

DEPARTMENT OF ENERGY

RECORDS SCHEDULE 21: AUDIOVISUAL RECORDS

06-17-02

This schedule covers audiovisual and related records created by or for Department and those acquired in the normal course of business. For audiovisual records that are not described in this schedule, an SF 115, Request for Records Disposition Authority, must be submitted to the National Archives and Records Administration (NARA).

Audiovisual records include still and motion picture photography, graphic materials, and sound and video recordings. Related documentation includes (1) production files or other files documenting the creation, justification, ownership, and rights to the records and (2) finding aids used to identify or access the records.

This schedule does not cover: (1) cartographic records, (2) remote sensing imagery recorded on film or magnetic tape, or (3) microform copies of textual records. Disposable cartographic records and remote sensing imagery recorded on film are covered by ADM 17; temporary computerized data are covered by ADM 20 and ADM 23; and microform copies of textual records that have been authorized by NARA for destruction need not be separately scheduled, in accordance with 36 CFR 1230.10(b).

This schedule provides guidance for certain audiovisual records considered permanent or potentially permanent. Additional guidance in identifying, maintaining, using, and making disposition of potentially permanent audiovisual records is provided in the NARA publication, "Managing Audiovisual Records: An Instructional Guide." Copies are available from the NARA Office of Records Administration.

The word "destroy" is used to authorize the destruction of data or information. Erasable media such as audio tape should be reused whenever practical. Silver-bearing photographic film must be destroyed in accordance with 41 CFR 101-45.10, "Recovery of Precious Metals."

The Schedule authorizes the disposal of certain records without further concurrence from NARA. For such records, include specific series descriptions in the comprehensive schedules and cite the applicable disposition instruction from this Schedule as the authority for destroying the records.

Requirements for Permanent Retention:

Black and white photographs: An original negative and captioned print. If the original negative is unstable safety, acetate, nitrate, or glass, a duplicate negative is also needed.

Color photographs: Original color transparency or color negative, a captioned print, and an internal-negative if one exists.

Slide sets: Original and a reference set, and the related audio recording and script if one exists.

Other pictorial records (posters, artwork, etc.): Original and one reference print.

Departmentally-sponsored motion picture films (for distribution): Original negative or color original plus separate optical sound track, and intermediate master positive or duplicate negative plus optical sound track, and sound projection print.

Department-sponsored motion picture films (for internet use): Original negative or color original plus sound, and projection print.

Agency-acquired motion picture films: Two projection prints.

Unedited out-takes and trims (the discards of film productions): if properly arranged, labeled, and described, and depict unstaged, unrehearsed events of historical interest or historically significant phenomena: Original negative or color original and work print.

Conventional, mass-produced, or multiple-copy disc recordings: The master tape, the matrix or stamper of each sound recording, and a disc pressing of each recording.

For magnetic sound recordings usually on audio tape (reel-to-reel, cassette, or cartridge): Original tape or the earliest generation of the recording and a “dubbing” if one has been made.

Still Photography

1. Routine Photographs: (GRS 21, item 1)

Photographs of routine award ceremonies, social events, and activities not related to the Mission of the Department.

Destroy when 1 year old.

1.1 Departmental Sites and Mission Photographs: (N1-434-98-23)

Photographs that relate to the mission of the Department such as:

- a. Major program and laboratory activities, personnel at work, and experimental methods and results determined to be of importance due to public interest in the project, the content or results of the research, or prestige of the researcher;

- b. Images that document construction projects of scientific, technical, or public interest;
- c. Images that depict Department sites and their growth such as laboratories or other scientific or technical structures or facilities;
- d. High-level, one-of-a-kind, or of significant interest meetings, ceremonies, or events;
- e. High level officials carrying out transactions of political, scientific, technical or public interest.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

1.2 Photographs That Are Unique: (N1-434-98-23)

Photographs that contain information that is unique in substance, arrangement, or manner of presentation, which document unusual phenomena, utilize a new technology, or represent an advance in the state of the art, and is unavailable in another form.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

1.3 Unidentifiable Photographs: (NI-434-90-7) **NONRECORD**

Photographs of scientific or technical activities that are of unidentifiable persons, experiments, apparatus, or activities and are deemed to be of no special historical, scientific or technical significance.

Destroy when no longer needed.

2. Personnel Identification or Passport Photographs: (GRS 21, item 2)

Destroy when 5 years old.

3. Training (Internal Personnel and Administrative Filmstrips and Slides of Programs: (N1-434-98-23)

- a. Mission-related training materials. Materials that reflect the mission, and mission-related functions, policies or procedures of the Department and contractors.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

- b. Other training materials. Materials that do not reflect the mission responsibilities of the Department. (GRS 21, item 3)

Destroy 1 year after completion of training program.

4. Duplicate Audiovisual Items: (GRS 21, item 4) NONRECORD

Duplicate audiovisual items in excess of those record elements required for preservation, duplication, and reference service by 36 CFR 1228.184.

Destroy when no longer needed.

Graphic Arts

5. Viewgraphs: (GRS 21, item 5)

Destroy 1 year after use.

6. Routine Artwork: (GRS 21, item 6)

Routine artwork for handbills, flyers, posters, letterhead, and other graphics.

Destroy 1 year after final publication or when no longer needed.

6.1 Published Posters: (N1-434-90-1)

Posters depicting DOE facilities, research projects, security awareness themes and related topics which are distributed to Departmental and contractor offices as a means of promoting DOE program concerns and policy initiatives.

Permanent. Transfer 2 copies of each poster along with information about the poster (copyright, title, artist, date and file number) to the National Archives upon publication.

7. Photo-mechanical Reproduction: (GRS 21, item 7)

Line and Halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.

