicate case files or documents pertaining to case files retained in Official File Discrimination Complaint Case File.	1 year after resolution of case.
c.	<b>Background Files.</b> Background records not filed in the Official Discrimination Complaint Case Files.	2 years after final resolution of case.
d.	<b>Compliance Records.</b>	
(1)	<b>Compliance Review Files.</b> Reviews, background papers, and correspondence relating to contractor employment practices.	7 years.
(2)	<b>EEO Compliance Reports.</b>	3 years.
e.	<b>Employee Housing Requests.</b> Forms requesting contractor assistance in housing matters, such as rental or purchase.	1 year.
f.	<b>Employment Statistics Files.</b> Employment statistics relating to race and sex.	5 years.

CONTRACTOR RECORDS SCHEDULE 1

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	<b>Labor Arbitration General and Case Files.</b> Correspondence, forms, and background papers relating to labor arbitration cases.	5 years after final resolution of case.
30.	<b>TRAINING RECORDS.</b>	
a.	<b>Training Aids.</b>	Until obsolete or superseded.
b.	<b>General File of Contractor-sponsored Training.</b> Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, background material, workpapers, and objectives relating to the establishment and operation of training courses and conferences.	Until 2 years old, or 2 years after completion of a specific training program.
c.	<b>Employee Training.</b> Correspondence, memoranda, reports, and other records relating to the availability of training and employee participation in training programs, exclusive of records filed in Official Personnel Folder.	2 years, or until superseded or obsolete, whichever is sooner.
d.	<b>Course Announcement Files.</b> Reference file of pamphlets, notices, catalogs, and other records which provide information on courses or programs.	Until superseded or obsolete.
31.	<b>GRIEVANCES, DISCIPLINARY, AND ADVERSE ACTION FILES.</b>	
a.	<b>Grievance and Appeals Files.</b> Records originating in the review of employee grievance and appeals, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's	3 years after case is closed.

CONTRACTOR RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	findings and recommendations; a copy of the original decision, related correspondence and exhibits, and records relating to a reconsideration request.	
b.	Adverse Action Files. Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.	4 years after case is closed.
12.	<b>EMPLOYEE QUALIFICATION OR AUTHORIZATION</b> <u>RECORDS</u> consisting of evidence documenting: employee's qualifications or authorization to perform certain tasks, engage in certain employment or occupations, conduct certain activities; and to possess, use, distribute, be responsible for, manufacture, sign for; supplies, equipment, material or property; and to authorize routine actions.	
a.	Records required to be maintained in Official Personnel Folders.	Follow disposition instructions applicable to Official Personnel Folders, Item 1, this schedule.
b.	Reactor operator and senior operator docket files, documenting the certification of reactor operators and senior reactor operators including new or	

CONTRACTOR RECORDS SCHEDULE 1

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	renewal applications, medical certificates, certifications and amendments, examinations and results, and related correspondence, including denial information.	
(1)	Latest applications and related correspondence, certification, examinations, and results; all medical certificates and data; and all examiners reports.	4 years after expiration or termination of certification or issuance of denial letter.
(2)	Superseded applications and related correspondence, certifications, examinations, and results; denial letters.	2 years, or when superseded, whichever is earlier.
c.	Reactor Operator Examination Files consisting of copies of all examinations given by DOE at a facility for the purpose of issuing reactor and senior reactor operator certifications.	10 years.
d.	Reports of welders' tests, consisting of file of reports of tests on welders in Mellaric and other stainless steel welding processes used to determine qualifications of welders, with included documents, such as analysis of X-ray test samples.	5 years.
e.	Records not covered above and maintained outside Official Personnel Folders except Security and Protective Services Records covered by Records Schedule 18.	(To be obtained.)
33.	<b>TEMPORARY RECORDS RELATING TO PROMOTIONS.</b> Records relating to the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluation of candidates.	2 years.

CONTRACTOR RECORDS SCHEDULE 2

PAYROLLING AND PAY ADMINISTRATION RECORDS

Payrolling and pay administration records pertain to disbursements to contractor employees for personal services. This schedule excludes receipt and disbursement account files maintained for audit by the General Accounting Office.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office unless the contractor has DOE approval.

In the payroll process different types of records are accumulated. In many cases the records will be in machine-readable form, as the payroll process has been almost universally converted to electronic data processing. Payroll records are normally site audited on a sample basis by GAO representatives who examine primarily the earnings record card, payroll change slips that are prepared to document changes in normal pay, certification sheets containing the signatures of approving officials, checklists or formal payrolls of disbursing personnel, source personnel documents such as basic time and attendance reports, and copies of personnel action forms documenting changes in pay. In addition, pay registers and other accounting devices are maintained to check and balance the accounts. Other payrolling process records are withholding tax records, savings bond records, income tax reports, and retirement transactions. For other records not pertaining to individuals, but rather to the general administration of the payrolling office and the payrolling function, apply records retention standards in schedule 16, items 5 and 8.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<u>ACCOUNTS FILES.</u>	
a.	Individual accounts files such as individual earning and service cards, or equivalent.	6 years after separation of employee.
b.	Earnings summary files, showing cumulative total pay.	3 years, or after GAO audit, whichever is sooner.

2. (RESERVED)

CONTRACTOR RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
3.	<u>TIME AND ATTENDANCE REPORT FILES.</u>	
a.	Payroll preparation and processing copies.	3 years, or after GAO audit, whichever is sooner.
b.	All other copies.	6 months after the end of the pay period.
4.	<u>INDIVIDUAL AUTHORIZED ALLOTMENTS OR DEDUCTION FILES.</u> Records relating to authorization, changes, or cancellation of individual payroll allotments or deductions for charitable contributions, savings bonds, union dues, or others.	3 years after supersession, or 3 years after separation of employee, whichever is sooner.
5.	<u>BOND REGISTRATION FILES.</u> Issuing agent's copies of bond registration stubs.	2 years.
6.	<u>BOND RECEIPT AND TRANSMITTAL FILES.</u> Receipts for and transmittals of U.S. Savings Bonds and checks.	3 months after date of receipt.
7.	<u>BOND PURCHASE FILES.</u> Forms and reports with related papers pertaining to deposits and purchases of bonds.	3 years.
8.	<u>LEAVE APPLICATION FILES.</u> Application for leave and supporting papers relating to requests for and approval of leave.	1 year.
a.	If the timecard has been initiated by the employee.	Until the end of the applicable pay period.
b.	If the timecard has not been initiated by the employee.	Until after GAO audit, or when 3 years old, whichever is sooner.
9.	<u>LEAVE RECORD FILES.</u> Leave record cards maintained separately from pay and earnings records.	

CONTRACTOR RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
a.	Pay or fiscal copies.	3 years
b.	Other copies.	3 months after the end of the period covered.
10.	(RESERVED)	
11.	<u>PAY OR FISCAL COPY OF PERSONNEL ACTION RECORD.</u>	3 years, or after GAO audit, whichever is sooner.
12.	<u>BUDGET AUTHORIZATION REFERENCE FILES.</u> Copies of budget authorizations in operating payroll units used to control personnel callings and personnel actions.	Until superseded.
13.	<u>PAYOUT FILES.</u>	
a.	Contractor payrolls, checklists, and related certification sheets.	6 years.
b.	Paid payroll checks.	3 years, or after GAO audit, whichever is sooner.
14.	<u>PAYOUT CONTROL FILES.</u> Payroll control registers. Includes reconciliations and analyses of payroll advances and bank statements.	3 years, or after GAO audit, whichever is sooner.
15.	<u>PAYOUT CHANGE FILES.</u> Payroll change slips, exclusive of those of the Official Personnel folder.	
a.	Copy used in GAO audit.	3 years, or after GAO audit, whichever is sooner.
b.	Disbursing agent's copy used in preparing checks.	Until preparation of check.

CONTRACTOR RECORDS SCHEDULE 2

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
c.	All other copies.	1 month after the end of the pay period.
16.	<u>FISCAL SCHEDULES FILES.</u> Memorandum copies of fiscal schedules used in the payroll process.	
a.	Copy used in GAO audit.	3 years, or after GAO audit, whichever is sooner.
b.	All other copies.	1 month after the end of the pay period.
17.	(RESERVED)	
18.	<u>TAX FILES.</u>	
a.	Withholding tax exception certificates, such as IRS Form W-4, and similar state tax exception forms.	4 years after form is superseded or obsolete.
b.	Returns on income taxes such as IRS Form W-2.	4 years.
c.	Reports of withheld federal taxes, such as IRS Form W-3, with related papers, including reports relating to income and social security taxes.	4 years.
19.	(RESERVED)	
20.	(RESERVED)	
21.	<u>RETIREMENT (PENSION PLAN) FILES.</u>	
a.	Reports and Registers or other control documents relating to retiree.	10 years.

CONTRACTOR RECORDS SCHEDULE 2

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	<b>Assistance Files.</b> Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees and survivors claim insurance or retirement benefits.	Until 1 year after completion.
c.	<b>Deduction Files.</b> Records used to document retirement deductions of individual employees.	10 years.
22.	<b>INSURANCE DEDUCTION FILES.</b> Reports and related papers, including copies of vouchers and schedules of payments pertaining to insurance deductions.	6 years.
23.	<b>LEVY AND GARNISHMENT FILES.</b> Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work-papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of employees.	3 years.
24.	<b>WAGE SURVEY FILES.</b> Wage survey reports and data, working papers, and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and request for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).	6 years.

CONTRACTOR RECORDS SCHEDULE 3

PROCUREMENT AND SUPPLY RECORDS

Contractor procurement and supply records document: the acquisition of goods and nonpersonal services, controlling the volume of stock on hand, reporting procurement needs, and related supply matters which are part of daily procurement operations. The basic procurement files reflect a considerable range of procedure, from a simple small purchase to a complicated contract.

Copies of procurement papers frequently become integral parts of other files, such as project files of various types or general subject files pertaining to program operations; these copies are not covered by this schedule.

Official contract files are accessible to GAO auditors.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not yet been settled or adjusted by the General Accounting Office, unless written approval of the Comptroller General is obtained by DOE as required by 44 U.S.C. 3309.

The key procurement file is the transaction case file containing the formal contract or informal purchase order or lease instruments and all related papers. The documents flowing into the transaction file differ in detail, but they may include, in addition to a purchase document: specifications, bids, schedules of delivery, initiating requisition, invoices, and correspondence. Copies of these documents are used for expediting and other administrative purposes. The copies are maintained in organizations performing inspection, shipping, expediting, or other procurement-related activities.

Files related to the procurement and supply function include local requisition and stock inventory files, and other minor supply papers.

ITEM NO. DESCRIPTION OF RECORDS

RETENTION PERIOD

1. (RESERVED)
2. (RESERVED)
3. (RESERVED)
4. **PROCUREMENT FILES.** Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers pertaining to award,

CONTRACTOR RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
5.	<b>SUPPLY MANAGEMENT FILES.</b> Files of reports on supply requirements and procurement matters submitted for supply management purposes, other than those incorporated in case files or other files of a general nature. For priorities and allocations records, see item 14, this schedule.	
a.	Copies received from other units for procurement office use or for transmission to DOE.	2 years.
b.	Copies in reporting units, and related workpapers.	1 year.
6.	<b>BID FILES.</b>	
a.	Successful or unsuccessful bids.	Apply provisions of item 4.
b.	Lists or cards of acceptable bidders.	Until superseded or obsolete.
7.	(RESERVED)	
8.	<b>HONPERSONAL REQUISITION FILE.</b> Requisitions for nonpersonal services, such as duplicating, laundry, binding, and other services (excluding records associated with receipt and disbursement accounts (schedule 6)).	1 year.
9.	<b>INVENTORY REQUISITION FILE.</b> Requisitions for supplies and equipment from current inventory.	
a.	Stockroom copy.	2 years after completion or cancellation of requisition.
b.	All other copies.	6 months.

CONTRACTOR RECORDS SCHEDULE 3

ITEM NO. DESCRIPTION OF RECORDS

RETENTION PERIOD

- administration, receipt, inspection, and payment (other than those covered in item 13).
- a. Procurement or purchase organization copy, and related papers.
    - (1) Transactions of more than \$10,000 and all construction contracts exceeding \$2,000, dated subsequent to 7-25-74.  
6 years and 3 months after final payment.  
(Place in inactive file on final payment, transfer fiscal year block to Federal Records Center after 2 years.)
    - (2) Transactions of \$10,000 or less and construction contracts under \$2,000, dated subsequent to 7-25-74, and transactions of \$2,500 or less dated prior to 7-26-74.  
3 years after final payment. (Close file at the end of the fiscal year, retain 3 years and destroy, except that files on which actions are pending shall be brought forward to the next fiscal year's files for destruction therewith.)
    - (3) Transactions of more than \$2,500 dated prior to 7-25-74.  
6 years after final payment.
  - b. Obligation copy.
  - c. Other copies of records described above used by component elements of a procurement office for administrative purposes.  
Until termination or completion of administrative action.
  - d. Bonds and warrants guaranteeing for specified periods of time materials and equipment furnished or installed by vendors.  
Until expiration of guarantee period.

CONTRACTOR RECORDS SCHEDULE 3

ITEM NO. DESCRIPTION OF RECORDS

RETENTION PERIOD

10. **INVENTORY FILES.**
  - a. Inventory lists.
  - b. Inventory cards.
11. **TELEPHONE RECORDS.** Telephone statements and toll slips.  
3 years after period covered by related account.
12. (RESERVED)
13. **TAX EXEMPTION FILES.** Tax exemption certificates and related papers.  
3 years after period covered by related account.
14. **PRIORITIES AND ALLOCATION RECORDS.**
  - a. Records on the use of DD, DX, and Authorized Controlled Material Order (ACM) rating authority, exclusive of correspondence on planning, policy, procedures, and authorizations which are to be retained.

CONTRACTOR RECORDS SCHEDULE 3

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Requirements studies in connection with mobilization planning and the Controlled Materials Plan, exclusive of correspondence on planning, policy, procedures, and authorizations which are to be retained.	3 years.

CONTRACTOR RECORDS SCHEDULE 4  
PROPERTY SALE AND DISPOSAL RECORDS

These records pertain to the sales by contractors of personal property including property surplus to the needs of the Government.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	(RESERVED)	
2.	(RESERVED)	
3.	(RESERVED)	
4.	(RESERVED)	
5.	<u>EXCESS PERSONAL PROPERTY REPORTS.</u>	3 years.
6.	<u>SURPLUS PROPERTY CASE FILES.</u> Case files on sales of personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than sales or leases covered in items 1, 2 and 3).	
a.	Transactions subsequent to 7-25-74 of more than \$10,000; and transactions prior to 7-26-74 of more than \$2,500.	6 years after final payment. (Place in inactive file on final payment and transfer to Federal Records Center 2 years thereafter.)
b.	Transactions subsequent to 7-25-74 of \$10,000 or less; and transactions prior to 7-26-74 of \$2,500 or less.	3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and destroy)

CONTRACTOR RECORDS SCHEDULE 4

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
7.	(RESERVED)	except that files on which actions are pending will be brought to the next fiscal year's files for disposal therewith.)
8.	<u>NUCLEAR MATERIALS-RELATED REVENUE-PRODUCING CONTRACTS.</u> Revenue-producing contracts with foreign and domestic customers, including documentation of the negotiations, administration, payment, and delivery for goods and services for (1) the sale of nuclear products, including source, byproduct, special nuclear materials, and heavy water; (2) toll enrichment services; and (3) chemical processing of irradiated fuel.	6 years after receipt of final payment.
9.	<u>RECORDS OF THE TRANSFER OF NUCLEAR MATERIALS FOR RESEARCH.</u> "Transfer of Material" records documenting the "without charge" transfer of nuclear material in quantities suitable for research purposes only.	6 years after transfer is completed.
10.	<u>NUCLEAR MATERIALS LEASING RECORDS.</u> Lease agreements documenting the leasing of nuclear materials and heavy water to foreign and domestic customers.	6 years after termination of the lease.

CONTRACTOR RECORDS SCHEDULE 5

BUDGET RECORDS

Budget records include the files accumulated by contractors in the course of formulating the budget for submission to DOE, and in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the contractor by DOE, and the contractor must report regularly to DOE. After the funds have been made available to the contractor, control over the funds is in the expenditure accounting records (schedule 7) and detailed information relative to expenditures is contained in the account records (schedule 6).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<b>CENTRAL BUDGET FILES</b> consisting of comprehensive budget submissions of contractor, together with justifications, including DOE budget approvals and documents reflecting approved financial plan.	Operating Contractors: 3 years after fiscal year to which the budget applies.  Construction Contractors: Until completion of construction project and submission of final cost reports.
2.	<b>DEPARTMENTAL BUDGET AND COST FILES</b> prepared by subdivisions of overall contractor organizations, consisting of budget estimates, budget control reports, forecasts, workpapers, together with related documents and correspondence.	
a.	Budget estimates.	2 years.
b.	All others.	1 year.

CONTRACTOR RECORDS SCHEDULE 6

RECEIPT AND DISBURSEMENT ACCOUNT RECORDS

This schedule covers contractor receipt and disbursement account records. These account records include record copies of all records concerned with the accounting for, availability, and status of funds. There are account records for monies owed to the contractor which must be credited to the proper account and for disbursements or the actual payment of monies to proper creditors.

This schedule includes records held for onsite audit by the General Accounting Office. Under onsite audit, vouchers, contracts, schedules, statements of transactions, and accountability and other related supporting documents are retained in contractor space for General Accounting Office auditors. If the records are no longer required for administrative purposes, a contractor may transfer all audited records and any unaudited records more than 1 full fiscal year old to Federal Records Centers. To transfer unaudited accounts less than 1 year old, permission must be obtained from DOE.

Records relating to the availability, collection, and custody of funds include: (1) letters of credit; (2) working fund advances; (3) other documents which deposit funds for contractor use; and (4) documents which provide status reports on available funds, such as proofs of depository account and bank statements of funds to the contractor's credit. Contractor copies of the deposit and status documents are so closely related to these accounts that they are included in this schedule.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
----------	------------------------	------------------

1. RECEIPT AND DISBURSEMENT ACCOUNT FILES.

- a. Account records maintained by the contractor for audit consisting of records of receipt and disbursement of funds, exclusive of freight records and payroll records. These records document only the basic financial transaction, money received and money paid out or deposited, in the course of operation. All copies and all additional or supporting documentation not involved in an integrated accounting system are covered by succeeding items and subtitles in this schedule.

6 years after the close of the fiscal year.

CONTRACTOR RECORDS SCHEDULE 6

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
----------	------------------------	------------------

Example: Payment voucher files (also referred to as contract check files) maintained in accounts payable activities to support disbursement of funds for materials and services, containing originals or copies of the following and related documents: remittance statements, vendors' invoices, invoice audits and distribution slips, receiving reports or comparable certification of receipt of materials or services, OS&D (over, short, or damage) reports, debit and credit memoranda, requests and authorizations for travel, and expense account statements.

b. Memorandum or extra copies of account records and all supporting vouchers, schedules, and related papers not covered elsewhere in this schedule, and excluding freight records covered by schedule 9 and payroll records covered by schedule 2.

3 years after the close of the fiscal year.

c. Accounts receivable invoices including pertinent credit memoranda.

3 years after payment.

d. Schedules of disbursement files, prepared by cost-type contractors, reporting the disbursement of funds on a monthly basis to DOE auditors.

3 years, or after GAO audit, whichever is earlier.

e. Cash disbursement index files accumulated under construction projects, consisting of copies of checks, cash disbursement vouchers, or cancelled checks filed by payee, exclusive of payroll actions.

3 years, or after GAO audit, whichever is earlier.

CONTRACTOR RECORDS SCHEDULE 6

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
----------	------------------------	------------------

f. Paid checks, other than those issued for the payment of salary and wages.

3 years, or after GAO audit, whichever is earlier.

2. AUDIT FILES.

- a. General Accounting Office notices of exceptions, such as Standard Form 1100, formal or informal, and related correspondence.
- b. Audit files of contractor's internal audit staff pertaining to cost-plus and consultant subcontracts, containing copies of subcontracts, invoices, expenditure and payment data, including audit work papers and history records, and copies of other documents related to the subcontracts.
- c. Audit files generated by cost-type contractor audit staffs performing internal audits, including pertinent reports and revisions thereof; concurrences; comments; reports relating to action taken on reconciliations; pertinent correspondence; and related work papers.

