

U.S. Department of Energy
Washington, D.C.

ORDER

HQ 1324.1A

6-8-87

SUBJECT: RECORDS MANAGEMENT

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1. PURPOSE. To provide policy, responsibilities, and procedures for the implementation of the Headquarters Records Management Program.
 2. CANCELLATION. HQ 1324.1, RECORDS DISPOSITION, of 11-3-80.
 3. SCOPE. The provisions of this Order apply to all Headquarters Elements and Headquarters management and operating contractors performing work for the Department as provided by law and/or contract and as implemented by the appropriate contracting officer.
 4. REFERENCES.
 - a. DOE 0000.1A, STANDARD SUBJECT CLASSIFICATION SYSTEM, of 8-14-79, which establishes the system for classifying documents and records maintained in subject files.
 - b. DOE 1324.2, RECORDS DISPOSITION, of 5-28-80, which assigns responsibilities and authorities and prescribes policies, procedures, standards, and guidelines for the orderly disposition of records for Department of Energy (DOE) and its management and operating service contractors and subcontractors.
 - c. DOE 1324.3, FILES MANAGEMENT, of 3-21-81, which provides guidance for filing records, and in the selection and use of filing equipment and supplies.
 - d. DOE 1324.4, MICROGRAPHICS MANAGEMENT, of 11-2-83, which implements the requirements of 41 CFR part 101-11.5, and prescribes policies, procedures, standards and guidelines for developing, implementing, and operating efficient and cost-effective applications of micrographics technology.
 - e. DOE 1324.5, RECORDS MANAGEMENT PROGRAM, of 1-6-87, which sets forth the scope, objectives, and general authority for the Department of Energy (DOE) records management program and prescribes general responsibilities for management and operation of the program.

DISTRIBUTION:
All Headquarters Elements

INITIATED BY:
Office of Administrative
Services

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- f. DOE 5632.4, PHYSICAL PROTECTION OF SECURITY INTERESTS, of 11-4-85, which prescribes the DOE policies and objectives as well as the responsibilities and authorities for the physical protection of security interests and establishes minimum physical protection requirements and standards for such interests. The DOE 5600 series should be reviewed for related security procedures.
- g. DOE 5635.1, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 11-24-80, which provides guidance relative to the safeguarding and control of classified documents and information.

5. DEFINITIONS.

- a. Files Custodians. Departmental employees who have custody of files or a files station for which they perform maintenance and disposition actions and ensure that the records management program is carried out.
- b. Micrographic System. A configuration of equipment and procedures for the production, reproduction, maintenance, storage, retrieval, display, or use of microforms. A micrographic system may involve one or more of the functions listed above.
- c. Records Liaison Officer. A representative of a major Headquarters organization who serves as the point of contact between that organization and the Chief of Headquarters Records Management (MA-232.3).
- d. Records Holding Areas. A low cost facility, approved by the Headquarters Records Officer for records storage. A records holding area is currently maintained in both the Forrestal and Germantown Buildings.
- e. Washington National Records Center. The Federal Records Center, under the National Archives and Records Administration (NARA) in which Federal agencies located in the Washington, DC, area store noncurrent records.

6. POLICY. Headquarters Elements and their management and operating contractors shall :

- a. Develop and maintain a records management program which:
 - (1) Preserves 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) Establishes Records Inventory and Disposition Schedules (RIDS) for the organizational units of Headquarters and their management and operating contractors. These schedules shall:
 - (a) Identify, for preservation, records of continuing value.
 - (b) Establish retention periods for records of temporary value.
 - (c) Provide file custodians with instructions regarding file cut-off, retirement of records from office space to records holding areas, and disposal or transfer to a Federal Records Center, as appropriate.
- (3) Utilizes filing and micrographics systems advantageously for the effective management and control of records material.
- b. Effect the efficient use of office space by maintaining only current records in office space. All non-current records shall be handled in accordance with an approved RIDS and transferred to a records holding area.

7. RESPONSIBILITIES AND AUTHORITIES.

- a. Director of Administrative Services (MA-23), through the Director of Reference and Information Management (MA-232) and Chief of Headquarters Records Management (MA-232.3):
 - (1) Directs the Headquarters records management program.
 - (2) Designates a Headquarters Records Officer to be responsible for the Headquarters records management program.
 - (3) Establishes procedures and guidelines for the implementation and improvement of the records management program by Headquarters Elements.
 - (4) Establishes and operates record holding areas.
 - (5) Maintains liaison with Headquarters records liaison officers in connection with the scheduling, disposal, transfer, preservation of records, and other records management matters.
 - (6) Assists records liaison officers in providing training for Headquarters files custodians and other personnel to implement the records management program in their organizations.