Destroy when no longer needed for publication or reprinting.

8. Line Copies: (GRS 21, item 8)

Line copies of graphs and charts.

Destroy 1 year after final production or when no longer needed.

Motion Pictures

9. Films Acquired from Outside Sources: (GRS 21, item 9)

Films acquired from outside sources for personnel and management training.

Destroy 1 year after completion of training program.

9.1 Non-Mission Training Films: (GRS 21.3 item 9.1)

Films developed or sponsored by the Department or its contractors for non-programmatic training; i.e., security or records management training.

Destroy 1 year after completion of training program.

9.2 Mission Training Films: (N1-434-98-23)

Films developed by the Department or its contractors for programmatic training that relates to the missions and functions of the Department.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

10. Entertainment Films: (GRS 21, item 10) **NONRECORD**

Films acquired from outside sources for personnel entertainment and recreation.

Destroy when no longer needed.

11. Routine Surveillance Footage: (GRS 21, item 11)

Destroy when 6 months old.

12. Routine Scientific, Medical, or Engineering Footage: (GRS 21, item 12)

Destroy when 2 years old.

12.1 Unique Films: (N1-434-98-23)

Unique or one-of-a-kind films that document programs, functions, and activities of significant scientific, environmental, medical, historical or public interest.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

13. Duplicate Print: (GRS 21, item 13) **NONRECORD**

Duplicate prints and pre-print elements in excess of those elements required for preservation by 36 CFR 1228.184.

Destroy when no longer needed.

Video Recordings

14. Programs Training Acquisitions: (GRS 21, item 14)

Programs acquired from outside sources for personnel and management training.

Destroy 1 year after completion of training program.

15. Entertainment Outside Acquisitions: (GRS 21, item 15) **NONRECORD**

Programs acquired from outside sources for personnel entertainment and recreation.

Destroy when no longer needed.

16. Rehearsal or Practice Tapes: (GRS 21, item 16)

Destroy immediately.

17. Internal Personnel and Administrative Training Programs:

- a. Programs that do not that do not reflect the mission of the Department. (These include "role-play" sessions, management and supervisory instruction, etc.) (GRS 21, item 17)

Destroy 1 year after completion of training program.

- b. Internal training programs that relate to the missions and functions of the Department.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business. (N1-434-98-23)

18. Routine Surveillance Recordings: (GRS 21, item 18)

Destroy when 6 months old.

19. Routine Technical Recordings: (GRS 21, item 19)

Routine scientific, medical or engineering recordings.

Destroy when 2 years old or when no longer needed.

19.1 Unique Recordings: (N1-434-98-23)

Unique or one-of-a-kind recordings that document programs, functions and activities of significant scientific, environmental, medical, historical or public interest.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

20. Routine Recordings: (GRS 21, item 20)

Recordings that document routine meetings and award presentations.

Destroy when 2 years old.

20.1 Mission-related Recordings: (N1-434-98-23)

Formal informational recordings (and scripts) by the Secretary or other senior officials for presentation to DOE and contractor entities that are of historical interest and relate to the mission, policies, scope of work or state of the Department.

Permanent. Cutoff at end of fiscal year. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

21. Duplicate dubbings: (GRS 21, item 21) **NONRECORD**

Duplicate dubbings and pre-mix elements in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184.

Destroy when no longer needed.

Audio (Sound) Recordings

22. Recordings Exclusively for Transcription: (GRS 21, item 22)

Recordings of meetings made exclusively for note taking or transcription, EXCLUDING recordings of proceedings of Presidential commissions and other executive commissions.

Destroy immediately after use.

22.1 Recordings of High-level Meetings: (N1-434-98-23)

Recordings of proceedings of high-level meetings of historical, public, scientific, or technical interest.

Permanent. Transfer to the National Archives in five-year blocks when the newest record is 5 years old. Earlier transfers are authorized if no longer needed for current Department business.

[NOTE: Recordings of Presidential and other executive commissions are not covered by the ADM. Such records are usually appraised as permanent, and they must be described on an SF 115 submitted to NARA for final disposition approval.

23. Dictation Belts or Tapes: GRS 21, item 23)

Destroy immediately after use.

24. Premix Sound Elements: (GRS 21, item 24)

Premix sound elements created during the course of a motion picture, television, or radio production.

Destroy immediately after use.

25. Library Sound Recordings (e.g., Effects, Music): (GRS 21, item 25) NONRECORD

Destroy when no longer needed.

26. Daily or Spot News Recordings: (GRS 21, item 26)

Daily or spot news recordings available to local radio stations on a call-in basis.

Destroy when 6 months old.

27. Duplicate dubbings: (GRS 21, item 27) NONRECORD

Duplicate dubbings in excess of those elements required for preservation, duplication, and reference by 36 CFR 1228.184.

Destroy when no longer needed.

Related Documentation

28. Production Files:

Production files or similar files that document origin, development, acquisition, use, and ownership of temporary audiovisual records.

- a. Temporary audiovisual. (GRS 21, item 28a)

Dispose of according to the instructions covering the related audiovisual records.

- b. Historically significant audiovisual records. (N1-434-98-23)

Permanent. Transfer to the National Archives along with related audiovisual records.

29. Finding Aids: (All finding aids, electronic as well as paper versions, whenever they exist).

Finding aids for identification, retrieval, or use of :

- a. Temporary audiovisual records. (GRS 21, item 29a)

Dispose of according to the instructions covering the related audiovisual records.

b. Permanent audiovisual records. (N1-434-98-23Bb)

Permanent. Transfer to National Archives along with related audiovisual records.

(Electronic versions should be in native format, as well as an ASCII version).