1 year after exception has been reported as cleared by GAO.  
3 years after the year to which the audit relates.

5 years.

3. (RESERVED)

4. GENERAL FUND FILES. Records relating to availability, collection, custody, and deposit of funds other than those records covered by item 1 of this schedule.

3 years.

Example: Bank statements and reconciliations pertaining to general account funds.

5. (RESERVED)

CONTRACTOR RECORDS SCHEDULE 6

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
----------	------------------------	------------------

6. PERSONNEL SURETY BOND FILES. Official copies of the bond and attached powers of attorney.

Until bond becomes inactive, or after the end of the bond premium period, whichever is sooner.

7. GASOLINE SALES TICKETS. Hard copies of sales tickets filed in support of paid invoices for credit card purchases of gasoline.

3 years, or after GAO audit, whichever is sooner.

8. TELEPHONE TOLL TICKETS. Originals and copies of toll tickets filed in support of telephone toll call payments.

3 years, or after GAO audit, whichever is sooner.

9. TELEGRAMS. Originals and copies of telegrams filed in support of telegraph bills.

3 years, or after GAO audit, whichever is sooner.

10. WORKER'S COMPENSATION CLAIM FILES containing a history of each claim resulting from industrial injury, including accident reports, orders for medical treatment, orders to close or reopen, related correspondence, and face sheets showing amounts to be paid and status of claim.

6 years after case is closed, provided applicable statute of limitations has run.

11. PUBLIC LIABILITY CLAIM FILES involving auto and nonauto accidents, including accident reports, related correspondence, and face sheets showing amounts to be paid and status of claim.

3 years after date of alleged injury, or 1 year after claim is closed, provided applicable statute of limitations has run.

12. INSURANCE CLAIM STATEMENTS of contractor employees for hospital, surgical, medical, major medical, nonoccupational, and life insurance costs along with records regarding payment of claims, and related correspondence.

3 years after termination of employee.

**CONTRACTOR RECORDS SCHEDULE 7**

## **EXPENDITURE ACCOUNTING RECORDS**

Expenditure accounting records are the ledgers and related documents maintained by contractors to show in succinct fashion how their funds are spent and the nature of any receipts. The key records are the general ledger accounts, which constitute, as a unit, the heart of the contractor's accounting system. The ledgers summarize the financial status and financial transactions of the contractor showing the current status of funds available for expenditure, the amounts due and collected for the account of the Government, accumulated expenditures and liabilities, and the values of stock, equipment, and other property in contractor custody. They are controls that serve not only as central fiscal records, but also as a primary source of data for top management concerned with financial limits that may not be exceeded, with expenditures, and with program costs.

The general ledgers are subdivided into arbitrarily created account titles, which are based on programs, projects, costs, and funds. Supporting them are a group of subsidiary ledgers and papers further detailing the information in the general ledgers or serving as posting media to the ledgers themselves. To the extent that they reflect expenditures, the general ledgers are supported by allotment ledgers, which at all times show the current unobligated balance of funds allotted for specific purposes and thereby provide a safeguard against over expenditure by operating officials. The allotment ledgers are general controls over expenditures, and they in turn summarize and are supported by more detailed controls that normally take the form of project or job orders which authorize exact and specific expenditures.

The sources of data that are posted to the ledger files are somewhat diverse, but they fall into two general groups:

- a. Copies of various obligation or expenditure documents, such as vouchers and schedules, which flow through the ledger unit for posting.
  - b. Journal vouchers and similar internal control documents created to authorize and convey entries to the general ledger.

As the centralized fiscal record, the general ledgers ultimately summarize stores, plant, and cost accounting data, which are treated in a separate schedule.

In no event may disposal be made of records pertaining to accounts, claims, or demands involving the Government of the United States which have not been settled or adjusted by the General Accounting Office without written approval of the Comptroller General, as required by 44 U.S.C. 3309.

**CONTRACTOR RECORDS SCHEDULE 7**

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	(RESERVED)	
2.	<u>GENERAL ACCOUNTING LEDGERS</u> , General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.	10 years after the close of the fiscal year involved, or 6 years after the termination of contract, whichever is sooner.
3.	<u>ALLOTMENT FILES</u> . Allotment records showing status of obligations and allotments.	10 years after the close of the fiscal year involved, or 6 years after the termination of contract, whichever is sooner.
4.	<u>EXPENDITURE ACCOUNTING POSTING AND CONTROL FILES</u> . Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.	
	a. Original records.	3 years.
	b. Copies.	2 years.
5.	<u>DISTRIBUTION ACCOUNTS LEDGERS</u> , subsidiary to general accounts ledgers.	6 years.
6.	<u>INVOICE PAYABLE LEDGERS</u> showing amounts paid against receiving reports covering stores material and cost distribution of payments, including pertinent distribution tapes.	6 years.

CONTRACTOR RECORDS SCHEDULE 8

STORES, PLANT, AND COST ACCOUNTING RECORDS

Specialized stores, plant, and cost accounting records are maintained by most contractors, particularly those with extensive plant and stock inventories. These records, which essentially reflect the net monetary worth of assets, are periodically reconciled with the supply data reflected in stock inventory records, but are not procurement papers.

- a. **Stores Accounting.** These records are maintained to provide personal accountability for the receipt and custody of materials and to provide information as to the monetary worth of such materials. Custody is established by accomplished copies of material movement documents, and stores accounting information data are normally reviewed and consolidated by means of the records and returns submitted. The information is used for procurement planning, budget, and other management purposes. These records do not include papers reflecting the physical movements of material to and from storage points, although they may be involved in posting. Summary data on plant value is also available in pertinent general ledger accounts.
- b. **Plant Accounting.** These records consist primarily of cards recording the principal characteristics of each item of physical plant and equipment, including real property. They constitute primarily a type of inventory control, but in addition are a principal source of data on the capital investment in physical plant (as distinguished from maintenance or operating costs) and other items not normally represented in a store or stock inventory system. Summary data on plant value is also available in pertinent general ledger accounts.
- c. **Cost Accounting.** These records are designed to accumulate and show data on the costs of contractor operation, the direct and indirect costs of production, administration, and the performance of contract responsibilities. The data, which are normally accumulated by means of cost reports and statistics accumulated by operating personnel, are ultimately posted to the accounts in the general ledgers concerned with operating and program costs. Material costs information is collected by posting requisitions for material or procurement documents to intermediate records, and labor cost information is obtained by charging time expended on individual jobs and projects assigned control numbers for cost control purposes. Cost data are utilized in evaluating economy of operation and in preparing budget estimates.

CONTRACTOR RECORDS SCHEDULE 8

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	PLANT ACCOUNTING FILES. Plant account cards and ledgers pertaining to structures.	To be obtained.
2.	(RESERVED)	
3.	STORES INVOICE FILES. Invoices or equivalent papers used for stores accounting purposes.	3 years.
4.	STORES ACCOUNTING FILES. Stores accounting returns and reports.	3 years.
5.	STORES ACCOUNTING WORKPAPERS. Workpapers used in accumulating stores accounting data.	2 years.
6.	PLANT ACCOUNTING FILES. Plant account cards and ledgers, other than those described in item 1.	3 years after item is withdrawn from plant account.
7.	COST ACCOUNTING REPORTS.	
a.	Copies in units receiving reports.	3 years.
b.	Copies in reporting units, and related work papers.	3 years.
8.	COST REPORT DATA FILES. Ledgers, forms, and machine records used to accumulate data for use in cost reports.	
a.	Ledgers and forms.	3 years.
b.	Machine records.	
(1)	Detail cards.	6 months.
(2)	Summary cards.	6 months.
(3)	Tabulations.	1 year.

CONTRACTOR RECORDS SCHEDULE 9  
TRAVEL AND TRANSPORTATION RECORDS

This schedule covers records pertaining to the movement of goods and persons. Records include bills of lading, transportation requests, vouchers, and associated records. Copies of some records used to support payments become either part of the receipt and disbursement accounts, or accounting posting media. Their disposition may be covered by Records Schedule 6, Item I; Records Schedule 7, Item 4; or Items 1 and 3 of this schedule.

- a. **Movement of Goods.** The key record is the bill of lading, of which there are copies for consignor, consignee, and the carrier. Papers related to and normally filed with the bill of lading are varied, often voluminous, and may consist of shortage and damage reports, invoices, and other descriptive data documenting the transaction. Included are records relating to the shipment of household effects. Contractors shipping certain valuables under the Government Losses in Shipment Act, which ensures against loss, retain copies of schedules of material shipped, papers relating to claims which may ensue, and other pertinent documents. Hazardous material shipping packaging records are also included.

- b. **Movement of Persons.** The movement of persons records include travel authorization and records supporting payment for official travel.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	<b>FREIGHT FILES.</b> Records relating to freight consisting of export certificates, transit certificates, damage car record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and damage reports, and all supporting documents; and including records relating to the shipment of household goods.	
a.	Issuing office copies.	3 years.
b.	All other copies.	1 year.
c.	Registers and control records.	3 years.
2.	<b>LOST OR DAMAGED SHIPMENTS FILES.</b> Schedules of valuables shipped, correspondence, memoranda reports, and other records relating to losses in shipment.	3 years.

CONTRACTOR RECORDS SCHEDULE 9

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
3.	<b>PASSENGER TRANSPORTATION FILES.</b> Transportation bill files maintained by traffic or transportation offices consisting of copies of transportation bills when original bills are filed in accounting units and retained in support of ledger.	3 years.
4.	<b>PASSENGER REIMBURSEMENT FILES.</b> Employees' expense voucher files, documenting the reimbursement of employees for expenses entailed on behalf of contractor, including expense of authorized travel, related travel and clearance requests approving travel, and authorizations of payment of approved expense accounts.	3 years.
5.	<b>GENERAL TRAVEL AND TRANSPORTATION FILES.</b> Those are routine administrative files, retained long enough to serve reference needs and not covered elsewhere in this schedule.	2 years.
a.	Correspondence, forms, and related records pertaining to travel and transportation not covered elsewhere in this schedule.	2 years.
b.	Accountability records documenting the issue or receipt of accountable documents involved in the travel and transportation functions.	1 year after all entries on the records are cleared.
6.	<b>HAZARDOUS MATERIAL</b> (radioactive and fissile material) shipping packaging records, including Certificates of Compliance, Safety Analysis; Reports for Packaging (SARP), evaluations of SARP's, licenses, documents to licenses, and quality assurance records documenting packaging design, fabrication, maintenance, and use in compliance with established safety and engineering standards.	Destroy 5 years after Certificate of Compliance has terminated, unless information is received indicating that renewed use is definitely anticipated.

CONTRACTOR RECORDS SCHEDULE 10MOTOR VEHICLE MAINTENANCE AND OPERATION RECORDS

These records pertain to the management, maintenance, and operation of Government-owned or leased motor vehicles used by contractors.

DOE Property Management Regulation 109-38 prescribes policies and procedures. Standard Form No. 82 is an annual motor vehicle report required by the Federal Supply Service, General Services Administration. Cost and inventory control forms are available but are not mandatory. This schedule covers records pertaining to the daily use and operation of the vehicles.

In general, records pertaining to motor vehicles reflect a threefold responsibility: (a) the accumulation of cost and operating data for internal accounting and management purposes and for reports submitted to the Federal Supply Service (Standard Form No. 82, Annual Motor Vehicle Report); (b) maintenance of the vehicles; and (c) protecting the interest of the Government in accident claims against it. Records consist of chauffeur service logs and reports, vehicle repair and maintenance checkoff sheets, cost ledgers, and claims correspondence and forms.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	(RESERVED)	
2.	<u>MOTOR VEHICLE OPERATING AND MAINTENANCE FILES.</u>	
a.	<u>Operating Records</u> including those relating to gas and oil consumption, dispatching, and scheduling.	3 years.
b.	<u>Maintenance Records</u> , including those relating to service and repair.	3 years after vehicle leaves contractor custody.
3.	<u>MOTOR VEHICLE COST FILES</u> . Motor vehicle ledger and worksheets providing cost and expense data.	3 years after discontinuance of ledger or date of worksheet.
4.	<u>MOTOR VEHICLE REPORT FILES</u> . Reports on motor vehicles (other than accident, operating and maintenance reports).	3 years after date of report.

CONTRACTOR RECORDS SCHEDULE 10

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
5.	<u>MOTOR VEHICLE ACCIDENT FILES</u> . Records relating to motor vehicle accidents, maintained by transportation offices.	6 years after case is closed.
6.	<u>MOTOR VEHICLE RELEASE FILES</u> . Records relating to transfer, sale, donation, or exchange of vehicles.	4 years after vehicle leaves contractor's custody.
7.	<u>MOTOR VEHICLE OPERATION</u> . Records relating to individual employee operation of Government-owned vehicles, including driver tests, authorization to use, safe driving awards, and related correspondence.	Destroy 3 years after separation of employee, or 3 years after revocation of authorization to operate Government-owned vehicle, whichever is sooner.

CONTRACTOR RECORDS SCHEDULE 11

SPACE AND MAINTENANCE RECORDS

This schedule provides for the disposal of records relating to space and maintenance, except as indicated in the next paragraph. Records pertain to the acquisition, allocation, utilization, and release of space and include: (a) reports; (b) correspondence and forms relating to the compilation of directory service listings; (c) identification credentials and related accountable records; and (d) requests for building and equipment services.

This schedule does not cover (a) copies of those records that are an integral part of receipt and disbursement accounts (schedule 6), or (b) records of procurement and supply (schedule 3).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	(RESERVED)	
2.	<b>CONTRACTOR SPACE FILES.</b> Records relating to the allocation, utilization, and release of space under contractor control, and related reports.	
a.	Building plan files and related records utilized in space planning, assignment, and adjustment.	2 years after termination of assignment, or when lease is cancelled, or when plans are superseded or obsolete.
b.	Reports and correspondence relating to space holdings and requirements.	2 years.
3.	<b>DIRECTORY SERVICE FILES.</b> Correspondence, forms and other records relating to the compilation of directory service listings.	2 months after issuance of listing.
4.	<b>CREDENTIALS FILES.</b> Identification credentials and related papers.	
a.	Identification credentials including cards, badges, passes, parking permits, photographs; and property, dining room and visitors passes, and other identification credentials.	3 months after return to issuing office.

CONTRACTOR RECORDS SCHEDULE 11

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Receipts, indices, listings, and accountable records.	Until all listed credentials are accounted for, or 5 years after loss, whichever is sooner.
5.	<b>BUILDING AND EQUIPMENT SERVICE FILES.</b> Requests for building and equipment maintenance services, excluding fiscal copies.	3 months after work is performed, or requisition is cancelled.

CONTRACTOR RECORDS SCHEDULE 12

COMMUNICATIONS RECORDS

The principal records documenting communication functions include messenger service data, telecommunications service control, and operational records; summaries of long distance telephone reports; postal records, consisting of post office forms and supporting papers; mail control records and supporting and related papers; contractor copies of penalty mail reports; and records relating to private delivery services (such as United Parcel Service).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<u>MESSENDER SERVICE FILES.</u> Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.	2 months.
2.	<u>COMMUNICATION CORRESPONDENCE, REPORTS, AND REFERENCE FILES.</u>	
a.	(RESERVED)	
b.	Telecommunications general files, including plans, reports, and other records pertaining to equipment requests, telephone service, and like matters.	3 years.
c.	Telecommunications statistical reports, including cost and volume data.	1 year.
d.	Telecommunications reference voucher files.	
(1)	Reference copies of vouchers, bills, invoices, and related records.	1 fiscal year.
(2)	Records relating to installation, change, removal, and servicing of equipment.	1 year after audit, or when 3 years old, whichever is sooner.
e.	Copies of agreements with background data and other records relating to agreements for telecommunications services.	2 years after expiration or cancellation of agreement.

CONTRACTOR RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
6.	<u>MAIL AND DELIVERY SERVICE CONTROL FILES.</u>	
	both those covered by item 5 and those used as indexes to correspondence files.	
b.	Statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post, or packages over 4 pounds).	6 months.
c.	Requisition for stamps (exclusive of copies used as supporting documents to payment vouchers).	6 months.
d.	Statistical reports and data relating to handling of mail and volume of work performed.	1 year.
e.	Records relating to checks, cash, stamps, money orders, or any other valuables remitted to the contractor by mail.	1 year.
f.	Records of and receipts for mail and packages received through the Official Mail and Messenger Service.	6 months.
g.	(RESERVED)	
h.	Locator cards, directories, indexes, and other records relating to mail delivery to individuals.	5 months after separation or transfer of individual, or when obsolete, whichever is applicable.
7.	(RESERVED)	

CONTRACTOR RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
3.	<u>TELECOMMUNICATIONS OPERATIONAL FILES.</u>	
a.	Message registers, logs, performance reports, daily load reports, and related and similar records.	6 months.
b.	Copies of incoming and original copies of outgoing messages.	3 days after transmission.
c.	Machine copies (hard copies), discs, and tapes of outgoing messages.	Destroy after transmission.
4.	<u>TELEPHONE SUMMARIES.</u> Summaries of long distance telephone reports used to indicate authorized use of telephone service, as well as to audit expense vouchers.	Until the close of the fiscal year in which audited.
5.	<u>POSTAL RECORDS.</u> Post Office forms and supporting papers.	
a.	Records relating to incoming or outgoing registered mail pouches, registered, certified, insured, and special delivery mail, including receipts and return receipts.	1 year.
b.	Application for postal registration and certificates of declared value of matter subject to postal surcharge.	1 year.
c.	Report of loss, rifling, delay, wrong delivery, or other improper treatment of mail matter.	1 year.
6.	<u>MAIL AND DELIVERY SERVICE CONTROL FILES.</u>	
a.	Records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, excluding	1 year.

CONTRACTOR RECORDS SCHEDULE 12

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
8.	<u>POSTAL IRRREGULARITIES FILES.</u> Memoranda, correspondence, reports, and other records relating to irregularities in the handling of mail, such as loss or shortage of postage stamps or money orders, or loss or destruction of mail.	3 years after completion of investigation.
9.	<u>COMSEC RECORDS,</u> consisting of forms, reports, and correspondence recording or relating to the accountability, transfer, inventory, receipt, and destruction of COMSEC material.	
a.	COMSEC card files.	1 year provided reconciliation of COMSEC material has been completed.
b.	Key Card and Key List Usage Reports.	1 month provided destruction report has been prepared and sent to agency COMSEC custodian.
c.	Other COMSEC accounting records.	1 year provided reconciliation of COMSEC material has been completed.

CONTRACTOR RECORDS SCHEDULE 13

PRINTING, BINDING, DUPLICATION, AND DISTRIBUTION RECORDS

This schedule provides for the retention or disposal of records relating to printing, binding, duplicating, and distribution. The principal records documenting these functions are: (a) records pertaining to requests for service, control, production, and distribution of individual jobs or projects (this material normally consists of requisitions requesting service and registers or similar media utilized to control the receipt of the requisitions, and to record the production, distribution, and cost analysis within the operating units); and (b) report files reflecting the activities of the unit responsible for handling, printing, binding, duplication, and distribution matters.

This schedule does not cover records retained for onsite audit by the General Accounting Office, and copies which are part of the receipt and disbursement account records (Schedule 6).

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1. (RESERVED)		
2. (RESERVED)		
3. <u>PROJECT FILES (WORK ORDERS).</u> Job or project records containing all papers and data pertaining to the planning and execution of printing, binding, duplication, and distribution jobs.	a. Files pertaining to the accomplishment of the job, containing requisitions, bills, samples, manuscript clearances, and related papers exclusive of records covered by schedule 3 which relate to services obtained from outside sources.  b. Files pertaining to planning and other technical matters.	1 year after completion of job.  3 years.
4. <u>CONTROL FILES.</u> Control registers pertaining to requisitions and work orders.		1 year after close of fiscal year in which compiled, or 1 year after filing of register, whichever is applicable.

CONTRACTOR RECORDS SCHEDULE 13

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
5. <u>MAILING LISTS.</u>		
	a. Correspondence, request forms, and other records relating to changes in mailing lists.	Until revision of mailing list, or after 3 months, whichever is earlier.
	b. Card lists.	Until individual cards are cancelled or revised.
	c. Plate or stencil mailing lists.	Until plates or stencils are cancelled or revised.
6. <u>PRINTING REPORTS FILES.</u> Reports and related records.		
	a. Contractor reports on printing regarding operation of Class A and B Plants and inventories of printing, binding, and related equipment in Class A and B Plants, or in storage.	3 years.
	b. Copies in subordinate reporting units and related workpapers.	1 year after date of report.