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- (7) Conducts periodic reviews of Headquarters records management practices to ensure a regular and controlled flow from office to storage or destruction through the removal of records no longer needed for daily operations, and to ensure the efficient use of records maintenance equipment.
- (8) Reviews and approves DOE F 1324.10, "Records Inventory and Disposition Schedules" (RIDS), prepared by files custodians.
- (9) Develops, in conjunction with Headquarter records liaison officers, retention standards and recommended destruction authorizations for inventoried items not covered by an existing standard.
- (10) Authorizes and arranges for the transfer of records to and the retrieval of records from the Washington National Records Center.
- (11) Reviews and approves DOE F 1324.8, "Records Transfer," prepared by files custodians.
- (12) Arranges for transport of all records transferred to or retrieved from a records holding area, Washington National Record Center, and the National Archives.
- (13) Submits to the Chief Historian, Office of the Executive Secretariat (MA-295), a copy of each DOE F 1324.8 received for review and determination as to whether the transfer contains records of historical value.
- (14) Approves issuance of all records containers, shelving, safes, and other equipment upon or in which Government records may be maintained.
- (15) Coordinates with the Departmental Records Officer (MA-213) on matters of mutual concern.

b. Chief Historian, Office of the Executive Secretariat (MA-295).

- (1) Reviews a copy of each DOE F 1324.8 and indicates those containing records with possible historical value by stamping the forms as follows:

Historical Records

Material in these files is of interest to the DOE Historian. Please check with the History Division before scheduling for destruction.

- (2) Upon notification from MA-232.3, reviews records in Headquarters records holding area and determines materials of historical value.

c. Heads of Headquarters Elements.

- (1) Provide MA-232.3 with the name of their designated records Liaison officer.
- (2) Assure that records Liaison officers and files custodians receive training and are knowledgeable in the records management program.
- (3) Establish a monitoring system to assure that a regular and controlled flow of records exists from files to storage to destruction.
- (4) Prepare DOE F 1324.10 for all records and nonrecord materials maintained by files custodians. Submit the initial RIDS and annual updates to MA-232.3 for coordination and approval.
- (5) Prepare DOE F 1324.8 to effect the storage of inactive records in accordance with established cut-off instructions and retirement periods in approved RIDS.
- (6) Determine which contractors under their technical cognizance should be subject to the records management requirements of this Order and assure that the contracting officer is advised of this determination by means of the Procurement Request package (DOE F 4200.33 and attachments) so that applicable contracts contain appropriate language related to records retention.
- (7) Prepare DOE F 1324.6, "Report of Records Holdings," as required showing records holdings and disposals, and send to MA-232.3*
- (8) Assure that files custodians develop and maintain file maintenance systems which adhere to their respective organization's RIDS.
- (9) Use micrographic systems to achieve the objectives of the records management program.

- (10) Provide justification on DOE F 4250.2, "Requisition for Supplies, Equipment, or Service," for the issuance of all records containers, shelving, safes, and other equipment upon or in which Government records may be maintained.
- (11) Arrange for the immediate return to the warehouse of all overstock of records containers, shelving, safes, and other equipment upon or in which Government records may be maintained.

8. PROCEDURES FOR RECORDS INVENTORY AND DISPOSITION SCHEDULES.

a. Preparation and Approval.

- (1) Headquarters elements and their management and operating contractors shall prepare DOE F 1324.10 covering all records, including nonrecord materials, kept by an organizational unit. The RIDS must include cutoff instructions and retirement periods for inventoried items determined to have indefinite or short retention periods and provide complete and detailed information identifying the organizations responsible for the records. DOE 1324.2, Chapters IV and V, contains the schedules used for developing RIDS.
- (2) The original RIDS is sent through the records liaison officer to MA-232.3 for review and approval. Contractor submittals shall be in accordance with contracting officer instructions.
- (3) MA-232.3 reviews the schedule and checks for application of appropriate disposal authorities found in DOE 1324.2, Chapters IV and V. Differences are reviewed between MA-232.3 and the records liaison officer, with adjustments made prior to approval.
- (4) MA-232.3 returns the approved RIDS through the records liaison officer to the files custodian, and retains a copy for monitoring its application.
- (5) Files custodians review their RIDS annually and process new or updated schedules by 10-1 of each year. If there is no change in their RIDS, a negative reply must be sent, through the records liaison officer, to MA-232.3.

- b. Development of New Records Retention Standards. A records liaison officer, in conjunction with staff guidance from MA-232.3, develops records retention standards and disposal authorizations for any inventoried item not covered by an existing retention standard. When the criteria is agreed upon, the originating organization prepares a DOE F 1324.5, "Records Retention and Disposal Authorization," for each

new standard. The original plus two copies of the form, with a sample of the file unit attached, are sent to MA-232.3 for submission to MA-213 for obtaining approval from the National Archives and Records Administration.

9. PROCEDURES FOR THE RETIREMENT, STORAGE, AND TRANSFER OF RECORDS.

a. Retirement and Transfer.