DOE 1324.2  
5-28-80

Attachment V-1  
Page 141 (thru 150)

CONTRACTOR RECORDS SCHEDULE 14  
(RESERVED)

CONTRACTOR RECORDS SCHEDULE 15

FACILITY RECORDS

This schedule applies to those records accumulated by contractor offices in the management, maintenance, and general upkeep of facilities such as buildings, structures, plants, laboratories, utilities, and houses; exclusive of design and construction drawings and related records covered by CRS 22, and those Industrial Facility Records covered by CRS 24. This schedule includes records documenting maintenance and repair of fixture-type equipment such as boilers; heating and ventilating systems, and equipment requiring the use of design and construction drawings to make repairs. (For other equipment see CRS 23.)

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	<b>FACILITY INVENTORY RECORDS.</b> Files accumulated by contractors acting as agents for DOE in connection with the execution of leases for the operation of commercial or other facilities, or other uses of Government property under lease.	3 years after close of fiscal year in which inventory is superseded.
a.	<u>Inventory Lists.</u>	
(1)	Individual tenant cards.	6 years after tenant vacates property.
(2)	Individual property cards.	6 fiscal years after close of fiscal year in which property is closed to tenancy or leaves DOE contractor control.
c.	<u>Lease Files.</u> Copies of leases, renewals, termination notices, and related papers.	6 fiscal years following close of fiscal year in which (a) lease termination, lapse or cancellation occurs, or (b) litigation is concluded, whichever is later.

CONTRACTOR RECORDS SCHEDULE 15

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
2.	<b>FACILITY MAINTENANCE RECORDS</b> include inspection, servicing, and repair records.	
a.	Summary card or ledger records reflecting maintenance and repair.	3 fiscal years following close of fiscal year in which unit is closed to tenancy or leaves contractor control.
b.	Inspection, service, maintenance, and repair records.	
(1)	Records reflecting unresolved monitored problems.	5 years after resolution of problem.
(2)	Records reflecting satisfactory inspection, service, maintenance, and repair including requisitions, requests for service, repair estimates, repair orders, work orders showing scheduled or completed maintenance or service, billings, and inspection reports.	
(a)	Boilers, electric motors, and unfired pressure vessels.	5 years.
(b)	Others.	3 fiscal years after close of fiscal year in which work is done.
3.	<b>MANAGEMENT RECORDS.</b>	
a.	Control and Supervisory Records, including operation and cost ledgers and worksheets providing cost and expense data for administration, or operation. Includes equipment hours of operation, scheduled and actual	3 years after date of last entry.

CONTRACTOR RECORDS SCHEDULE 15

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	hours of operation, hours idle, and repair hours. Includes power and utility plant records (e.g., power, water, heating, refrigeration, and air conditioning.)	
b.	<u>Power and Utility Plant Operational Source Records.</u> Including checklists, logs, inspection sheets, and other forms and records used to record the procedural steps followed by the operators, and instrument recorder charts, tapes, and graphs reflecting source data recorded in connection with the operation of various power and utility equipment.	3 months.

5-28-80

Page 161

CONTRACTOR RECORDS SCHEDULE 16ADMINISTRATIVE MANAGEMENT RECORDS

This schedule provides for the retention or disposal of certain records relating to administrative management activities in contractor organizations. These activities include the direction and control of mission operations and programs. The schedule excludes records of personnel, budget, accounting, and printing functions covered by other Contractor Records Schedules, but includes records of specialized procedural and management staffs. Included within the scope of the schedule are files of organizational planning, records management activities, and administration of programs. Contractor Records Schedule I (items 12 and 13) provides for the disposition of incentive award case files and similar types of management improvement programs.

Files pertaining to a management program in a well defined area, such as reports management, consist primarily of detailed case files on each form or report and for a limited period of time are of administrative importance. Files of programs covering broader and more diverse fields, such as organizational planning studies, normally consist of project files, established for each separate problem assigned for investigation; the resulting case file is usually of continuing value in documenting the history of how the contractor carried out its contract responsibilities. In addition, there are ephemeral administrative materials. These may include working papers that do not have a direct bearing on the transaction, preliminary or intermediate drafts of documents and preliminary worksheets that do not represent significant basic steps in the preparation of final drafts, letters or memoranda of transmittal and acknowledgement, routing slips, and extra copies of documents.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<b>1. DIRECTIVE CASE FILES.</b>		
	Management directives case files of contractors documenting policies and procedures pertinent to DOE work.	
a.	Master printed copy of each directive maintained by organizational entity responsible for directives management.	3 years after termination of contract.
b.	All other copies.	Nonrecord--destroy when no longer needed for reference.

CONTRACTOR RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
c.	Backup material supporting issuance of the directive.	15 years, or upon closeout of contract, whichever is earlier.
2.	PUBLICATIONS. Pamphlets, reports, leaflets, file manuals, or other published or processed documents, or the last annual report if not published, relating to management projects.	
a.	Record copy with the supporting papers which document the inception, scope, and purpose of the project.	
(1)	Documenting substantive programs and accomplishments.	3 years after termination of contract.
(2)	Others.	6 years, or 3 years after termination of contract, whichever is earlier.
b.	Working papers and background materials. See item 10.	
3.	RECORDS DISPOSITION FILES. Descriptive inventories, disposal authorizations, schedules and reports.	
a.	Basic Documentation of records disposition programs, including DOE Form AD-331, Records Retention and Disposal Authorization, Standard Form 115, Request for Records Disposition Authority, Standard Form 135, Records Transmittal and Receipt and related documentation; or other records retention and transfer documents, including descriptive lists, box and location information, disposal authority, access restrictions, and security classification of records.	Destroy when related records are destroyed, or when no longer needed for administrative or reference purposes.

CONTRACTOR RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Records Inventory and Disposition Schedules, DOE Form AD-384, or equivalent, containing a listing of filing units and general files of an organization; citation as to appropriate disposal authority; retention period; instructions for file cutoff, retirement, transfer, or disposal; and concurrences of responsible organizational authority.	Until superseded or obsolete.
c.	Records Disposal action notices used to notify retiring offices, records officers, and other interested parties of the destruction of records whose retention period has expired, including appropriate concurrences for their destruction.	1 year.
4.	<b>FORMS FILES.</b>	
a.	Form control files, consisting of copies of forms and flow schedules thereof, and including such information as purpose of each form to determine the need, adequacy, design, and form number.	1 year after form is cancelled.
b.	Working papers, background material, requisitions, specifications, processing data, and control records.	Destroy when related form is discontinued, superseded, or cancelled.
5.	<b>CORRESPONDENCE FILES.</b> General subject correspondence files, consisting of letters, memoranda, messages, studies, reports, forms, and other data documenting or implementing plans, policies, procedures, accomplishments, opinions, and decisions pertaining to DOE program and staff activities or pertaining to internal administration or operations.	

CONTRACTOR RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
a.	Files documenting the development of plans and policies pertaining to the mission, program, or function for which the concerned division, office, field office, laboratory, or contractor has primary responsibility; opinions and decisions of an important policy or precedent nature; and summary reports and data reflecting its overall accomplishments. (These files will generally be found in the offices of principal staff of Headquarters divisions and offices, field offices, laboratories, and contractors.)	Permanent.
b.	Files of an operational nature documenting implementation of the clearly established mission, programs, policies, and procedures for which the division, office, laboratory, or contractor has primary responsibility, provided that the documentation in a., above is preserved.	15 years.
c.	Files documenting transactions of a routine character, generally recurring type, which relate to local performance of particular transactions of a mission, program, or activity, and which essentially are summarized or duplicated in records described in b., above, maintained at a higher organizational level.	6 years.
d.	Files pertaining to internal administration and operations, and informational copies of correspondence, forms, publications, reports, and other issuances relating to temporary needs and routine nonmission or nonprogramming responsibilities.	2 years.

Attachment V-1  
Page 162

DOE 1324.2

5-28-80

CONTRACTOR RECORDS SCHEDULE 16		
ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
6.	RECORDS HOLDINGS FILES. Statistical reports of records holdings required by the General Services Administration, including feeder reports from all offices and data on the volume of records disposed of by destruction or transfer.	3 years.
7.	PROJECT CONTROL FILES. Memoranda, reports, and other records documenting assignments, progress and completion of projects.	Destroy 1 year after the year in which the project is closed.
8.	REPORT FILES.	
a.	(RESERVED)	
b.	Activity and Status reports, consisting of textual, statistical, or graphic matter, prepared periodically and reflecting activities in, or status of, assigned functions.	
(1)	Feeder or preliminary reports prepared by subordinate units for contractor management.	
(a)	Weekly and monthly reports.	3 years.
(b)	Quarterly, semiannual, and annual reports.	6 years.
(2)	Reports having archival and historical interest, including contractor management's periodic reports to DOE, semiannual and annual summary reports for plant operations, annual technical activity mission reports, and those describing and relating corrective action for unusual incidents and occurrences.	Permanent.
c.	Reports, Other Than Activity or Status Reports, usually concerning a single function or subject, prepared periodically, occasionally, or on one-time basis and directed to higher or equal levels of organization for summarization or total inclusion in final reports.	
(1)	Feeder or preliminary reports.	
(a)	Weekly and monthly reports.	1 year.
(b)	Quarterly, semiannual, annual, occasional, and one-time reports.	3 years.
(2)	Administrative and financial summary reports, covering functions, such as procurement, cost accounting, budget, personnel, inventories, field printing, and safety; prepared from source records by contractors periodically (monthly, quarterly, semiannually, annually) for submission to DOE in accordance with reporting requirements.	
(a)	Annual reports.	3 years, or after GAO audit, whichever is earlier.
(b)	Monthly, quarterly, and semiannual reports.	1 year.
d.	Trip Reports, reflecting activities engaged in on official travel of employees for the purpose of orientation, rendering assistance or taking studies; exclusive of reports regarding management appraisals.	3 years.

  

CONTRACTOR RECORDS SCHEDULE 16		
ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
e.	Management Appraisal Reports, documenting the findings, conclusions, and recommendations resulting from reviews of facilitating programs or functions of DOE components and contractors, prepared from data gathered during visits to installations, or from examination of reports and documents, or both; exclusive of audit reports and reports evaluating or appraising the substantive or programmatic functions of DOE and its contractors.	6 years.
9.	(RESERVED)	
10.	WORKING PAPERS. Project background records such as studies, analyses, notes, drafts, and interim reports.	Until 6 months after final action on project report, or 3 years after completion of report if no final action is taken.
11.	RECORDS MANAGEMENT FILES. Reports, correspondence, authorizations, techniques, and related records concerning the development and improvement of the management of records. Includes the management of files, forms, correspondence, call, reports, microfilm, automatic data processing, vital records, and related records not covered elsewhere in this schedule.	6 years.
12.	CONFERENCE AND COMMITTEE RECORDS.	
a.	Conference, Meeting, and Convention Records, including copies of plans, announcements, invitations, agenda, papers presented, summaries, and related reports.	

  

CONTRACTOR RECORDS SCHEDULE 16		
ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
(1)	International and national conferences in which DOE is a participant:	
(a)	Official files maintained by the contractor responsible for coordinating the DOE effort.	Permanent.
(b)	All other copies.	3 years, or when no longer needed for reference, whichever is earlier.
(2)	DOE-wide staff or field office meetings of mission (program) groups:	
(a)	Official files of sponsoring contractor.	Permanent.
(b)	All other copies.	2 years, or when no longer needed for reference, whichever is earlier.
(3)	DOE-wide staff or field office meetings of support groups:	
(a)	Official files of sponsoring contractor.	10 years.
(b)	All other copies.	2 years, or when no longer needed for reference, whichever is earlier.
(4)	Conferences, meetings, conventions, symposiums, and seminars not sponsored by DOE or its contractors.	

5-28-80

CONTRACTOR RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	(a) Reports containing summaries of views presented and action taken by the assembly and of benefits derived from DOE participation.	3 years.
	(b) All other material.	2 years, or when no longer needed for reference, whichever is earlier.
b.	<u>Board, Committee, Panel, Files</u> consisting of charter, notices, agendas, minutes, reports, recommendations, and correspondence directly related to the mission of the group.	
	(1) Official files of "Committees," "Panels," "Task Forces," "Study Teams," "Work Groups," established internally to provide information, advice, or recommendations to DOE or contractor management (exclusive of organizational surveys and studies).	15 years after termination of assignment.
	(2) Files maintained by individual members of committee, panel, task force.	Until superseded, obsolete, or upon termination of membership.
13.	<u>ORGANIZATIONAL RECORDS.</u>	
	a. Organization and functional charts; publications, policy announcements, issuances, instructions, and bulletins issued by and for contractor management.	

CONTRACTOR RECORDS SCHEDULE 16

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	(1) Record copies.	3 years after termination of contract.
	(2) Other copies.	Until superseded or obsolete.
b.	Surveys and studies or organizational units and operating procedures, including formal reports resulting therefrom, except for records otherwise covered in this or other schedules.	
	(1) Documenting mission programs.	3 years after termination of contract.
	(2) Others	Until superseded or obsolete, or when 15 years old, whichever is earlier.

CONTRACTOR RECORDS SCHEDULE 17

CARTOGRAPHIC, REMOTE SENSING IMAGERY, AND RELATED RECORDS

This schedule covers cartographic, remote sensing imagery, and related records. Records created prior to 1-1-50 must be offered to the National Archives before applying the disposition standards in this schedule.

Cartographic records include maps, charts (hydrographic, nautical, weather, and aeronautical), photocopies, atlases, cartograms, globes, and relief models. Related records are those records that form an integral part of the mapping process, such as field survey notes, geodetic controls, map history case files, source materials, indexes, and finding aids. Records of the mapping process in automated storage and retrieval systems are covered by Records Schedule 20.

Remote sensing imagery covers aerial photographs and visual images of the surface of the earth taken from airborne vehicles for evaluation, measuring, or mapping the cultural and physical features of the landscape; and related indexes.

Additional descriptive information applicable to the disposition instructions for selected items are included in explanatory notes at the end of this schedule.

This schedule is broad and complements other schedules.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	<u>MANUSCRIPT, STICKUP, AND ANNOTATED MAPS.</u> Maps for administrative use, research, or exhibits or wall displays; map enclosures to reports or correspondence; original topographic planimetric sheets, terrain sketches, and nautical depth-sounding sheets; final manuscript "smooth sheets" and "fair sheets" showing the results of surveys; maps or aerial photographic prints annotated with field survey information, initial hand-drawn photogrammetric stereoplottings from aerial photographs; and proofsheets or overlays that bear annotations resulting from field checking or verification of survey data or that are annotated to show source of information used on the map.	Submit DOE Form AD-331, Records Retention and Disposal Authorization.

CONTRACTOR RECORDS SCHEDULE 17

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
2.	<u>CARTOGRAPHIC RECORDS PREPARED DURING INTERMEDIATE STAGES OF PUBLICATION.</u> Scribes plastic sheets, color separation sheets, composites prepared as a step in the making of color separation sheets, photographic negatives, glass plate negatives, enlargements or reductions, color pulls, proof copies subject to final revision, "correction file" maps annotated to show corrections to be incorporated into the next edition of the published map, and similar items whose information content is duplicated by the final published map.	Destroy 1 year after publication of resultant map, or 1 year after no longer needed for revision.
3.	<u>PUBLISHED MAPS.</u> One copy of each contractor-produced published map, atlas, portfolio, and photomap, including each edition and variant, and all related indexes (in map or other form).	Permanent.
4.	<u>MAP HISTORY CASE FILES AND SOURCE MATERIAL.</u> Map chart history case files documenting planning, surveying, field work, and production and revision of specific maps, and sources of information, specifications, location diagrams, and cartographer's notes.	Submit DOE Form AD-331, Records Retention and Disposal Authorization.
5.	<u>MAPS ON MICROFILM.</u> <ul style="list-style-type: none"> <li>a. If both original hard copy maps and microfilm copies exist.</li> <li>b. If only the microfilm copies exist.</li> </ul>	<ul style="list-style-type: none"> <li>Submit DOE Form AD-331, Records Retention and Disposal Authorization.</li> <li>Follow disposition standard for related hard copy records.</li> </ul>

CONTRACTOR RECORDS SCHEDULE 17

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
6.	<u>COMPUTER-RELATED MAPS.</u> <ul style="list-style-type: none"> <li>a. One copy of each published, manuscript, or computer-produced map that shows the general geographic coverage of a computer system, or the geographic location of input stations.</li> <li>b. Hard copy maps acquired as sources of data for a computer system.</li> <li>c. Computer-plotted maps (hard copy printouts or microfilm output).</li> </ul>	<ul style="list-style-type: none"> <li>Permanent. Offer to National Archives within 10 years.</li> <li>Submit DOE Form AD-331, Records Retention and Disposal Authorization.</li> <li>Submit DOE Form AD-331, Records Retention and Disposal Authorization.</li> </ul>
7.	<u>CLOTHES, TERRAIN MODELS, AND RAISED RELIEF MAPS.</u> Three-dimensional terrain models and raised relief maps. <ul style="list-style-type: none"> <li>a. One representative sample of each type.</li> <li>b. Remaining items.</li> </ul>	<ul style="list-style-type: none"> <li>Permanent. Offer to National Archives within 1 year of production, or when no longer needed.</li> <li>Until no longer needed for Contractor use.</li> </ul>
8.	<u>FINDING AIDS.</u> Graphic or written indexes and other finding aids relating to maps.	Follow disposition standard for related maps.
9.	<u>SURVEY FIELD NOTES, GEODETIC CONTROLS, AND COMPUTATIONS.</u> (Hard copy or Microfilm). Field notes from surveys, observations, and explorations, consisting of a running account of the terrain, geological notes, water depths, a daily log or journal (often a notebook), triangulation diagrams, annotated aerial photographs, and survey computations.	Permanent. Offer to National Archives within 10 years after completion of resultant map.

CONTRACTOR RECORDS SCHEDULE 17

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
10. through 15. (RESERVED)		
16.	<u>VERTICAL AND OBlique AERIAL FILM, CONVENTIONAL AIRCRAFT.</u> Vertical and oblique film in black and white, color, or "false color," including photo indexes (controlled or uncontrolled mosaics), flight line indexes, or coordinate grid systems used as finding aids. <ul style="list-style-type: none"> <li>a. Original or master negative.</li> <li>b. Copy negatives, internegatives, rectified negatives, and glass plate negatives. <ul style="list-style-type: none"> <li>(1) Annotated.</li> <li>(2) Unannotated.</li> </ul> </li> <li>c. Prints. <ul style="list-style-type: none"> <li>(1) Annotated.</li> <li>(2) Unannotated.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Submit DOE Form AD-331, Records Retention and Disposal Authorization.</li> <li>Submit DOE Form AD-331, Records Retention and Disposal Authorization.</li> <li>Until no longer needed for contractor use.</li> <li>Submit DOE Form AD-331, Records Retention and Disposal Authorization.</li> <li>Until no longer needed for contractor use.</li> </ul>
17.	<u>INFRARED, ULTRAVIOLET, MULTISPECTRAL (MULTIBAND), VIDEO, IMAGE RADAR, AND RELATED DATA TAPES, CONVERTED TO A FILM BASE.</u> <ul style="list-style-type: none"> <li>a. Original or master negative.</li> </ul>	Submit DOE Form AD-331, Records Retention and Disposal Authorization.

CONTRACTOR RECORDS SCHEDULE 17

<u>ITEM</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b.	Prints.	
(1) Annotated.	Submit DOE Form AD-331, Records Retention and Disposal Authorization.	
(2) Unannotated.	Until no longer needed for contractor use.	

18. **FINDING AIDS.** Photo mosaics flight line indexes, coded grids, coordinate grids, and other finding aids relating to remote sensing imagery.

Follow disposition standard for related remote sensing imagery records.

EXPLANATORY NOTES

Items 1 through 9

The term "map" is used as a generic term for maps, charts, cartograms, and atlases. The word "published" is used to mean maps or charts reproduced in multiple copies by printing, photograpgh, or similar processes. If hand-corrected editions are filed with other published maps in a central or master file, do not remove the hand-corrected copies; instead, maintain the file in original order.

Item 6b

Maps used for input into a computer system may have enduring value for explaining the unique information used in the system or to verify the original source of information. If the maps are arranged in a numbered or alphabetized file, retain the original and complete order. Finding aids should be retained in conjunction with the maps.

Item 6c

An evaluation of these maps must take into account the reproducibility, repetitive nature, access, and legibility of the maps.

CONTRACTOR RECORDS SCHEDULE 17

Item 7

Globes are often unique and valuable items of cartographic expression and may have enduring value (except multiple copies). One sample of each globe produced or accumulated by the contractor in an official capacity should be preserved permanently.

Item 8

Graphic indexes are maps containing lines, symbols, or colors designed to show the geographic coverage, limits, or state of completion of each item in a series or multiple set of map records. Other finding aids may include written map lists, box lists, card file indexes, or magnetic tape or other machine-readable finding aids.

Item 9

Survey notes in machine-readable form may be permanently valuable. Guidelines for the disposition of automated records are found in Records Schedule 20.

Item 16

Vertical aerial film consists of film images that are exposed with the optical axis of the camera approximately perpendicular to the earth's surface and with the film image as nearly horizontal as practicable.

Oblique aerial film consists of film images that are made with the camera axis directed between the horizontal and the vertical. Oblique photography is generally used for reconnaissance purposes and may be repetitive. If repetitive, representative samples may be selected by agreement with National Archives.

Item 17

These sensor systems provide photographic imagery, sometimes after conversion or transferal of information from raw data. The film is considered to be the primary record. The raw data, if machine-readable, is covered by Records Schedule 20. (Nonphotographic sensor records such as microwave, radiometer, thermal infrared, thermal ultraviolet, and nonimaging radar are not covered by this schedule.)

5-28-80

CONTRACTOR RECORDS SCHEDULE 18SECURITY AND PROTECTIVE SERVICES RECORDS

Security and protective services records include the various files created by contractors to control and protect classified information; to protect Government facilities from unauthorized entry, sabotage, or loss; to ensure the adequacy of protective measures at privately owned plants given security cognizance by the Government; to determine loyalty and fitness of individuals employed by or seeking employment from the contractor, and to develop and implement plans for the protection of life and property under emergency conditions. Also included are files of security units, guard forces, and other organizational elements documenting the control of classified information, access to facilities, and like matters.

This schedule authorizes for disposal records documenting administrative actions relating to the above functions.

SECURITY AND PROTECTIVE SERVICES PROGRAM RECORDS

Records accumulated in the administration of security and protective services programs. They relate to classified information accounting and control, facilities security and protective services, personnel security clearance, and emergency planning.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
-----------------	-------------------------------	-------------------------

1. (RESERVED)

CLASSIFIED INFORMATION ACCOUNTING AND CONTROL RECORDS

Records accumulating from measures taken to protect classified information from unauthorized disclosure in accordance with Executive Order 10501, other Executive orders, or statutory or regulatory requirements.

2. (RESERVED)

3. DOCUMENT RECEIPT FILES. Classified documents receipts, relating to the receipt and issue of classified documents. 2 years.4. DESTRUCTION CERTIFICATES. Classified documents destruction certificates relating to the destruction of classified documents. 2 years.CONTRACTOR RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
-----------------	-------------------------------	-------------------------

5. CLASSIFIED DOCUMENT INVENTORY FILES. Forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents relating to Top Secret material covered elsewhere in this schedule. 2 years.TOP SECRET ACCOUNTING AND CONTROL FILES.

a. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents. 5 years after documents shown on forms are downgraded, transferred, or destroyed.

b. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data. Until related document is downgraded, transferred, or destroyed.

7. ACCESS REQUEST FILES. Requests and authorizations for individuals to have access to classified files. 2 years after authorization expires.8. CLASSIFIED DOCUMENT CONTAINER SECURITY FILES. Forms or lists used to record safe and padlock combinations, names of individuals knowing combinations, and comparable data used to control access into classified document containers. Until superseded by a new form or list, or upon turn-in of containers.CONTRACTOR RECORDS SCHEDULE 18FACILITIES SECURITY AND PROTECTIVE SERVICES RECORDS

Records relating to measures taken for the protection of Government-owned facilities and privately operated facilities given security cognizance by the Government from unauthorized entry, sabotage, or loss.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
9.	(RESERVED)	
10.	<u>SURVEY AND INSPECTION FILES (GOVERNMENT-OWNED FACILITIES)</u> . Reports of surveys and inspections of Government-owned facilities conducted to ensure adequacy of protective and preventive measures taken against hazards of fire, explosion, and accidents, and to safeguard information and facilities against sabotage and unauthorized entry.	3 years, or 3 years after termination of facility, whichever is sooner.
11.	<u>SURVEY AND INSPECTION FILES (PRIVATELY OWNED FACILITIES)</u> . Reports of surveys and inspections of privately owned facilities assigned security cognizance by Government agencies; and related papers.	4 years, or 3 years after termination of facility, whichever is sooner.
12.	<u>INVESTIGATIVE FILES</u> accumulating from investigations of fires, explosions, and accidents, consisting of retained copies of reports and related papers when the original reports are submitted for review and filing in DOE or other contractor organizational elements, and reports and related papers concerning occurrences of such a minor nature that they are settled locally without referral to other organizational elements.	2 years.
13.	<u>PROPERTY PASS FILES</u> authorizing removal of property or materials.	3 months after expiration or revocation.
14.	<u>GUARD ASSIGNMENT FILES</u> relating to guard assignments and strength.	

CONTRACTOR RECORDS SCHEDULE 18

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
-----------------	-------------------------------	-------------------------

a. Ledger records. 3 years after final entry.

b. Requests, analyses, reports, change notices, and other papers relating to post assignments and strength requirements. 2 years.

15. POLICE FUNCTIONS FILES. Files relating to the exercise of police functions.

a. Ledger records of arrest, cars ticketed, and outside police contacts. 3 years after final entry.

b. Reports, statements of witnesses, warning notices, and other case papers relating to arrest, commitments, and traffic violations. 2 years.

c. Reports on contact of outside police with building occupants. 1 year.

16. PERSONAL PROPERTY ACCOUNTABILITY FILES relating to accountability for personal property lost or stolen.

a. Ledger files. 3 years after final entry.

b. Reports, loss statements, receipts, and other papers relating to lost and found articles. 1 year.

17. KEY ACCOUNTABILITY FILES relating to accountability for keys issued. For areas under maximum security, destroy 3 years after turn-in of key. For other areas, destroy 6 months after turn-in of key.

CONTRACTOR RECORDS SCHEDULE 1B

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
18. <u>VISITOR CONTROL RECORDS.</u>		
(a) Visitor registration cards or similar records, documenting admission of visitors (or employees without official passes) to administrative or restricted areas, or installations--reflecting such data as name of visitor, time in and time out, verification of appointment occasioning visit, whether "Q" cleared or under escort, names of escorts, names of persons receiving visitor, and identification of articles in visitor's possession upon departure.	Restriction: Facilities where exposure to radiation could occur, destroy 50 years after date of document.	
(b) Registers of persons authorized access to exclusion areas, maintained by patrolmen on duty, and recording such data as name of employee or firm, vehicle number, time checked in and out, reason for entrance, signature of person, and name or initials of patrolman.	Unless restricted above, for areas under maximum security, destroy 5 years after final entry or 5 years after date of document, as appropriate; for other areas, destroy 2 years after final entry or 2 years after date of document, as appropriate.	
19. <u>FACILITIES CHECKS FILES</u> relating to periodic guard force facility checks.		
a. Data sheets, door slip summaries, checksheets, and guard reports on security violations (except copies in files of Departmental security offices covered by Item 25 of this schedule).	1 year.	
b. Reports of routine after-hours security checks which either do not reflect security violations, or for which the information contained therein is documented in the files defined in Item 25 of this schedule.	1 month.	

CONTRACTOR RECORDS SCHEDULE 1B

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
26. (RESERVED)	of files concerning felonies and papers placed in official personnel folders.	
<u>EMERGENCY PLANNING RECORDS</u>		
27. (RESERVED)	Records accumulating from the formulation and implementation of plans (such as evacuation plans) for protection of life and property during emergency conditions.	
28. <u>EMERGENCY PLANNING CASE FILES</u> accumulated by offices responsible for preparation and issuance of plans and directives, consisting of a record copy of each plan or directive issued, with related background papers.	See Records Schedule 16, Item 2.	
29. <u>EMERGENCY DIRECTIVES REFERENCE FILES</u> . Copies of plans and directives, other than those maintained in case files described in Item 28 above.	Until superseded or obsolete.	
30. <u>EMERGENCY PLANNING REPORTS</u> . Reports of operations tests, consisting of consolidated or comprehensive reports reflecting results of tests conducted under emergency plans.	See Records Schedule 16, Item 5b.	
31. <u>EMERGENCY OPERATIONS TESTS FILES</u> . Papers accumulating from tests conducted under emergency plans, such as instructions to members participating in test, staffing assignments, messages, tests of communications and facilities, and retained copies of reports.	3 years.	

CONTRACTOR RECORDS SCHEDULE 1B

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
20. <u>GUARD SERVICE CONTROL FILES.</u>		
a. Control center key or code records, emergency call cards, and building record and employee identification cards.	Until superseded or obsolete.	
b. Round reports, service reports on interruptions and tests, and punch clock dial sheets.	1 year.	
c. Automatic machine patrol charts and registers of patrol and alarm services.	1 year.	
d. Arms distribution sheets, charge records, and receipts.	3 months after return of arms.	
21. <u>LOGS AND REGISTERS</u> . Guard logs and registers not covered elsewhere in this schedule.		
a. Central guard office master logs.	2 years after final entry.	
b. Individual guard post logs of occurrences entered in master logs.	1 year after final entry.	

PERSONNEL SECURITY CLEARANCE RECORDS

Records accumulating from investigations of personnel conducted under Executive Order 10450, other Executive Orders, or statutory or regulatory requirements.

22. (RESERVED)		
23. (RESERVED)		
24. <u>PERSONNEL SECURITY CLEARANCE STATUS FILES</u> , either in the form of lists or rosters.	Until superseded or obsolete.	
25. <u>NONFELONIOUS SECURITY VIOLATION FILES</u> . Case files relating to investigations of alleged security violations, but exclusive	2 years after completion of final corrective or disciplinary action.	

5-28-80

CONTRACTOR RECORDS SCHEDULE 19RESEARCH AND DEVELOPMENT RECORDS

These are records created by contractors in the conduct of technical and scientific research and development (R&D) activities to develop new concepts, techniques, equipment, and materials, or modify those in existence. The records relate to such phases of research and development as the establishment of requirements and preliminary characteristics, experimentation, design, engineering, modification, testing, and acceptance. They accumulate at various organizational levels, such as offices responsible for program direction, and laboratories.

Scientific data accumulating during the conduct of a specific project are generally recorded in laboratory notebooks, and later summarized in technical reports. While the technical reports will normally show the progressive and final results of the research effort, they do not always show how these results were achieved, or when a theory, device, or process was first conceived or reduced to practice. The laboratory notebooks and other subsidiary scientific papers record the methods and procedures used daily by the scientist in research performance, and may possess value for the establishment of patent or invention rights.

The work of a major research and development project or system may be assigned to various contractor organizational elements. These work assignments may be designated as "sub-projects," "tasks," or "phases." They are generally identified with the major project or system through the project numbering or classification system. The term "project" as used in this schedule includes any related sub-projects, tasks, or phases. It is desirable that these related records be consolidated into a single project file prior to transfer to a Federal Records Center. However, for projects of long duration, where volume or other factors preclude retaining the records locally until completion of the entire project, records of individual subprojects, tasks, or phases may be transferred to Federal Records Centers following the requirements in standard 3 of this schedule.

ITEM NO. DESCRIPTION OF RECORDSRETENTION PERIOD

1. **R&D PROGRAM FILES.** Program documents, schedules, and correspondence maintained by offices responsible for execution, review, and analysis of contractor research and development programs, and relating to the general planning and supervision of the programs.

Permanent.

CONTRACTOR RECORDS SCHEDULE 19ITEM NO. DESCRIPTION OF RECORDSRETENTION PERIOD

2. (RESERVED)

3. **R&D PROJECT CASE FILES.** Project Case Files reflecting the history of a project from initiation to completion, including research, development, design, and test results. Included are records such as: project proposal; review memoranda and comments; project authorizations and directives; copies of unpublished manuscripts, journal articles, and conference papers; progress reports; correspondence influencing the direction of the project; and lists of publications and files resulting from the project.

- a. Case files deemed by DOE, contractor, or the National Archives to have exceptional value because of the highly significant nature of the research and development involved or uniqueness of the case file. Included are files that:

- (1) Show development of new and significant techniques.
- (2) Relate to new and significant methodology and materials.
- (3) Were the subject of Congressional investigation or came under intensive public scrutiny.
- (4) Result in judicial decisions or legislative activities affecting the functions and activities of DOE.
- (5) Result in significant changes in the functions of the DOE.

Permanent.

ITEM NO. DESCRIPTION OF RECORDSRETENTION PERIOD

- b. All other case files

15 years.

4. (RESERVED)

5. **R&D SOURCE DATA FILES.** Punch cards, electronic tape, or comparable media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations of a routine, repetitive nature, and used for reference in arriving at determinations in the conduct of research projects

Dispose of when determined by competent scientific research personnel that the files have served all research purposes. CRS-20, Machine-Readable Records, provides disposition guidelines.

6. **R&D LABORATORY NOTEBOOKS FILES.** Notebooks containing technical and scientific data accumulating from the conduct of research and development.

Retain 25 years, and then follow b., and c., requirements below.

- a. Notebooks containing data essential in establishing patent or invention rights.
- b. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file.

Destroy 6 months after completion or termination of the related project or projects.

- c. Other notebooks.

Submit DOE Form AD-331, Records Retention and Disposal Authorization.

7. **R&D TECHNICAL REPORT FILES.** Published and unpublished scientific and technical reports.

Permanent.

- a. Record copy of reports not sent to Technical Information Center (TIC), Oak Ridge.

CONTRACTOR RECORDS SCHEDULE 19ITEM NO. DESCRIPTION OF RECORDSRETENTION PERIOD

- b. All other copies.

Nonrecord--return to library when no longer needed for reference.

8. **R&D DRAWING AND SPECIFICATION FILES.** An official file copy of each drawing and specification showing final design and technical characteristics of items developed.

See CRS 22, Design and Construction Drawings and Related Records, for disposition instructions. See also CRS 26, Nuclear Weapon Records.

9. (RESERVED)

10. **R&D PROJECT CONTROL FILES.** Copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent scientific and technical personnel not to be of sufficient value for incorporation into project case files.

Destroy upon completion or cancellation of project, or earlier, as they serve their purpose.

11. (RESERVED)

12. (RESERVED)

13. (RESERVED)

14. **R&D TECHNICAL REFERENCE FILES.** Copies of technical reports, specifications, drawings, and other technical and scientific data received from Government agencies, commercial concerns, or other sources, used as a reference source in the performance of the research and development function, but exclusive of official file copies of these documents.

Until superseded or obsolete.

15. **PARTICLE ACCELERATOR EXPERIMENT RECORDS**  
resulting from experiments conducted with particle accelerators (spark chamber, bubble chamber).

**Attachment V-1**  
**Page 200 (thru 210)**

**DOE 1324.2**

**5-28-80**

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>	<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
a.	Raw data recorded on film, magnetic tape, punched cards, computer printouts, record charts, logs.	Until pertinent data have been extracted, reduced or summarized, evaluated, and interpreted and the raw data is no longer needed for experiments; or 5 years following the acquisition of the data, whichever is earlier, provided that the data have been reviewed by qualified scientific personnel and determined to have no probable value for secondary evaluations or future, different experiments.	g.	Pressure Logs listing hourly barograph readings and corrections, station pressures, and temperatures.	10 years.
b.	Raw data determined to have probable value for secondary evaluations or future different experiments.	Review annually, dispose of when no longer of value for research purposes.	h.	Surface Weather Observation Data listing sky and ceiling, visibility; sea level pressure; temperature, dew point; direction, speed, and character of winds, and total sky cover.	10 years.
c.	Summary data or data reflecting unusual occurrences recorded on film, magnetic tapes, punched cards, computer printouts, logs, and notebooks which serve as backup for reports generated during experiments.	15 years.	i.	Summary Records concerning pressure, sky cover, humidity, frost, fog, and miscellaneous weather phenomena, including data and readings on frontal passage and chinook inversions.	10 years.
d.	Final reports reflecting the results of experiments conducted with particle accelerators.	Permanent.	j.	Precipitation Measurements and summaries, listing water in rain gauge, snow, sleet or ice on the ground, water equivalent, and unquoted amounts, together with observer's remarks.	10 years.
16.	<b>WEAPON FIELD TEST RECORDS</b> accumulated at test sites and consisting of various types of motion picture film, oscilloscopes, and magnetic tapes, on which are recorded raw or unevaluated data; and evaluation data resulting from study of above material, including memoranda, graphs, tabulations, reports, and related papers referred to collectively as "Reduced Data."		k.	Meteorological Recorder Charts recording wind velocity and direction, temperature, solar radiation, thermograph and hydrograph readings, and atmospheric pressure over 24-hour periods.	5 years.
			l.	Pilot Balloon ascension reports, indicating elevation of balloon at minute intervals, azimuth, distance, speed, temperature, and observer's remarks.	2 years.
			m.	Weather Maps and Charts on which are plotted weather information received by teletype, including pseudoadiabatic charts, United States Weather Bureau (U.S.W.B.) plotting charts, U.S.W.B. plotting charts, and upper air charts.	2 years.

**CONTRACTOR RECORDS SCHEDULE 19**

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
a.	Raw test data, consisting of Mitchell camera film, Astakta Phototeleodolite film, and Fastex film; trajectory data oscilloscopes, telemetry oscilloscopes, and magnetic tapes.	5 years, or 1 year after completion of final evaluation report of test project, whichever comes first.
b.	Reduced data, as described above.	Until complete weapon or subassembly becomes obsolete and is removed from stockpile.
17.	<b>SYNOPTIC METEOROLOGY RECORDS</b> accumulated to evaluate, interpret, and determine meteorological and climatological conditions bearing on engineering and contamination problems.	
a.	Wind Logs recording wind speed and direction at hourly intervals and at various levels.	10 years.
b.	Summary Sheets recording actual and average wind speeds and direction.	10 years.
c.	Reports of Synoptic Wind Observations listing wind velocities and direction at half hour intervals in each project area.	10 years.
d.	Soil and Air Temperature Logs, recording temperatures at half hour intervals at various levels below and above surface.	10 years.
e.	Solar Radiation Logs recording hourly averages and daily totals of solar radiation, direct and indirect, received on a horizontal surface.	10 years.
f.	Psychrometric Computations, figured from wet and dry bulb readings, dew point, relative humidity, and adjustment figures taken from other records.	10 years.

**CONTRACTOR RECORDS SCHEDULE 19**

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
n.	Background Recording Charts and monitor logs measuring miscellaneous background readings of air contamination.	1 year.

CONTRACTOR RECORDS SCHEDULE 20MACHINE-READABLE RECORDS

This schedule covers machine-readable records and related documentation. Machine-readable records require processing and decoding for conversion to human-readable information and are usually stored on media which make them easy to modify and update. Federal statutes and regulations define Federal records as the products of Government business and specifically include all media on which they may be recorded. When information exists in both machine-readable and hard copy forms including computer output microfilm (COM), various factors bear on the decision of which medium should be retained for archival purposes. Among these are the relative cost of storage and preservation, the relative convenience of reference, and the facility with which most hard copy forms may be regenerated from machine-readable files (a process which is costly to reverse).

The disposition of data on media other than computer magnetic tape (such as, punch cards, paper tape, disc packs, or drums) is authorized by this schedule; however, magnetic tape is usually required for transfer of archival data to the National Archives.

Machine-readable records differ from records on other media in four important ways:

1. The machine-readable media on which they are most often recorded are erasable and reusable, thus creating a cost effectiveness factor in their management which is not present with more permanent media.
2. The magnetic media on which most machine-readable records are recorded are not designed to be permanent storage media for records. Thus the fragility of most information in machine-readable form makes it mandatory that such records be brought under control as early as possible in their life cycle. Ideally this control should be exercised at the time a system is created, even before it has generated records. If this is done, disposition standards can be written on the medium as an integral part of the internal file label. Early identification of files of archival value ensures that they are stored under optimum conditions.
3. Due to the ease with which machine-readable records may be updated or revised and the media reused, their life cycle is briefer and more complex than that of other records. While the master file is most often of archival value, sometimes other versions should be retained because their informational content is more complete than related master files or especially relevant to contractor policy, decisions, or special reports.