- (1) Screening. Organizations desiring to transfer records from office space to records holding areas must screen out nonrecord materials prior to transfer of the records. Files custodians may request assistance from their respective records liaison officer so that screening arrangements and indexing are accomplished in a manner that will permit the records holding area staff to store the records with a minimum of rehandling. The Chief of Headquarters Records Management will provide guidance and assistance, as needed, in resolving screening and procedural problems.

(2) Records Transfer.

(a) preparation and approval of DOE F 1324.8, "Records Transfer."

- 1 DOE F 1324.8 is prepared by the files custodian for transferring records to the records holding area.
- 2 Records with retention periods of less than 1 year are kept in the originating office.
- 3 The organization initiating transfer must complete item 1 of DOE F 1324.8 in detail, as the specific organization is linked to locating the documents in a records center.
- 4 Box numbers provided by the organization initiating transfer are placed in the same block as the item title. The records holding area box number block is reserved for records holding area numbers.
- 5 The original DOE F 1324.8 is sent to MA-232.3 for review and approval, and returned to the files custodian, through the records liaison officer, for the transfer of records.
- 6 The approved original DOE F 1324.8, plus two complete copies, and two additional copies of the first page, must be placed in the first box of records to be stored.

I One copy of the DOE F 1324.8 should be retained by the files custodian pending return of an executed copy, from the records holding area showing evidence of receipt of the records . transferred with the notation of assigned records holding area location, job number, date, and number of cubic feet.

- (b) Standard Form 135, "Records Transmittal and Receipt," is prepared by the records holding area staff for transferring records to the Washington National Records Center. Records transferred must have at least 3 years remaining in their retention periods and have little or no anticipated reference requirements. The original and two copies of the form must be approved by the Washington National Records Center prior to shipment of records. The DOE record group number under item 6(a) of the Standard Form 135 is "434" and must be used for records created after 10-1-77.
- (c) Proposals to transfer Headquarters records to the National Archives, to other Federal agencies, or to non-Federal recipients are sent through MA-232.3 to the Director of Administration (MA-2), Attention: Office of Organization and Management Systems (MA-21).

(3) Containers.

- (a) Records storage boxes of 1 cubic foot capacity are obtained from DOE supply stores upon submission of a completed DOE F 4250.2, "Requisition for Supplies, Equipment, or Services," approved by MA-232.3. Containers are usually issued only for transferring records to a records holding area.
- (b) A records box will accommodate 15 inches of letter-size files placed facing the front of the box and 12 inches of legal-size files placed facing the side of the box. About 1 inch of space is needed to perform reference services from containers.
- (c) place box numbers in the upper right corner of the front of each box, i.e., 1 of 3, 2 of 3, and 3 of 3.

(4) Scheduling of Records Pickups.

- (a) Records transferred from originating organizations to the records holding area are scheduled for pickup by the records holding area staff.

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- (b) Arrangements for storing and retrieving noncurrent files at the Washington National Records Center are also made by the records holding area staff.
 - (c) DOE F 1324.3 "Records Pick-Up Service," is completed and processed by the originating organization when scheduled records are picked up.
 - (d) Upon approval of the records transfer, the originating organization should also prepare a DOE F 4250.2 requesting pick-up of the records for storage in the records holding area. The DOE F 4250.2 must be appropriately notated if boxes contain classified material. This form is sent to the designated records holding area when service is requested.
- (5) Security Requirements. Accountability for classified records remains with the organization initiating records transfer. MA-232.3 will arrange for the physical transfer of classified records to the records holding area in accordance with procedures contained in DOE 5632.4, PHYSICAL PROTECTION OF SECURITY INTERESTS, and related security procedures contained in the DOE 5600 series. On receipt of such material in the records holding area, a check will be made of the DOE F 1324.8 prior to accepting records for storage. Classified and unclassified records may not be placed in the same records box unless at least 80 percent or more of the documents are classified.

b. Access to Stored Records.

- (1) Access to records or information contained in records stored in the records holding area requires:
 - (a) Identification, by job and box numbers, of the specific records to be reviewed.
 - (b) DOE security clearance the same as, or higher than, the records requested and a need to know.
 - (c) An access memorandum issued by the organization for which the records are being held and forwarded to the Chief of Headquarters Records Management, MA-232.3, identifying the name, security level, and routing symbol of the individual seeking admission.
- (2) Boxes or containers housing records will not be opened by records holding area personnel, except to perform record services. In

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instances where the contents of boxes or containers necessitate special security precautions, contact MA-232.3 so that the necessary arrangements can be made.

- (3) Organizations requiring reference services on records stored in either the records holding area or the Washington National Records Center facilities should contact the records holding area staff (MA-232.3). Requesting officials (authorized access to the records holding area) must supply the job control number and sufficient description to permit ready identification of desired material. Files and documents removed from storage areas are charged out to the recipient and classified material must be transmitted in accordance with DOE 5635.1.



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