CONTRACTOR RECORDS SCHEDULE 20

4. Because machine-readable records must be subjected to both mechanical and electronic processing and decoding to be converted to human-readable information, the records, revealing such processes (documentation) must be scheduled with the machine-readable records.

The qualities which separate machine-readable records from those on other media also make it difficult to produce a subject-oriented schedule for machine-readable records. Thus, this schedule categorizes records for disposition standards on the basis of the kinds of records or files that are common to most ADP systems. They are divided into three classes:

Documentation (Part I) covers those records required for servicing machine-readable records--for converting them from human-readable information to encoded data and vice versa. These are the descriptive documents required to initiate, develop, operate, and maintain specific applications of ADP systems. The disposition of documentation is linked to the disposition of the related machine-readable files.

Processing files (Part II) are those machine-readable files employed to create and use a master file. Processing files include work files, raw data input files, publication files, and security backup files. Processing files generally do not qualify for long term retention. Those for which disposal is not authorized may contain more complete information than the related master file or be especially relevant to contractor policy, decisions, or special reports and thus possess potential historical value. Application of the schedules for processing files will increase the availability of space on machine-readable media and reduce DOE expenditures for additional stock of magnetic media.

Master files (Part III) constitute the definitive state of a data file in a system at a given time. Such files are categorized in this schedule only partly on the basis of subject content. Other important considerations regarding disposition are the format of the data file and the manner in which it is updated. Such variables influence the scope of the informational value of a file and may require submission of DOE Form AD-331, Records Retention and Disposal Authorization.

The decision table format is used for two reasons: (1) It reduces requirements for explanatory footnotes, and (2) assists the user in conceptualizing the many categories and subcategories of records involved.

PART I - DOCUMENTATION

File function designation	Consisting of	Which are	Then
1 Date system specifications	documents containing definitions of the system including functional requirements, data requirements, system or subsystem specifications, requests for the System, and authorizing directives	for a disapproved proposed system	dispose of proposed system 1 year after final action.
2	For an approved system for which all related magnetic data files are authorized for disposal	For an approved system for which all related magnetic data files are authorized for disposal	dispose of related data file. 1 year after discontinuance of the system.
3	For an approved system for which any related magnetic data file is not authorized for disposal	For an approved system for which any related magnetic data file is not authorized for disposal	retain with related data file.

PART I - DOCUMENTATION

File function designation	Consisting of	Which are	Then
6 File specifications	definitions of the logical and physical characteristics of each record, element, or item of data in the file, including names and tags or labels; relate the position, form, format and size of data elements (record length); specifications of all codes used; cross references code numbers, security and privacy characteristics; update and access conditions; recording angles and volume	for a system for which all related magnetic data files are authorized for disposal	dispose of related data file.
7	For a system for which any related magnetic data file is not authorized for disposal	For a system for which any related magnetic data file is not authorized for disposal	dispose of related data file.
8 User guides	information which sufficiently describes the functions of the system in non-ADP terminology so that users can determine its applicability and when and how to use it; serves for the preparation of input data and the interpretation of results	handbooks, guides to data availability, and procedures for querying files	retain with related data system specifications.
9 Output specifications	detailed descriptions of products of the system that are to be used outside the computer center	listings of each type of output by title and format specifications, selection criteria, volume and frequency, media, graphic displays and symbols, security and privacy conditions and disposition of output	retain with related data file. 1 year after completion of testing.

5-28-80

File function designation	Consisting of	Which are Then
1 Work	Temporary machine-readable media used by console operators or tape handlers to facilitate general computer runs such as sorts and merges	new media, or media not included in a library control system, or files whose retention dates have expired
2 Test data	Machine-readable media used in testing a system	routine or benchmark data sets constructed or used for the purpose of testing
3 Initial data	Machine-readable media containing data extracted from source documents or other media and entered into the system for the first time per update cycle	used for updating and required to support reconstruction of master file
4		not required to support reconstruction of master file or used as input for a one-time study, survey or experiment
5		officially designated to replace or serve as the basic source data in lieu of the hard copy or other input source document applicable to the hard

PART I - DOCUMENTATION

File function designation	Consisting of	Which are Then
10 Reports	printed final reports containing the statistical tabulations and an analysis of the findings of a study or survey including a narrative description of methodology employed	for systems which require retention of related date
11 Information retrieved routine	series of cache instructions designed to retrieve information from specific data systems	for systems which require retention of related date
12		dispose of when no longer needed.
13		special purpose programs for data files for which disposal is authorized
		special purpose programs for data files for which disposal is not authorized

PART II - PROCESSING FILES

File function designation	Consisting of	Which are Then
9	retained by ADP operations as backup to magnetic media	dispose of when no longer needed.
10	converted to magnetic media	dispose of after verification of data on related magnetic media.
11	punched cards that contain original entry data with files or written inserts	source documents dispose of in accordance with instructions applicable to the hard copy or other files documenting the base process.
12	machine-readable media containing output within or from one run to a subsequent run that manipulates, sorts, or moves data through the system. Includes checkpoint,	used in an updated system dispose of after subsequent date

PART II - PROCESSING FILES

File function designation	Consisting of	Which are Then
10 Reports	printed final reports containing the statistical tabulations and an analysis of the findings of a study or survey including a narrative description of methodology employed	for systems which require retention of related date
11 Information retrieved routine	series of cache instructions designed to retrieve information from specific data systems	for systems which require retention of related date
12		dispose of with related file.
13		retain with related data file.

File function designation	Consisting of	Which are	Then
17 Information retrieval system master reference	machine-readable media containing data created by the merging of prior master file with valid transaction data to create a new master file	a cumulative index to scientific and technical publications, and bibliographic and other nonrecord material	dispose of after third update cycle. <sup>1</sup>
18		an index to record material such as correspondence, legal hearings, patents, and trademarks, and record copy of publications	submit DOE Form AD-331, Records Retention and Disposal Authorization.
19		an "audit trail" of a file not disposable under this schedule	dispose of as provided for related master data file.
20 Publication	machine-readable media containing source output data extracted from the system (without destroying the source file)	reproduced and disseminated as a publication or used for producing a printed publication of less historical preservation value than the machine-readable media used to produce it	submit DOE Form AD-331, Records Retention and Disposal Authorization.

## PART II - PROCESSING FILES

File function designation	Consisting of	Which are	Then
13	edit, correction, reject list, unmatched data eliminating error, and rerun files.	used in a one-time study or survey	have been created and proven satisfactory.
14 Valid transaction	machine-readable media containing items used with an input master file for creation of an output master file	updates of items liquidated from current status files	dispose of after third update cycle. <sup>1</sup>
15		valid transaction after cumulative final master file is prepared and determined to be successful, and there is no necessity for statistical analysis	dispose of after third update cycle. <sup>1</sup>
16		used in additional analysis	submit DOE Form AD-331, Records Retention and Disposal Authorization.

## PART II - PROCESSING FILES

File function designation	Consisting of	Which are	Then
1 Housekeeping system master file	machine-readable media containing data for such "housekeeping systems" as fiscal accountability, supply management, and payroll administration	not required for GAO site audit	dispose of in accordance with instructions applicable to hard copy or other files documenting the same process, transaction, or case.
2		required for GAO site audit	dispose of in accordance with hard copy records, retention requirements for records subject to GAO audit.
3 Federal loan and grant program master file	machine-readable media containing data created by the merging of prior master file with valid transaction data to create a new master file (initial data includes excerpts from forms placed in case files)	cumulative data of funds made available through federally supported loan and grant programs	dispose of after third update cycle. <sup>1</sup>
4	noncumulative periodic files of status of Federal loan and grant activity	submit DOE Form AD-331, Records	

## PART III - MASTER FILES

File function designation	Consisting of	Which are	Then
21 Print	machine-readable media containing source output data extracted from the system (without destroying the source file)	used for producing required printouts of tabulations, ledgers, cables registers, and reports of an extremely specialized nature having less historical preservation value than the machine-readable media used in producing them	submit DOE Form AD-331, Records Retention and Disposal Authorization.
22 Security backup	machine-readable media that is identical in format to master file and retained as security in case master file is damaged or inadvertently erased	updated	dispose of after third update cycle.
23		a one-time study or survey	dispose of as provided for related master file.

## PART III - PROCESSING FILES

PART III - MASTER FILES

File Function designation	Consisting of	Which are	Then
9 (RESERVED)			
10 (RESERVED)			
11 Summary file	machine-readable media containing aggregates of individual observations from valid transaction or master data files	substantially unpublished, or contain data in greater detail than published versions	submit DOE Form AD-331, Records Retention and Disposal Authorization.

PART III - MASTER FILES

File Function designation	Consisting of	Which are	Then
4			submit DOE Form AD-331, Records Retention and Disposal Authorization.
5 Statistical master file	machine-readable media containing data created by the merging of prior master file with valid transaction data to create a new master file	observations such as data used to generate economic indicators, social indicators, and data on characteristics use, and ownership of natural resources	submit DOE Form AD-331, Records Retention and Disposal Authorization.
6		used to prepare reports covering a limited period of time; recurring periodic surveys and censuses	submit DOE Form AD-331, Records Retention and Disposal Authorization.

7 (RESERVED)

8 (RESERVED)

PART III - MASTER FILES

File Function designation	Consisting of	Which are	Then
13		of specific application for DOE computer hardware systems	dispose of when determination is made that such format is unnecessary.
14 Samples, subsamples, and special studies	machine-readable media containing data selected from a larger census or survey file	disclosure free or useful in statistical analysis or policy formulation models and simulation studies	submit DOE Form AD-331, Records Retention and Disposal Authorization.
15 Master data file (exclusive of those provided for above)	machine-readable media containing data created by merging of prior master file with valid transaction data to create a new master file	cumulative data on various DOE projects, programs, and functions	(to be obtained)

noncumulative data on various DOE projects, programs, and functions. (to be obtained)

CONTRACTOR RECORDS SCHEDULE 20

EXPLANATORY NOTES

1. "Dispose of after third update cycle" indicates that first generation data may be disposed of after the fourth successful update.
2. Records received by the contractor from a source outside the contractor organization become the records of the receiving contractor under either of two conditions:
  - a. When the data is merged or reduced by the receiving contractor, and no comparable copy exists in the originating source (if Government or contractor); and
  - b. When the data is provided by an outside source in a form designed to meet the needs of the receiving contractor and no comparable copy exists in the originating source (if Government or contractor).
- In such cases the resulting data file should be scheduled according to the appropriate category listed in this schedule, where applicable.

CONTRACTOR RECORDS SCHEDULE 21

AUDIOVISUAL RECORDS

This schedule covers audiovisual and related records. Audiovisual records include still pictures, motion pictures, sound recordings, video recordings, and related documentation used for, or necessary to, the proper identification and retrieval, or bearing on the origin, acquisition, use, and ownership of these records.

Audiovisual records that may have continuing legal, administrative, and research value are of two kinds: (1) those created, acquired, used, or distributed on behalf of DOE for informational purposes, and (2) those generated in conjunction with the transaction of contractor business or resulting from contractor program responsibilities. The latter constitute evidence of the organization, functions, policy development, decisions, procedures, operations, or other activities of the contractor. Additional descriptive information applicable to the disposition instructions for selected items are included in explanatory notes at the end of this schedule.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<b>STILL PICTURE FILES.</b> Still photographs, slide sets, filmstrips, posters, original artwork, and other pictorial records that:	
a.	Provide documentation of contractor's organization, functions, policies, procedures, and essential transactions; or contain information that is unique in substance, arrangement, or manner of presentation, and unavailable in another form; or document events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to National Archives when no longer needed for administrative use or when 10 years old, whichever is later.
(1)	Still photographs.	
(a)	Black and white photography - the original negative and a captioned print.	
(b)	Color photography--the original color transparency or color negative, a captioned	

CONTRACTOR RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	print, and an internegative if one is available.	
(2)	Other still pictorial records--the original and a reference print of each.	
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
c.	Are not permanent records as described under item 1a of this schedule.	Until no longer needed for administrative use.
d.	Are faulty or technically poor photography.	Destroy immediately.
2.	<b>MOTION PICTURE FILES.</b> Motion picture films, including negatives, masters, and prints of productions and unedited outtakes and trim that:	
a.	Provide documentation of contractor's organization, functions, policies, procedures, and essential transactions; or contain information that is unique in substance, arrangement, or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to National Archives when no longer needed for administrative use, or when 5 years old, whichever is later.
(1)	DOE-sponsored files intended for distribution--the original negative or color original plus separate optical soundtrack, an intermediate	

CONTRACTOR RECORDS SCHEDULE 21

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	master positive or duplicate negative plus optical soundtrack, and a sound projection print.	
(2)	Films produced by or for Contractors--films that are intended for internal staff use--the original negative or color original plus sound and a projection print.	
(3)	Films acquired by contractor--two projection prints.	
(4)	Unedited outtakes and trims, the discards of film productions, which have been appropriately arranged, labeled, and described--the original negative or color original and a work print.	
(5)	Films resulting from a visual or electronics transfer of video recordings.	
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
c.	Are not permanent records as described under item 2a of this schedule.	Until no longer needed for administrative use.
d.	Are faulty or technically poor photography.	Destroy immediately.
3.	<b>SOUND RECORDINGS FILES.</b> Sound recordings on tapes or discs that:	
	.. Provide documentation of contractor's organization, functions, policies, procedures, and essential transactions; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art.	Permanent. Offer to National Archives when no longer needed for administrative use or when 5 years old, whichever is later.
(1)	Conventional mass-produced multiple copy disc recordings--the master tape, matrix or stamper, and one disc pressing.	
(2)	Magnetic audio tape recordings (reel-to-reel, cassette, or cartridge)--the original tape or the earliest generation of each recording and a "dubbing" if one exists.	
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with disposition instructions applicable to the records of which they are a part.
c.	Are not permanent records as described under item 3a of this schedule.	Until no longer needed for administrative use.
d.	Are faulty or technically poor recordings.	Dispose of immediately.
4.	<b>VIDEO RECORDINGS FILES.</b> Video recordings that:	

**Attachment V-1**  
**Page 226 (thru 236)**

**DOE 1324.2**

**5-28-80**

**CONTRACTOR RECORDS SCHEDULE 21**

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
a.	Provide documentation of contractor's organization, functions, policies, procedures, and essential transactions; or contain information that is unique in substance, arrangement or manner of presentation and unavailable in another form; or document actual events or phenomena which are significant; or utilize a significant new technology and represent an advance in the state of the art. Included are the original or earliest generation of the recording.	Permanent. Offer to National Archives when no longer needed for administrative use, or when 5 years old, whichever is later.
b.	Are included as part of a project file, case file, report, or a similar type of record.	Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.
c.	Have been transferred by visual or electronic processes to motion picture film.	Dispose of after verifying the adequacy of the film copy.
d.	Are not permanent records as described under item 4a of this schedule.	Until no longer needed for administrative use.
e.	Are faulty or technically poor recordings.	Dispose of immediately.
5.	<b>AUDIOVISUAL DOCUMENTATION FILES.</b> Finding aids and documentation files relating to audiovisual records, including:	
a.	Finding Aids consisting of any of the following: shelf lists, visual aid cards, data sheets, shot lists, continuities, review sheets, indexes, caption lists, catalogs, or other documentation in a textual, microform, or machine-readable form that is	Dispose of in accordance with instructions covering the related audiovisual records.

**CONTRACTOR RECORDS SCHEDULE 21**

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	necessary or helpful for the proper identification, retrieval, and use of the audiovisual records described in CRS 21, items 1, 2, 3 and 4.	
b.	Production Files or similar files which include production contracts, scripts, transcripts, and other documentation bearing on the origin, acquisition, release, and ownership of the production.	Dispose of in accordance with instructions covering the related audiovisual records.

**Explanatory Notes**

**Item 1a(1)**

Included are photographs of significant contractor activities, personalities, procedures, programmatic responsibilities, and developments which are made available to the public and those which are made and utilized in the course of contractor business but which are intended for internal staff use.

**Item 1a(2)**

Included are records that explain, instruct, advertise, or illustrate contractor programs and functions. A representative sampling of these records should be identified as permanent records and offered to the National Archives. Determinations as to the items to be selected as permanent records should be based upon the significance of their content and the uniqueness and quality of its presentation. Disposition of audio recordings that relate to filastrips or slide sets should be in accord with instructions governing the associated filastrip or slide set.

**Item 1c**

Included are still photographs that have limited administrative use or interest such as photographs whose subject matter is transitory in nature or is of purely local interest. Such photographs might depict athletic events, social gatherings, or other activities not directly related to contractor operations or responsibilities. Included also are photographs of low-level administrative staff functions and ceremonial activities showing award presentations and commendations.

**CONTRACTOR RECORDS SCHEDULE 21**

**Item 2a**

Included are edited motion picture productions as well as unedited footage (outtakes and trials) that depict significant contractor activities, personalities, procedures, programmatic responsibilities, and developments. This item includes motion films made for distribution and intended to inform, teach, or entertain, and films made and utilized in the course of contractor business for internal staff use. This item also includes television advertisements and announcements, commonly referred to as "TV spots," which describe, explain, or promote DOE-sponsored programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement, or they are of such a general nature that their informational and evidential value is inconsequential. Every TV spot produced for DOE is not a permanent record. A representative sampling of TV spots should be identified as permanent records and offered to the National Archives. Determinations as to which TV spots possess sufficient value to warrant selection as permanent records should be based upon the significance of their content and the quality of their presentation. Those spots not selected as permanent records are disposable in accordance with the disposition instructions for item 2c.

**Item 2c**

Included are motion picture productions as well as unedited footage (outtakes and trials) that have limited administrative use or interest such as motion picture films whose subject matter is transitory in nature or is of purely local interest. Such motion picture films might depict athletic events, social gatherings, or other activities not directly related to contractor operations or responsibilities. Included also is motion picture footage of low-level administrative staff functions and ceremonial activities showing award presentations and commendations. This item also includes motion pictures that present standard, well-known, widely available technical instruction or managerial training programs which were acquired from Government sources.

**Item 3a**

Included are completed audio productions which are distributed on discs and intended to inform, teach, or entertain. Also included are "radio spot masters" of radio announcements which describe and explain significant DOE programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement. In such cases only a sampling of representative radio spots pertaining to a specific DOE activity or program need be considered permanent records. This item also includes sound recordings of significant speeches, conferences, and committee meetings. Those

**CONTRACTOR RECORDS SCHEDULE 21**

not selected as permanent records should be disposed of in accordance with the disposition instructions for item 3c.

**Item 3c**

Included are sound recordings which have limited administrative use or interest such as recordings which were produced for and utilized in some other audiovisual production such as a motion picture or a slide show. Sound recordings whose subject matter is transitory or of a local interest nature are also included.

**Item 4a**

Included are video recordings which are distributed and intended to inform, teach, or entertain as well as video recordings of significant programmatic events, procedures, conferences, meetings, operations, and techniques. This item also includes television advertisements and announcements, commonly referred to as "TV spots," which describe, explain, or promote DOE programs and activities. Frequently these announcements are produced in variant forms which describe the same program or activity and broadly speaking furnish the same basic information but in a slightly different arrangement or they are of such general nature that their informational and evidential value is inconsequential. Every TV spot produced for DOE should not be considered a permanent record. A representative sampling of TV spots should be identified as permanent records and offered to the National Archives. Determinations as to which TV spots possess sufficient value to warrant selection as permanent records should be based upon the significance of their content and the quality of their presentation. Those spots not selected as permanent records by the contractor are disposable in accordance with the disposition instructions for item 4d. Contractor originated video recordings and recordings acquired by the contractor that contain unique training and instruction material are included if such recordings provide documentation of or for contractor programs and show their relationship to and impact on the public or present a historical account of some aspect of DOE's or contractor's development.

**Item 4c**

Instructions governing the disposition of motion picture films that contain material that was originally in a video recording format will be found in item 2 of this schedule.

**Item 4d**

Included are video recordings which are purely transitory in nature and those which depict routine activities and functions having only marginal importance. Video recordings that present standard, well-known, widely available technical instruction or managerial training programs which were acquired from Government sources are included.

CONTRACTOR RECORDS SCHEDULE 22

DESIGN AND CONSTRUCTION DRAWINGS AND RELATED RECORDS

This schedule provides guidelines for the disposition of design and construction drawings and related records that have been created or received by DOE contractors in connection with official activities. Drawings refer to those graphic or engineering records that depict conceptual as well as precise measured information essential for the planning, design, and construction of facilities such as buildings, structures, plants, utilities, and other public works projects, as well as miscellaneous engineering and fabrication projects such as machinery and equipment. Related records include engineering studies, design calculations, project performance documentation, indexes and finding aids, specifications, and three-dimensional models. Most design and construction records lose their usefulness after specific periods of time. Generally, drawings pertaining to the conceptual or preliminary design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings which are used and finalized during the construction process have a continuing value during the life of the facility especially for repair and maintenance needs. The finalized ("as-built") construction drawings as well as repair and alteration drawings (or microfilm copies) should be considered active while the structure is still used, maintained, or owned by the Federal Government.

After the design and construction files are no longer useful to the contractor or DOE, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomical and unnecessary to retain a complete set of drawings and related records for each construction project sponsored by the Federal Government, it is necessary to make a selection of records for permanent preservation. This selection must take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. Criteria for the selection of the significant records are contained in the notes following the schedule. The selection of individual buildings or projects should be made by personnel with appropriate historical training, subject to the approval of National Archives and Records Service (NARS). Any records created prior to 1-1-21 must be offered to NARS before applying the disposition instructions in this schedule.

This schedule relates primarily to records on the design and construction of buildings. The principles established here can also be applied to other static structures and miscellaneous engineering projects.

Those records which are developed during the design process generally consist of:

CONTRACTOR RECORDS SCHEDULE 22

**Initial Design Planning Records.** Drawings and sketches that are conceptual in nature, and architectural renderings, that show the basic design features of the project, including building perspectives, elevations, floor plans, and other general features; order-of-magnitude cost estimates and performance schedules; and may include three-dimensional models prepared for illustration or presentation purposes.

**Advanced Planning Records.** These cover the pre-Title I design activity documentation, including construction project data sheets or other types of project proposals, conceptual design studies and reports, conceptual safety and environmental impact analyses, cost estimates, performance schedules, methods of project performance, and the design criteria for the project; and development of the project management plan.

**Preliminary (Title I) Design Records.** Title I design studies, and reports summarizing the design results (including core refined definition of project requirements, cost estimates, performance schedules, methods of project performance, safety and environmental impact analyses) and preparation of preliminary drawings and construction specifications.

**Final (Title II) Design Records.** Title II (final working) drawings, final construction specifications, performance schedules, methods of project performance, final safety and environmental impact analyses (reports); and final project management plan for construction.

**Other Engineering and Design Records.** Engineering studies and reports, design calculations, analyses, and other engineering data and information developed during project planning and design which documents the engineering and design decisions'.

**Other Documents and Information.** Information, correspondence, and other records developed during the planning and design phases, essential to the performance of the processes but not essential for project record purposes following project completion.

Those records which pertain to or are developed during the construction process usually consist of:

**Final Working Drawings.** (Developed during Title II Design) Architectural and engineering drawings which consist of the master tracings and acceptable reproducibles. These drawings provide information about various aspects of the construction of the building or facility including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, heating, ventilating, and air-conditioning details, as well as site and landscaping plans. These are important records

CONTRACTOR RECORDS SCHEDULE 22

because they provide not only detailed instructions for the erection of the building, but also present a comprehensive and detailed picture of its design.

**Final Construction Specifications.** (Developed during Title II Design) Detailed requirements for the project which identify materials and workmanship requirements, and explain the materials and equipment items depicted on the related working drawings.

**Project Management Plans for Construction.** (Developed during project planning and design) Details of the project work breakdown structure; authorities and responsibilities of participants; performance diagram; and technical, cost, and schedule control systems for the project.

**"As-Built" Drawings.** Annotated copies of final working drawings or additional drawings which show changes in the construction from the original design.

**Shop Drawings.** Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be fabricated or assembled in their shops. These drawings which include plans for architectural features and interior design such as tile and marble work, special cabinet work, elevators, or heating, ventilating, and air-conditioning systems, not only provide instructions for assembling the products on the job site, but may also be necessary for future operation and maintenance.

**Repair and Alteration Drawings.** Original drawings which depict repairs and alterations to the building as it was originally constructed.

**Standard Drawings.** Final drawings for standard details and other documents created in their preparation.

**Reports and Other Documentation.** Progress reports, construction completion reports, equipment specifications, operating and maintenance instructions (manuals), warranty data, final inspection and acceptance reports, and other information documenting the construction process.

**Other Documentation and Information.** Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion (such as interim process reports and other interim project activity information).

CONTRACTOR RECORDS SCHEDULE 22

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
1.	<b>PROJECT PLANNING AND DESIGN FILES.</b>	
a.	<b>Initial Design Planning Records.</b>	Until project completion (see b., below, for exception); or upon project termination, whichever is earlier.
b.	Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	Permanent. Offer to NARS when file is inactive. (See first paragraph of introduction to this schedule.)
(1)	Project description, location, engineering or design costs and performance schedule.	
(2)	Architectural renderings and final architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).	
(3)	Special engineering or design reports, studies, and data (for projects of technological or architectural significance).	
(4)	Construction Completion Reports.	
(5)	Models.	
c.	<b>Other Planning and Design Records.</b> (Advanced planning, preliminary and final design, and engineering or design studies, calculations, analyses, and other engineering or design data documenting design decisions made.)	

CONTRACTOR RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
(1)	Records of completed projects costing more than \$750,000, or which involve special equipment, systems, or processes.	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier. (See b., above, for exception.)
(2)	Records of completed projects costing \$750,000, or less, which do not involve special equipment, systems, or processes.	10 years after completion of project.
(3)	Records of terminated projects (projects not authorized for design, construction, or fabrication; or terminated prior to completion of any of these activities) costing more than \$750,000, or which involve special equipment, systems, or process projects.	10 years after project is terminated.
(4)	Records of terminated projects (projects not authorized for design, construction, or fabrication, or terminated prior to completion of any of these activities) costing \$750,000, or less, which do not involve special equipment, systems, or process projects.	5 years after project is terminated.
(5)	Miscellaneous planning and design records, information, and correspondence essential to performance of the processes but not essential for project record purposes (such as interim progress reports, preliminary drawings and specifications, and other in-process documentation or information).	Until project completion or termination, whichever is earlier.

CONTRACTOR RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
c.	Miscellaneous Construction Records. Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion.	Until project completion.
d.	Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	Permanent. Offer to MARS when file is inactive. (See first paragraph of introduction to this schedule.)
(1)	Project description, location, construction costs, and performance schedules.	
(2)	"As-Built" architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).	
(3)	Photographs of completed project.	
(4)	Construction Completion Reports.	
3.	(RESERVED)	
4.	(RESERVED)	
5.	FINDING AIDS. Indexes and other finding aids to design and construction files.	Destroy in accordance with instructions covering the related design and construction records.

CONTRACTOR RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
<b>2. PROJECT CONSTRUCTION FILES.</b>		
a.	Working drawings and construction specifications, "as-built" drawings, shop drawings, standard drawings, repair and alteration drawings, equipment specifications, operating and maintenance manuals, equipment warranty data, final inspection and acceptance reports, construction cost and schedule data, space assignment plans, and other essential information to document the construction process.	
(1)	For completed projects.	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier (see d., below, for exceptions).
(2)	For projects terminated prior to construction completion.	5 years after construction is terminated (see d., below, for exceptions).
b. Construction Completion Reports. (Documented summary of the project, from design through construction completion.)		
(1)	For unique or special-interest projects.	20 years, unless covered by exception in d., below.
(2)	For other projects.	Until dismantlement or disposal of the facility, equipment, or process; or when superseded or obsolete, whichever is earlier.

CONTRACTOR RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
6.	QUALITY ASSURANCE RECORDS prepared, received, and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems. (Reference for nuclear facilities: American National Standards Institute (ANSI) standard N45.2.9-1974.)	
a.	Records which would be of significant value in demonstrating capability for safe operation; in maintaining, reworking, repairing, replacing or modifying the item; in determining the cause of an accident or malfunction of the item; and those which provide baseline data for inservice inspection.	Until the item is removed from service.
b.	Records which verify that an activity was performed in accordance with the applicable requirements but need not be retained for the life of the plant or item.	
(1)	Records maintained in compliance with regulatory requirements.	Retain in accordance with current regulatory requirements or for nuclear facilities, 6 years after plant or item is put into operation.
(2)	Records for nuclear facilities which are useful through first overhaul or reload.	2 years after plant or item is put into operation or after first overhaul or reload, whichever is later.
(3)	Records which are needed to process and support claims made under the warranty.	1 year after plant or item is put into operation or upon expiration of warranty, whichever is later.

CONTRACTOR RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
(4)	Records which have no value after plant or item is put into operation.	Until day after plant or item is put into operation.

EXPLANATORY NOTES

Items 1a and 2a

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

Architectural Significance.

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

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

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

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

Historical Significance.

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

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

CONTRACTOR RECORDS SCHEDULE 22

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

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

Technological Significance.

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

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft, or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variations. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard.

It should be noted that comprehensive site development plans or master plans are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see schedule 17), while individual buildings and facilities within the system can be evaluated on the basis of this schedule.

CONTRACTOR RECORDS SCHEDULE 23EQUIPMENT CONTROL, MAINTENANCE,  
AND OPERATION RECORDS

Records described in this schedule are those generally maintained by property and plant management personnel fulfilling their responsibility for the management, control, accountability, maintenance, and operation of mobile or stationary equipment and personal property. Fixture-type equipment requiring use of design and construction drawings for repair and maintenance is covered by Facility Records (CRS 15). This schedule covers personal property, equipment, machinery, machine tools, vehicles, office equipment; and accessory and auxiliary items, and spare parts; exclusive of motor vehicles (CRS 10); and Industrial Facility Records (CRS 24). Equipment records may complement or supplement procurement and supply records and accounting records.

Records may be segregated into groups by equipment kind, type, purpose, use, location, valuation, or other assigned category, e.g., plant, office, supplier-owned, personal-use, tool receipts, loaned property, borrowed property, and controlled-use equipment. Records may be either as brief or as detailed as is required to efficiently manage equipment consistent with its value, usage, or servicing requirements. In some instances, copies of a primary control record are used for additional secondary record or indexing purposes, e.g., a duplicate equipment inventory card is filed by name of accountable employee.

ITEM NO.	DESCRIPTION OF RECORD	RETENTION PERIOD
1.	<b>EQUIPMENT CONTROL RECORDS.</b> Equipment control records are property accountability records which constitute an inventory of equipment, personal property, and spare parts.	
a.	<u>Inventory Lists.</u>	3 years from date of list.
b.	<u>Inventory Cards</u> Includes history documenting acquisition, assignment, or accountability, and final disposition.	3 years after a new control card is prepared, or 4 years after equipment or property is removed from control.
c.	<u>Adjustment of Inventory Authorizations.</u> Authorizations to scrap or write off and other papers used as evidence of	4 years after date of authorization or date of posting action.

CONTRACTOR RECORDS SCHEDULE 23

ITEM NO.	DESCRIPTION OF RECORD	RETENTION PERIOD
	authority to adjust inventory control card.	
4.	<b>Property Transfer Files</b> documenting accountability transfers of property and equipment.	
(1)	Copy in property accountability office.	2 years after date of posting inventory card.
(2)	Copy in offices transferring property.	1 year.
2.	<b>EQUIPMENT MAINTENANCE RECORDS, INCLUDING INSPECTION, SERVICING, AND REPAIR.</b>	
a.	Summary ledger or card records reflecting maintenance and repair.	3 years after property is disposed of or removed from control.
b.	Inspection, service, maintenance, and repair records.	
(1)	Records reflecting unresolved monitored problems.	3 years after resolution of problem.
(2)	Records reflecting satisfactory inspection, service, maintenance, and repair; includes requests for service, repair orders, work orders showing dates of scheduled or completed maintenance or service, billings, and inspection reports.	3 years following close of fiscal year in which work is done.
3.	<b>OPERATION AND COST RECORDS.</b> Equipment ledgers and work sheets providing cost and expense data for equipment maintenance or operation, reflecting scheduled and actual hours of operation, hours idle, and repair hours.	3 years after date of last entry.

CONTRACTOR RECORDS SCHEDULE 24

INDUSTRIAL FACILITY RECORDS

This schedule covers records pertaining to the management and operation of DOE industrial facilities. Such facilities include, but are not restricted to, Naval, test, and production reactors; production facilities; laboratories; and separation plants.

The records consist of a wide variety of facility management records such as progress, production, and status reports; quality control data files; equipment history and control records; special material accountability files; and product output summaries.

Records accumulated in the operation of the facility would include such documents as logbooks; instrument monitoring charts; industrial x-rays and radiographs; equipment inspection and servicing records; work permits; and many other documents that are generated in the operation, monitoring, production, and maintenance of the plant and its equipment.

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<b>MANAGEMENT OF PRODUCTION RECORDS.</b> Production control files developed in coordinating work programs in the production of components and equipment, consisting of minutes of meetings of production personnel to work out production schedules and to adjust difficulties arising in production program.	2 years after completion of individual production program.
2.	<b>WORK PERMIT (WORK ORDERS) RECORDS.</b>	
a.	Log sheets pertaining to special work permits in operating activities, together with work order reason sheets.	1 year.
b.	Work permits authorizing electrical work in processing plants, including related switching instructions.	1 year after completion of work.
c.	Photographer's work permits, reflecting data regarding instruction	1 year.

CONTRACTOR RECORDS SCHEDULE 24

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
c.	Deviation Files consisting of records approving and accepting or rejecting products which deviate from drawings, or specifications, together with revised drawings or specifications, serving as basis for inspection, reacceptance, and reconversion of material.	10 years after date of issue.
d.	<b>Quality Control Records.</b>	
(1)	Technical data files, consisting of reports and records documenting the quality characteristics of each product produced, and providing detailed information pertaining to composition, casting, extrusion, machining, canning, testing, and inspections.	5 years.
(2)	Data reflecting impurities of product metal rolled at specified temperatures.	2 years.
(3)	Lot fabrication and inspection records developed in quality control activities at material processing plants, of reference value only during short life of metal slug product.	1 year.
e.	X-Ray Film. Industrial inspection X-ray files, consisting of X-ray film made to determine physical status of products utilized in operating plants, exclusive of radiographs of equipment and materials used in nuclear systems (see item 7b).	1 year.
f.	Seal Files. Seal status report files, consisting of daily and weekly summaries showing numbers of seals	1 year.

CONTRACTOR RECORDS SCHEDULE 24

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORD</u>	<u>RETENTION PERIOD</u>
	In safety rules, use of safety equipment and protective clothing, and accompaniment in hazardous areas.	
3.	<b>MANAGEMENT REPORTS.</b>	
a.	Progress reports of production departments and product testing laboratories.	
(1)	Periodic reports covering progress and differences between actual and scheduled deliveries in substantive work programs.	5 years.
(2)	Daily output reports.	1 year.
b.	Administrative, progress, production and quality control reports and records, providing detail and summary data pertaining to production and quality of products such as cost, recovery, alloy variables, quantity of items produced, inspected accepted or rejected, and related information, exclusive of management production reports and monthly quality control progress reports.	1 year.
4.	<b>PRODUCT MANAGEMENT RECORDS.</b>	
a.	Project History files consisting of records accumulated during the course of specific production projects, such as laboratory sample reports, film slides, graphs, drawings, and related papers and correspondence.	5 years.
b.	Run Books providing process history of product through series of fabrication phases.	1 year after finished product is transferred to customer.

CONTRACTOR RECORDS SCHEDULE 24

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORD</u>	<u>RETENTION PERIOD</u>
5.	<b>INDUSTRIAL METHODS RECORDS.</b>	
	built each day, type of seal, number transferred, issued, or used in processing operation.	
a.	Procedures of operating activities covering phases of operation, and consisting of calibration books, and makeup sheets.	Until superseded.
b.	Process Work Reports pertaining to improvements in handling, operating, processing, and material quality.	3 years.
c.	Work Simplification Records consisting of case files containing detailed descriptions of plans for simplification of work or improvement in nonprocess operation.	2 years.
d.	Industrial Engineering Reports pertaining to potential cost reductions or improvements in nonprocess work or separation operations.	Until 1 year after proposal is adopted or rejected.
e.	Sampling Checklists made out by supervisors observing sampling techniques of operators taking process samples, to determine compliance with established procedures.	1 year.
6.	<b>PRODUCTION EQUIPMENT INVENTORY CONTROL RECORDS.</b>	
a.	Production Equipment Inventory Listings.	3 years, provided inventory control records are maintained.

Attachment V-1  
Page 264

DOE 1324.2  
5-28-80

CONTRACTOR RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	<u>Production Equipment Inventory Records.</u> Includes records documenting acquisition, assignment, accountability, and final disposition.	3 years after a new control record is prepared or 3 years after equipment is removed from control.
c.	<u>Posting or Adjustment of Inventory Authorization Files.</u> Papers authorizing posting or adjusting inventory control records.	3 years after date of posting or date of authorization record, whichever is later.
7.	<u>EQUIPMENT MAINTENANCE RECORDS.</u> Maintenance records include testing, inspection, servicing, and repair records.	
a.	<u>Summary Records.</u> Summary card, Tedgar, or equivalent records reflecting maintenance and repair.	2 years after equipment is removed from control.
b.	<u>Life of the Equipment Records.</u> Service life of the equipment history and radiograph records.	
(1)	Seal history sheets and related logbooks, reflecting work performed on specific seal from time of installation until seal is no longer used; together with test sheet data reflecting facts concerning tests made on individual seals.	1 year after seal is removed from service.
(2)	Pump history files, consisting of maintenance records; including descriptions of repair work performed and material used, from installation of pump until its removal from service.	1 year after pump is removed from service.
(3)	Radiographs of reactor system welds, including coolant systems, and reactor vessels.	Until equipment is removed from service.

CONTRACTOR RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
(4)	Radiographs of fuel elements.	5 years or until element is expended, whichever is later.
c.	<u>Monitored Equipment Records.</u> Inspection, service, maintenance, and repair records reflecting unresolved monitored problems.	5 years after resolution of problem.
d.	<u>Equipment Records.</u> Inspection, service, maintenance, and repair records reflecting performance.	
(1)	Pressure vessel inspection reports, reflecting data concerning periodic hydrostatic tests of pressure vessels, and serving as checklists to assure compliance with specified test intervals.	Until subsequent test of vessel concerned.
(2)	Gamma distribution files, consisting of recorded calculations of expected gamma ray activity in reactor shields, based upon measurement data taken experimentally.	3 years.
(3)	Records other than the routine monitoring records described below indicating satisfactory inspection, service, maintenance, and repair. Includes preliminary tests of equipment and systems indicating readiness for operations, requests for service, repair orders, or work orders; which show dates of scheduled or completed action.	3 years after action or work is completed.

CONTRACTOR RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
(4)	Routine monitoring records of inspection, maintenance, or repair which reflect satisfactory performance;	
(a)	Logs or supporting records recording equipment test results form-	1 year.
1	Converter status (daily reports);	
2	Cylinder pipe leaks;	
3	Individual tube (gamma tests);	
4	Valves;	
5	Valve equipment;	
6	Industrial inspection X-ray files consisting of x-ray film to determine status of equipment used in operating plants. (See radiographs of reactor system welds in 7b(3), above.)	
(b)	Operators reports of equipment failure, reflecting equipment data, failure characteristics, and circumstances leading up to interruption of operations.	1 year.
8.	<u>OPERATIONS RECORDS.</u> Records reflecting equipment-operations data. (See operators reports of equipment failure, 7d(4)(b), above.)	

CONTRACTOR RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
a.	Control room logs.	6 years.
b.	Shift supervisors' logbooks recording significant incidents and actions taken.	6 years.
c.	Daily operations summary reports.	6 years.
d.	Operations control records. Records include:	5 years.
1	Operating experiences.	
2	Significant incidents.	
3	Equipment performance.	
4	Reactor process evaluation.	
e.	<u>Reactor Temperature Control Records.</u>	
(1)	Graphite data sheets listing graphite temperature inside reactors.	5 years.
(2)	Temperature and flow raps reflecting reactor power levels and providing outlet water temperatures and flow data of reactor tubes.	3 years or until expended core examinations have been completed and final inspection reports issued, whichever is later.
(3)	Temperature cards and tapes recording at set levels the temperature readings of individual tubes in reactors.	3 years.
f.	Source records used to accumulate information summarized in a. thru e., above, including checklists, logs,	Production reactors: 1 year. All other reactors: 3 years.

CONTRACTOR RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	reflecting source data recorded in connection with the operation of various reactor and associated equipment.	
g.	Generator sheet files, recording operating characteristics of fluorine or other generators, reflecting such data as voltages, temperatures, pressures, and weights.	2 years.
h.	Instrument charts and readings or process data sheets; providing significant data is transcribed to run or logbooks.	1 year.
i.	Recorder charts which record temperature, pressure, flow, power fluctuation, and other data in connection with testing and control operations, exclusive of radiation detection charts; provided pertinent data is transcribed to logbooks, reports, or other records.	1 month.
9.	<u>MATERIALS PROCESSING RECORDS.</u>	
a.	<u>Control Records Pertaining to Work Performed in Analytical Laboratories.</u>	
(1)	Laboratory manuals, standards, and procedures.	Until superseded.
(2)	Laboratory logbooks describing analyses and daily activities of the laboratory.	5 years.
(3)	Sample receiving logs.	2 years.
(4)	Special nuclear material accountability logs; provided official accountability record is retained.	2 years.

CONTRACTOR RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
(5)	Spectrograph film logs supporting analysis work.	2 years.
(6)	Spectral slides used in spectrographic analysis of samples.	1 year.
(7)	Analysis requests.	1 year.
(8)	Analytical assay records listing results of analysis, providing pertinent data are retained in other records.	1 year.
(9)	Quality control monthly reports.	1 year.
(10)	Supervisor's shift logbooks.	1 year.
(11)	Essential materials analysis reports.	1 year.
(12)	Investigations of high hand scores, providing significant data pertaining to individuals are retained in other records.	1 year.
(13)	Comparative analysis logs pertaining to samples analyzed by two different methods for the same test.	1 year.
(14)	Daily sample report.	1 year.
b.	Analytical Logbooks recording analyses of samples in separation operations activities for quality control purposes.	3 years.
c.	Sample Analysis Data accumulated by works laboratories in production materials for quality or other control purposes.	2 years.

CONTRACTOR RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
d.	Batch Information consisting of technical, analytical, or statistical data pertinent to chemical makeup or process batches, provided information pertinent to product history is transcribed to records which are retained.	1 year.
e.	Sample Reports on chemical solutions, used for control of process variables.	1 year.
f.	Process Transfer Records of metals, solids, or solutions used for operational control purposes.	1 year.
g.	Slug Storage Records. Slug storage basin records, listing quantities and types of slugs awaiting processing, including irradiation history.	1 year after slugs are processed by chemical separations.
h.	Sample History Sheets recording history of uranium sample.	1 year.
10.	<u>BARRIER RECORDS.</u>	
a.	Barrier Retubing Inventories consisting of reports compiled daily showing amount of barrier material received and transferred, usage made, amount on hand, scrap inventory of broken or rejected tubes.	2 years.
b.	Inventory and Transfer Files serving as accountability records for barrier materials.	1 year.
c.	Barrier Progress and Usage Reports Files pertaining to maintenance of barrier material in processing operations, reflecting type, length,	1 year.

CONTRACTOR RECORDS SCHEDULE 24

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	and number of barrier tubes installed, number broken and rejected, and the number of plugs in each converter.	
11.	<u>SPECIAL MATERIAL ACCOUNTABILITY.</u>	
a.	Files Pertaining to Estimated Requirements of source and special nuclear materials, and containing correspondence on this subject with operations offices.	2 years.
b.	Allotments, Drafts, and Allocations Files of requesting agencies consisting of retained copies of DOE Form ET-437, Nuclear Material Draft, or equivalent forms, together with pertinent correspondence.	2 years.
c.	Essential Material Reports of operating activities, showing beginning and ending inventories, receipts, disbursements, and consumption.	5 years.
d.	Supervisor's Uranium Transfer Reports. Accountability reports maintained for ready reference by supervisors, showing uranium transfers between operating activities.	1 year.
e.	Essential (non-SS) Materials Accountability Files documenting the receipt, transfer, and shipment of essential materials (other than SS materials) and consisting of worksheets, inventories, ledgers, reports, and other source records providing detail for reconciliations and accounting audits.	2 years.

CONTRACTOR RECORDS SCHEDULE 24

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
f.	<u>SS Material Accountability and Transfer Files</u> (Inter and Intra-plant transfers), consisting of records utilized within an SS station to account for transfers from one unit to another within plant or facility or between such plants.	2 years after material is no longer in inventory, providing DOE audit has been completed.
g.	<u>Daily Line Operations Reports.</u> Reports or logs prepared daily primarily for line operations including operating and maintenance information, shift and status, essential material and chemical tank inventories, and technical, analytical, or statistical data pertinent to chemical or process materials or solutions.	1 year.
h.	<u>Feed and Waste Reports Files</u> consisting of records which reflect physical inventory of material on hand at beginning of each day, depleted feeds, waste withdrawals, and other processing data used in measuring daily performance and to assist in locating foreign material.	5 years.
i.	<u>Product Withdrawal Sheets</u> reflecting gross, tare, and net weights of product withdrawn from each cylinder in processing plants.	2 years.
j.	<u>SS Material Shipping Form Files</u> consisting of DOE/HDC Form 741 or equivalent, used in the transfer of source and special nuclear materials, or other materials controlled by the SS materials accountability system.	Until audit by DOE accountability survey team.

CONTRACTOR RECORDS SCHEDULE 24

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
k.	<u>Reports of Shipper-Receiver Measurement Differences</u> filled in shipping and receiving installations, pertaining to transfers of SS material between installations under the same or under different operations offices, and containing conclusions, recommendations, and resolutions of the measurement differences.	2 years.

CONTRACTOR RECORDS SCHEDULE 25

MEDICAL, HEALTH, AND SAFETY RECORDS

Records covered by this schedule include the following classes of records:  
 (a) safety management; (b) medical and health research; (c) operational records for health units, fire units, and biological laboratories; (d) individual case files of employees exposed to hazardous or toxic substances, or radioactivity; and (e) records of DOE-controlled activities reflecting the protection provided to employees, the public, property, and the environment, during the conduct of the activity.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
<b>1. SAFETY MANAGEMENT RECORDS.</b>		
a.	Occurrence (as defined by the Assistant Secretary for Environment) investigation files, including a copy of the report, related correspondence, technical data, statements of witnesses and employees, other relevant information and data.	15 years.
b.	Reports of inspections, appraisals, audits, studies, and pertinent correspondence maintained by organizational units responsible for safety of facility, covering unsafe conditions, hazards of criticality, fire hazards, fires, and explosions together with accident statistics, exclusive of individual accident reports.	10 years.
c.	Records of reports of routine safety inspections, including evidence of action taken.	1 year.
d.	Reports, statistics, and correspondence relative to traffic and property damage accidents, including records relative to summaries of industrial personal injury accidents, exclusive of cases involving personal injury.	10 years.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
e.	Tabulations compiled in classifying injuries for reporting purposes and used for reference in summarizing medical reports.	2 years.
f.	Prescription for safety glasses.	6 months.
2.	<b>HEALTH UNIT RECORDS.</b>	
a.	Individual Employee Health Case File. Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the Health Unit, EXCLUDING records of exposure to toxic substances, toxic chemicals, and to unique occupational hazards of the atomic energy program (Item 7, this schedule). Also excludes preemployment physical examination and disability retirement and fitness for duty examinations.	12 years after last entry.
b.	Individual Health Record Files. Cards which contain such information as date of employee's visit, diagnosis, and treatment.	6 years after date of last entry.
c.	Health Unit Control Files. Logs or registers reflecting daily number of visits to dispensaries, first aid rooms, and health units. (1) If information is summarized on statistical reports. (2) If information is not summarized.	3 months after last entry. 2 years after last entry.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
<b>3. FIRE UNIT RECORDS.</b>		
a.	Alarm, investigation, and incident reports relating to various types of fire alarms and investigations of fires; including source data concerning fires in which fatalities may result or when arson is suspected.	10 years.
b.	Fire extinguisher history records and fire hose records.	1 year after removal of equipment from service.
c.	Fire extinguisher inspection records showing description of extinguishers, recharging data, and names of inspectors.	1 year.
d.	Fire station operating logs.	6 years.
e.	Ambulance service reports.	3 years.
f.	Fire alarm system tests, radio communications logs, reports on inside and outside fire drills, daily force reports, and building inspections.	1 year.
g.	Auxiliary brigade attendance and training records.	1 year.
h.	Fire truck records and controlled burning records.	1 year.
4.	<b>MEDICAL OR HEALTH RESEARCH PROJECT CASE FILES</b> reflecting the history of the research project from initiation to completion, including research, development, design, and test results. Included are records such as: project proposal; review memoranda and comments; project authorizations and directives; copies of unpublished manuscripts, journal articles and conference	Permanent.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	papers; progress reports; correspondence influencing the direction of the project; and lists of publications and films resulting from the project. Also included are the records of any subsequent studies resulting from the research.	
<b>5. RECORDS OF PERSONNEL EXPOSED TO HAZARDOUS CONCENTRATIONS OF TOXIC CHEMICALS AND OTHER MATERIALS.</b> Records prepared in the normal course of business establishing exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides, and individual employee files.		
a.	Standards, operating guides, and procedures, including revisions and background records which establish operating practices.	Permanent.
b.	Operating plans for specific jobs within the scope of the above-established operating practices.	1 year.
c.	Records and investigations establishing the extent of employee exposure to toxic chemicals and materials. These records should be filed in the Health Physics personnel folder (Item 7 below), wherever possible.	75 years.
d.	Industrial Hygiene logbooks recording surveys for industrial hazards other than radiation and contamination. (1) Surveys indicating no industrial hazard. (2) Surveys indicating a potential industrial hazard.	75 years. Until related facility is dismantled.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
6.	RADIATION-CONTAMINATION CONTROL PROGRAM RECORDS providing an accurate, quantitative description of the exposure of personnel to external radiation and internally deposited radionuclides, including development of appropriate regulations and procedures used as a basis for the radiation-contamination control program. Excludes individual employee files.	
a.	Personnel Exposure Dose Records Indicating radiation exposure dose to the individual due to alpha, beta, gamma, and neutron radiation as determined by personnel radiation monitors or by estimates based on other radiation dose instruments.	75 years.
(1)	Results of equipment calibration establishing the authenticity of the above dose results.	75 years.
(2)	Automatic data processing system programs, codes, instruction tapes, and discs if used for retrieval of item a above.	75 years.
(3)	Worksheets, requests for analysis, chart records recording information which must be interpreted or further modified before use, automatic data processing system input records, other information used in interim calculations or to verify that recorded data is correct (such as checklists), film badges, and statistical summaries duplicating the above exposure data.	Until exposure record above has been verified and approved, or 1 year, whichever is earlier.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
f.	Reports and Engineering Studies of unusual radiation or contamination problems.	100 years.
7.	INDIVIDUAL EMPLOYEE HEALTH HAZARD CASE FILE. Individual employee toxic chemical or material exposure history file, including radiation exposure (both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results; and shall include:	75 years.
a.	Records of skin and nasal contamination incidents, including decontamination details.	
b.	Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used.	
c.	Results of direct measurement of radiation from the chest, specific organs, or whole body.	
d.	Investigations of the following types:	
(1)	Assimilations of radioactive materials in excess of standards and control guides;	
(2)	Missing or unusual personnel radiation exposure data;	
(3)	Radiation exposures exceeding quarterly to yearly exposure guides and standards.	

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	Technical Standards, Operating Guides, Laboratory Operating, and Radiation-Contamination Control Procedures describing the technical and administrative basis for the radiation-contamination protection program.	Permanent.
(1)	Historical file of standards, guides and procedures, including revisions, and background records defining philosophy in development, methods of evaluation, and mode and scope of radiation-contamination protection efforts.	Permanent.
(2)	Detail plans for specific jobs performed within the scope of the above procedures and similar records relating to routine daily operations.	1 year.
c.	Logbooks (chronological history) which provide a concise summary of shift and daily activities, including unusual incidents, radiation and contamination problems, release of radionuclides to work areas or public zones, interpretation of unusual chart recordings and similar items.	75 years.
d.	Routine Radiation and Contamination Surveys and air sample logs, including resulting laboratory analyses and equipment calibrations, indicating no unusual health or safety problems.	75 years.
e.	Recorder Chart Records of radiation and contamination detected by air activity monitors (gaseous and particulate) and ionization chambers.	Until purpose is served or 3 months, whichever is earlier.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
e.	Records of bioassay data.	
(1)	Positive laboratory results on bioassay samples (such as urine, feces, and blood) used to determine internal assimilation of a radionuclide by an individual.	
(2)	Laboratory results indicating no assimilation of radioactive materials.	
b.	PLANT RECORDS.	
a.	Radiation Detection Instrument Calibration Records. Records relating to the calibration and inspection of instruments, used in the detection and recording of radiation, against sources of known radioactive emission or dose rate.	
(1)	History file of procedures indicating criteria for selection and methods used, and schedules giving frequency of calibration and maintenance of radiation detection instruments and equipment.	75 years.
(2)	Report of instrument and equipment distribution, decontamination, performance, inventories, statistical data, physical status, operating condition, and any related data.	1 year.
b.	Radiation Detection Charts used with alarm systems to record radiation in excess of established guides in production plant areas, provided	1 year.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
	unusual radiation data are posted to other records which are retained. (See item 6a, this schedule.)	
9.	<b>ENVIRONMENTAL CONTAMINATION MEASUREMENT RECORDS</b> indicating presence and amount of contaminating materials (including radioactive materials) in samples of air, water, earth, biological (animal and vegetation) and special materials from onsite and offsite locations.	
a.	Procedures which detail the methods used and frequency of analysis of environmental samples. Includes records or correspondence which give the philosophy and scope of sampling, provide interpretations of results, and detail the plans for sampling and analysis of environmental samples.	
(1)	General procedures.	Permanent.
(2)	Specific procedures.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.
b.	Analytical Summaries of results of analyses, including results on standards or other calibrations used to establish the validity of analytical results.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.
c.	Logbooks containing pertinent sampling or analytical calculations, observations, and interpretations of results.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
c.	Miscellaneous worksheets, checklists or other data sheets from which pertinent data has been transcribed to item b. above.	1 year.
d.	Unplanned deposition records (spills or leaks) of radioactivity.	Permanent.
e.	Records of radioactive gaseous wastes discharged to surface ground or water.	Permanent.
f.	Miscellaneous waste disposal records, building or between tanks, boiloff rates, and instant solidification information providing pertinent data has been transcribed to records which are retained.	1 year.
11.	<b>BIOLOGICAL LABORATORY RECORDS</b> documenting progress under which data concerning the effect of radiation on animal and aquatic life are accumulated, evaluated, and reported.	
a.	Researcher's Biology Notebooks containing all notes pertinent to laboratory experiments, including observations and calculations, and all other data pertinent to the experiment, including discussions by the researcher and conclusions.	
(1)	Research notebooks deemed by the DOE, contractor, and the National Archives to have exceptional value because of the highly significant nature of the research involved or uniqueness of the research.	Permanent.
(2)	All other notebooks.	15 years.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
d.	Worksheets, recorder charts, laboratory analysis requests, radio-autograph film, dosimeter data, and other interim records or devices used in determining the basic data from which results in item b., above, are obtained.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.
e.	Notebooks of laboratory technicians and field inspectors concerned with earth sciences.	Until analytical results are verified, accepted, and summarized, or 5 years, whichever is earlier.
f.	Data gathered to measure residual contamination of soil and ground water with long-lived radioactive or toxic substances at or near DOE sites.	Permanent.
g.	Environmental Monitoring Reports and topical reports defining the extent and levels of radioactive contamination in soil or real estate.	Permanent.
10.	<b>RADIOACTIVE WASTE DISPOSAL OR UNPLANNED DEPOSITION RECORDS.</b>	
a.	Regulations governing radioactive waste shipment and burials, including DOE orders, federal regulations and guidelines, and other pertinent standards, guides, and procedures.	Permanent.
b.	Records which indicate type of waste, (solid, liquid, or gaseous) degree of radioactivity; and for solid waste: date of burial, volume buried, activity level, and storage location.	Permanent.

CONTRACTOR RECORDS SCHEDULE 25

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	Periodic Reports relating to activity and progress prepared weekly, monthly, and annually from data recorded in biology notebooks described in (a.), above.	6 years.
c.	Machine-Readable Data taken from worksheets (see n. below) pertaining to radiological analysis or beta analysis of animal or aquatic life, used for organization of data for entry in biology notebooks.	Until entered in biology notebook.
d.	Autopsy Protocols recording data collected during autopsies performed on animals, including pathologic diagnosis of various organs and glands. Provides source data for animal case histories (see e. below) and is pertinent to the evaluation of experimental results.	15 years, or 3 years after completion of study, whichever is later.
e.	Animal Case Histories recording such facts as: data from lactation records, treatment records, genealogical records, gestation periods, lactation dates, numbers, sex, and weight (important in the evaluation of experimental results and as a source of entries to biology notebooks).	20 years or 3 years after completion of study, whichever is later.
f.	Thyroid Count Records consisting of tabulating cards listing data taken from animal thyroid count worksheets (see n. below). Records provide source of data entered in biology notebooks.	15 years.
g.	Radio Analysis Sample Data describing collected samples, counted samples, and listing the beta count, decay factor, analysis factor, and remarks.	2 years.

CONTRACTOR RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
	This record is useful to accumulate data for transferring to keypunch cards, and is useful during retention period for checking errors on such cards (related to e. above).	
b.	Aquatic Biology Data Analysis showing type of sample, location or source, counting information, laboratory correction factors, and related data	2 years.
c.	Decay Curve Data Sheets used to identify and verify characteristics of radioactive samples tested under laboratory conditions.	2 years.
d.	Absorption Curve Data Sheets listing sample number, sample designation, date sampled and related facts, observed laboratory reactions, and corrected entries.	2 years.
e.	Daily Counter Background Reports. Listing counting instruments and summarizing all the background data recorded on radiation counters on a daily basis. Reports are transcribed to results of all requests for analysis, such as items g. and h. above.	2 years.
f.	Analytical Requests describing samples for which laboratory analysis is desired, including results of the analysis, and related facts pertinent to special or to alpha-beta-tritium counting requests. Information from this record is abstracted to biology notebooks (a. above) for correlation and evaluation.	2 years.

CONTRACTOR RECORDS SCHEDULE 25

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
a.	Photomicrographic Requests and requests for related photographic work, including instruction and justification.	2 years.
n.	Laboratory Worksheets, recording data pertaining to animal birth records, animal weight, animal treatment, habit patterns, thyroid counts, and related data compiled in animal case histories and useful in evaluation of experimental results.	5 years.
o.	Animal Tissue Preparation Request. Listing tissues to be prepared, fix to be used in laboratory, thickness of section, stain to be used, special instructions, and schedule of completion.	2 years.
p.	Radiation Counter Control Data used to maintain correct operating conditions for radiation detection instruments.	1 year.
q.	Radiation Counter Plateaus listing equipment number, tube number, date, time, mica window thickness, voltage, lights, and total counts; used to determine and list the operating condition of radiation counters.	1 year.
r.	Source Data Card Files used to check accuracy of radiation counters against the known calibration standards published by the U.S. Bureau of Standards.	1 year.

CONTRACTOR RECORDS SCHEDULE 26

NUCLEAR WEAPON RECORDS

This schedule covers nuclear weapon records and reports for design agencies (laboratory facilities) and production agencies (manufacturing facilities). Files consist of design and production drawings for weapons, components, and related equipment. Included in this schedule are records reflecting data concerning testing, inspection, assembly, quality assurance, and production. Other nuclear weapon research and development records are covered by Records Schedule 19, Research and Development Records.

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
<b>1. DRAWING SYSTEM RECORDS.</b>		
a.	<u>Design Drawings</u> for weapon components, assemblies and ancillary equipment.	
(1)	Latest issue.	Retain until superseded.
(2)	Superseded issues.	6 months after retirement of the Weapon System from stockpile. Record copies are retained by the design agency from which drawings for a representative sample of weapons are to be offered to the National Archives as permanent records. Upon acceptance, destroy remaining drawings.
b.	<u>Production Fabrication Drawings</u> for weapon components, assemblies and ancillary equipment.	6 months after retirement of the Weapon System from stockpile.
c.	<u>Production Tool and Gage Drawings</u> .	6 months after retirement of the Weapon System from stockpile.
d.	<u>Acceptance Equipment Drawings</u> . (Record copy maintained by design or production agency assigning drawing numbers.)	6 months after retirement of the Weapon System from stockpile.

CONTRACTOR RECORDS SCHEDULE 26

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	<u>Quality Audit Reports</u> and related corrective action recommendation reports. (Record copy maintained by auditing agency.)	3 years.
c.	<u>Certificates of Inspection</u> . (Record copy maintained by DOE Quality Assurance Inspection Agency.)	3 years.
5.	<b>REPORTS.</b>	
a.	Design or production agency audit reports and related corrective action recommendation reports.	3 years.
b.	Weapon information reports, prepared by the military to report the results of inspection, modification, alteration, or component changes on major assemblies. (Record copy maintained by design agency.)	6 months after retirement of the Weapon System from stockpile.
5.	<b>MAJOR ASSEMBLY RELEASES</b> , prepared to establish the stockpile status of weapon material. (Record copy maintained by design agency.)	6 months after retirement of the Weapon System from stockpile.

CONTRACTOR RECORDS SCHEDULE 26

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
<b>1. ENGINEERING RELEASES</b> which change the product definition permanently or for specific units of weapon material, ancillary or acceptance equipment. (Record copy maintained by design agency.)		
e.	<u>Engineering Releases</u> which change the product definition permanently or for specific units of weapon material, ancillary or acceptance equipment. (Record copy maintained by design agency.)	6 months after retirement of the Weapon System from stockpile.
<b>2. TEST AND INSPECTION DATA AND ANALYSIS RECORDS.</b>		
a.	Evaluation, quality control, process, and inspection data required by the design agency in the Drawing System and sent to the design agency. (Record copy maintained by design agency.)	6 months after retirement of the Weapon System from stockpile.
b.	Evaluation, quality control, process, and inspection data required by the design agency in the Drawing System generated and retained by the production agency. (Record copy maintained by design agency.)	6 months after retirement of the Weapon System from stockpile.
c.	Production bulk raw material records.	5 years.
<b>3. WEAPON ASSEMBLY AND DISASSEMBLY RECORDS.</b> These records are required by the design agency. (Record copy maintained by design agency.)		
d.	Weapon Test and Inspection Data, e.g., New Material Laboratory Test data, and Stockpile Laboratory Test data. (Record copy maintained by design or production agency performing test or inspection.)	6 months after retirement of the Weapon System from stockpile.
<b>4. QUALITY ASSURANCE RECORDS.</b>		

CONTRACTOR RECORDS SCHEDULES

SUBJECT INDEX	Schedule*	Item*
Absentee records	2	3
Access authorization to classified files	18	7
Accountability files essential materials	24	11e
Accountability reports of uranium transfers	24	11d
Accounts ledgers, distribution	7	2
Accounts payable index	6	1
Accounts receivable invoices	6	1c
Administrative, cost and financial reports	16;8	8;7
Administrative management	16	
Advance pay check files	16	5d
Alien visit files	18	7
Allocation files, SS Materials	24	11b
Allotments, payroll	2	4
Ammunition stock reports	23	1a
Analysis requests	24	9a(7)
Analytical assay records	24	9a(6)
Analytical logbooks	24	9b
Applicant availability files	1	15
Applicant evaluation files	1	15
Applications for employment	1	15
Arrest case files	18	15
Asset history card	8	6
Audit files, contractors' internal audit	6	2
Audits of classified document inventories	18	10
Autoclave failure reports of batch tests	24	7d(3)
Automatic data processing	20	
Awards for superior accomplishments	1	12
Badge authorizations, access to exclusion areas	11	4
Badge or pass records	11	4
Bank statements and reconciliations	6	4
Barrier records	24	10
Batch records	24	9d
Batch tests, autoclave failure, reports of	24	7d(3)
Beckman record data	24	8h
Bills of lading	9	1
Biological records	25	11
Pond registration stubs	2	5

\*Item(s) in the Item column preceding the first semicolon are found in the schedule preceding the first semicolon in the schedule column. The same relationship applies to additional semicolons.

Schedule	Item
Community water and sewage utilities	15
Comparative analysis logs	24
COMSEC records	12
Conductivity meter record sheets	24
Conflict of interest statements	1
Consolidations of Top Secret documents, notices of	25
Construction contractor freight and traffic units files	18
Construction contractor payroll	9
Construction cost accounting files	2
Construction, engineering and design records	8
Container files, suppliers'	22
Contamination measurement records, environmental	25
Contraband receipts	16
Contract check files	6
Contracts	1;4
Control forms for classified mail	16
Controlled materials	3
Control records for analytical laboratories	24
Converter records	24
Correspondence	16
Cost accounting files, construction	8
Cost accounting files on maintenance and operation of production plants	8
Cost distribution	8
Cost report ledgers and data	8
Cost schedules	8
Courier receipts	7
Cover sheet, Top Secret	18
Crane operators' reports	18
Cryptographic records	23
Cylinder pipe log	12
Data automation records	24
Documentation	20
Master files	20
Processing files	20
Decontamination service	15
Deductions and accrual registers	2
Deductions, dormitory rent	2
Deductions, payroll	2
Delegations of authority	1,16

Part I  
Part III  
Part II  
2b(2)(b)  
18,22  
4  
4  
32,1

Schedule	Item
Bonds and warranties	3
Bonds, performance	3
Bonds, savings	2
Budget and cost files, departmental	5
Budget estimates	5
Budget files and documents, central	5
Budget office correspondence	16
Building maintenance	11
Bus drivers' trip ticket	10
Bus revenue control records	6
Calibration records	25
Can transfer records	24
Car control files	9
Car records books	9
Car records, tank	9
Cash advance recaps	7
Cash disbursement index files	6
Cash receipts and disbursement journal files	6;7
Cash transfer reports, stores operations	3
Check-cashing activities administrative reports	6
Check registers	7
Checks, other than payroll	6
Checks, payroll	2
Claims data, F.O.B.	9
Claims, transportation	9
Claims, workers' compensation, public liability, insurance, unemployment	6;16
Classified document control and accountability records	18
Classified file inventories	18
Classified document accountability and disposal files	18
Classified material receipt	18
Cleaning tally sheets	3
Clearance files, facility	18
Clothing inventories, special	23
Commercial facilities, lease and operation of	15
Committee files, funds	7
Committees	16
Communications	12
Communications unit administrative operations files	16
	5

Schedule	Item
Design, engineering and construction records	22
Destruction certificates, classified documents	18
Destruction certificates of Top Secret documents	4
Deviation files, engineering products	18
Deviation files, plant or laboratory	24
Directives, management	22
Disbursement of funds, schedules of	6
Discrimination complaints	1
Dispensary logs or registers	25
Dispensary treatment record cards	25
Disposal of classified material	18
Disposal of property	4
Dissolver operations and metal transfer records	24
Drawings, construction, as built	22
Drivers' license and testing files	10
Drug and narcotics files	23
Earning summary files	2
Earth science records, radiological	25
Efficiency reports	1
Electrical utilities records, plant	15
Electrical work permits, processing plants	24
Electronic data processing (ADP)	20
Elevator inspection reports	23
Emergency supply records	3
Employee absence reports	2
Employee correspondence	16
Employee expense voucher files	9
Employee financial statements	1
Employee health statistical summaries and reports	25
Employee interviews	1
Employee medical history	25
Employee property issue check sheets	23
Employee record cards	1
Employee suggestions	1
Employee travel expense voucher files	9
Employee termination	1
Employees' accumulated earnings, reports of	16
Engineering, design, and construction records	22
Engineering test studies	24
Engineers' project files	22
Environmental contamination measurement records	25
	9

<u>Schedule</u>	<u>Item</u>
Equal employment opportunity	1
Equipment inspection and services, safety	23
Equipment inventory and status reports	23
Equipment maintenance	23
Equipment utilization and history files	23
Equipment work reports, technical	23
Equipment operators' reports	24
Essential materials accountability files	24
Essential material analysis reports	24
Essential materials inventories	24
Exception certificate registers, tax	3
Expenditure accounting	6;7
Exposure records, personnel	1a,9;4a
Hazardous materials	25
Radiation	25
Facility clearance files	18
Feed and waste reports of material	24
Field test records (nuclear weapons)	19
Field work orders	3
Film badges	25
Film negatives	
Environmental contamination measurement	25
Experiment and test	19;21
Personnel radiation exposure	25
Financial data management reports	8
Fire drills	25
Fire records	25
Firearm qualification record	1
First aid treatment	25
Fissionable material transfer in process area	24
Food usage reports	3
Forms control files	16
Freight bills	9
Freight charge adjustments	9
Genes records	24
Garnishment releases	2
General ledgers	7
General subject files	16
Generator sheet files	24
Guard force	18
Guard orders	18
	7d(2),7d(4)(a)
	23
	2
	5
	8g
	14
	14b

<u>Schedule</u>	<u>Item</u>
Laboratory control records	24
Laboratory logbooks	24
Laboratory manuals	24
Laboratory notebooks	19
Landlord responsibilities in administrative areas	
Leases	15
Leases, housing	3;15
Leases to operate Government property	15
Ledgers, general	7
License plate records, Federal	10
Living allowance data files	9
Lock and key control files	18
Logbooks of processing areas, operational	24
Total fabrication and inspection records	24
	8f,11g
	4d(3)
Machine readable records	20
Mail	12
Mailing lists	13
Maintenance service, buildings and equipment	11;15;23;24
Management directives	16
Management projects	16
Management reports disseminating financial data	8
Material and equipment index files	3;8;23
Material and package pass authorizations	18
Material or service order files for cost accounting	8
Material (fissionable) transfer in Process Area	24
Measurement differences, transfers of SS materials	24
Measurement records, environmental contamination	25
Medical records	25
Medical or health research	25
Messenger service	12
Metal solution transfer records	24
Metal transfer and dissolver operations records	24
Meteorology records, synoptic	19
	17

<u>Schedule</u>	<u>Item</u>
Hazardous material,	
Exposure to	
Shipping packaging (radioactive and fissile)	25
Health records	9
Health research	25
High hand scores, investigation of	24
Highway operation and maintenance files	22
Hospital cash receipts	6
Household goods damage claims	9
Household shipment files	9
Housing, lease	15
Incident reports, security	18
Income tax	2
Industrial engineering reports of cost reductions or improvements	24
Industrial plant equipment	24
Industrial plant records	24
Inspection reports of field inspectors (construction)	22
Insurance	2
Insured mail	12
Inter-DOE and Interagency agreements (procurement)	3
Inventories of classified documents	18
Inventories of essential materials	24
Inventories of Special clothing	23
Inventories, tank "Tens"	24
Inventory	3
Inventory and status reports of equipment	23
Inventory of major equipment	23
Inventory of patrol supplies and equipment	23
Inventory, special of stores	3
Investigations of exposure to radiation by personnel	25
Invoice payable ledgers	6
Invoice preaudit files	6
Ion chamber inspection	25
Janitorial services in administrative areas	15
Job classification manual	1
Labor relations	1
Laboratory biological records	25
	29
	11

<u>Schedule</u>	<u>Item</u>
Mobile equipment operation and maintenance	23
Mobilization of manpower	18
Motion picture files	
Experiment and test	21
Field test records	19
Motor pool trip tickets	10
Motor vehicle operation and maintenance	10
Narcotics and drug files	3
Nuclear material	
Contracts, revenue producing	4
Lease agreements	4
Transfers without charge	4
Occupancy and space reports	11
Occurrence investigation files	25
Office equipment inventory	23
Office machine inventory control	23
Office machine maintenance	23
Office machine records	23
Operating activities procedures	24
Organizational charts	16
Outside deployment, requests and approvals	
Overnight authorization files	1
Packing lists	3
Particle accelerator	19
Pass authorizations for material and packages	18
Pass logs	11
Pass or badge records	11
Pass reports, unreturned	11
Passes, material removal	18
Patrol force	18
Patrol officers' reports of inspection	18
Patrol supplies and equipment, receipts for and inventories of	23
Payment voucher files	6
Payroll adjustment notices	16
	5

Attachment V-1  
Page 303

DOE 1324.2  
5-28-80

	<u>Schedule</u>	<u>Item</u>
Payroll administration correspondence	16	5
Payroll allotments	22	4
Payroll certifications	22	13
Payroll charge slips	22	15
Payroll checks	22	15b
Payroll checks recapitulation	22	14
Payroll, construction contractor	3	12
Payroll control registers	2	22
Payroll deductions	2	4,21c,22
Payroll reports	16	8b(1)(b)
Payroll special payment records	16	5
Payroll statistical data	16	8b(1)(a)
Personnel	1	
Personnel actions, notifications of	1;2	14;11
Personnel folders	1	1
Personnel folders, health-physics	25	7
Personnel management correspondence	1	3,17a,17c,18a
Personnel radiation exposure, investigative records of	25	6
Personnel radiation exposure records	25	6
Personnel statistical reports	16	8
Photographers' work permits	24	2c
Photographs (See also Audiovisual RS 21)		
Research and development	19;22	5;8;
Construction	4;22	7;
Master plan	17	1,2,16
Plant electrical utilities records	15	3b
Plant equipment failures	24	7d(4)(b)
Plant protective measures reports	18	10,11
Plutonium accountability logs	24	9a(4)
Polygraph examinations	16	5
Position descriptions	1	7h
Position record card	1	11
Postage	12	6
Postal records	12	5
Posting and control media, ledger	7	4
Post room data sheets	24	9d
Power operations, summaries of	15	3b
Power records	15	3b
Pressure vessel inspection reports	24	7d(1)
Printing, binding, duplication	13	3,6
Priorities	3	14
Processing plants maintenance reports	24	11g

	<u>Schedule</u>	<u>Item</u>
Reactor operations records	24	8
Reactor operations source records	24	8f
Reactor process records	24	8d
Reactor processing evaluation records	24	8d
Receipts, classified material	18	3,6
Receipts for bonds and checks	2	6
Receipts for contraband articles confiscated	18	13
Receipts for patrol supplies and equipment	23	1
Recalling logs, stores	3	4
Receiving notices, accounting	6	1a
Recorder charts	24	8f
Records management files	16	3,11
Reduced test data	19	16b
Registered mail	12	5
Registers of persons visiting exclusion areas	10	18
Registers of visitors to areas, installations, and communities	18	18
Registers of visits to dispensaries	25	2c
Repair orders, equipment	23	2
Reports (activity, administrative, feeder, financial, trip, meeting, appraisal)	16	8,12
Requirements, supplies	3	5,14
Research, medical or health	25	4
Research and development		
Background papers	19	5
Experiment and test records	19	5
Notebooks	19	6
Particle accelerators	19	15
Photographs and film	19	1
Project case files	19	1
Program files	19	7
Reports	19	1
Retirement	2	21
Routing order files	9	1
Run books	24	4b
Safety equipment inspection and service	23	
Safety glasses, prescription for	25	1h
Safety inspections, appraisals, studies of facility, reports of	25	1
Safety unit administrative operations files	16	5
Salary and wage administration	16;2	5c;24

	<u>Schedule</u>	<u>Item</u>
Process work reports	24	5b
Procurement	3	
Procurement case files	3	4
Product withdrawal sheets	24	11
Production control files	24	1
Production department progress reports	16	6b
Production plant equipment tests	24	7d(3)
Progress reports on financial, cost and budgetary matters	8	7,8
Progress reports on production and testing	16	6b
Project estimates, maintenance programs	15	3
Project history files	24	4a
Property damage and traffic accidents	10;25	5;1d
Property disposal	4	6
Property issued checklists, employee	23	1
Property, loan or rental of	23	1
Property, procurement	3	4
Pump history files	24	7b(2)
Punch cards, accounting	8	8
Punch cards, pay administration	8	8
Purchase orders	3	4
Quality assurance records	22	6
Quality control files, metal	24	4d(2)
Quality control monthly reports	24	9a
Quality control reports and records of laboratories	24	9a(9)
Quality control technical data files	24	4d(1)
Radiation detection charts	25	8b
Radiation exposure records, personnel	25	6
Radiation monitoring equipment, inspection of	25	8a
Radio	12	3
Radioactive material shipping packaging records	9	6
Radioactive waste disposal records	25	10
Radioactive, measurement of contamination in environment	25	9
Radiographs	22;24	6;7;
Radiological earth science records	25	9
Railroad operation and maintenance files	22	
Raw test data	19	5,16

	<u>Schedule</u>	<u>Item</u>
Salary distribution	8	8a
Sales certificate, employee	6	1b
Sample analysis data	24	9c
Sample receiving logs	24	9a(3)
Sample reports, daily	24	9a(14)
Sample reports on chemical solutions	24	9e
Sample tank transfers, uranium	24	9f
Sampling checklists, process	24	5e
Scientific and technical reports	19	7
Seal records	24	4f,7a(1),7d(3)
Security	18	
Security office administrative operations	16	5
Service facilities operational files	6	1b
Service station reports	6	1b
Service unit progress reports	16	8a(1)(a)
Severance certificates	2	1
Sewage utilities, community	15	3
Shift-end status reports	24	11g
Shipping documents	9	1
Shipping packaging records (radioactive and fissile material)	9	6
Shuttle trip report	10	4
Slug storage basin records	24	9g
Source records for summaries of power operations	15	3
Space	11	2,3
Space and occupancy reports	11	2b
Space cost liquidation reports	11	2b
Special delivery	12	5
Spectral slides, samples	24	9a(6)
Spectrograph films logs	24	9a(5)
SS material shipping form files	24	11j
SS material transfer files	24	11f
SS material estimated requirements	24	11a
Stock cards	3	10
Stock control files, construction projects	3	10
Stores accounting	8	4
Stores receiving files	3	4
Stores receiving logs	3	4
Stores stock request	3	9
Subsoil alpha-beta analysis sheets	25	9
Summaries of power operations	15	1
Suppliers' container files	23	1
Supply	3	
Supply management files (stores receiving files and stores control ledger)	3	4,5

Schedule	Item
Supply requisition files (supply requirements, withdrawal from current inventory, non-personal services)	3
Surplus property	4
Surveys and studies of organizational units	15
Symptom records	16
Symptomatic meteorology records	19
Systems documentation (EDP)	20
Tabulations compiled in classifying injuries	16
Tank car records	9
Tank "Team" inventories	24
Tank inventory of chemical solution	24
Tank records of batches processed	
Tapes, facsimilegraphs, and telescriber	12
Tax exemption certificate registers	3
Tax exemptions, withholding	2
Tax withheld reports	2
Technical equipment work reports	23
Telephone	12
Telephone, toll calls	6
Teletype	17
Temperature cards on reactor tubes	24
Termination, employee notice	1
Time and attendance reports	2
Time books	24
Time cards	24
Timekeeping files	2
Time-off job	16
Tool purchase data	23
Tool receipts and reports	23
Tools, major machine, summaries of	II, 23, 24
Top Secret cover sheet	6, 11, 6
Top Secret destruction certificates	18
Top Secret document consolidation, notices of	19
Top Secret document inventories	19
Top Secret document receipt	19
Traffic and property damage accidents	10
Traffic logs and checklist	10
Traffic violation files	19
Traffic warning tickets	10
Training costs	1
Training course records	1
Transfer files, SS materials	24

Schedule	Item
Transportation bills	9
Transportation claims	9
Transportation files, freight and traffic	
units of construction contractor	9
Transportation received bills	9
Travel expense voucher file employee	9
Travel reservation	9
Travel unit administrative operations files	9
Trip reports and logs of courier escorted shipments	10
Uranium sample history sheets	24
Uranium sample tank transfers	24
Uranium transfer accountability reports	24
Vacuum summary files	7
Vacuum test data	24
Valve test logs	24
Vendor correspondence	16
Visit approval requests	10
Visitor registration cards	19
Visitors' escort records	19
Visitors' registers	19
Voltmeter charts	15
Wage policy files	16
Warehouses	2
Waste disposal, radioactive	25
Water sample data sheets	25
Wellpoint records and reports	25
Welder test files	14
Well water analyses	25
Withdrawal authorization cards for stock items	1
Work simplification records, non-process operations	24
Work orders	24
Work permits	24
X-ray films	
Employee health records	25
Industrial inspection	24
Reactor systems	24