



# ORDER 243.1

Title:	<b>RECORDS MANAGEMENT PROGRAM</b>
Owner:	Robert Clonch, Records Officer, Information Technology Division, Office of Institutional and Business Operations
Approving Official:	Thomas M. Torkos, Chief Operating Officer, Office of the Director  {signature} <u>/s/ Thomas M. Torkos</u>
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Cancellation:	Order 243.2A, Records Management Program

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Order 243.1, Records Management Program

1. **PURPOSE**

- a. To set forth the requirements and responsibilities for implementing and maintaining a cost-effective Records Management Program for the National Energy Technology Laboratory (NETL).

2. **APPLICABILITY**

- a. The provisions of this order apply to all NETL organizational elements and contractors, and apply to the management of all NETL records, including those created or received, used, maintained, and/or disseminated by contractors pursuant to their contracts.

3. **POLICY**

- a. It is the policy of NETL to abide by the requirements contained in:
  - (1) DOE Order 243.1, Records Management Program.
  - (2) DOE Records Management Policy.
  - (3) NETL Procedure 450.1-11, ES&H Record Identification and Retention.

4. **IMPLEMENTATION**

- a. Implement a records management program that complies with the requirements for managing records in all formats, including early capture and control through their life cycles.
  - (1) Electronically formatted records will be maintained in an approved electronic records management application meeting the requirements of DOE-STD-4001-2000, "Design Criteria Standard for Electronic Records Management Software Applications," dated March 2000.
  - (2) E-mail records will be managed along with their metadata, including a list of recipients and time of receipt, if available.
  - (3) Electronic systems, such as instant messaging, that are not regularly backed up and controlled should not be used for conducting official departmental business.
  - (4) Until an electronic records management system is available and implemented, electronic records will be printed and retained as paper files.
- b. Preserve adequate records documenting the organization, functions, policies, decisions, procedures, and essential transactions, including record material containing evidence or

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information appropriate for preservation because of its administrative, legal, scientific, or historic value.

- c. Create and maintain current file plans/indexes that describe all categories of records created, received, and maintained by personnel in the course of their official duties.
- d. Preservation and disposition of records in accordance with National Archives and Records Administration (NARA) using approved records disposition schedules, as posted on the NETL Records Management webpage at <http://intranet/it/records/records.htm>.
- e. Preserve records placed under a destruction moratorium (freeze) as necessary to support audits, court cases, Freedom of Information Act appeals, or similar obligations.
- f. Request disposition authority from Headquarters, through NETL records officer, for all unscheduled records.
- g. Store records in a manner that meet the requirements of Title 36 Code of Federal Regulations (CFR) 1228, Subpart K [36 CFR 1228.220-1228.244]. Unscheduled records are not to be sent offsite for storage at either NARA or commercial facilities.
- h. Conduct internal evaluations of records management practices and programs, including the economy of the operation, at least every 3 years.
- i. Ensure records management program training is provided for all personnel with records management responsibilities on a regular basis.
- j. Identify vital records and preserve them to ensure they are maintained, kept current and where appropriate, available in the event of a continuity of operations or catastrophic event.
- k. Ensure the site exit process includes a requirement for the transfer of custodianship of federal records to another employee when employees leave on a permanent or long-term basis to prevent inadvertent loss, destruction, or alienation of federal records.

### 5. **RESPONSIBILITIES**

- a. **Director, Office of Institutional and Business Operations**
  - (1) Has overall responsibility for ensuring that the Records Management Program is administered in accordance with the requirements of all federal laws and regulations, executive orders, DOE orders, DOE manuals, DOE standards, accepted external standards, and authoritative issuances.

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- (2) Ensures implementation of this order by conveying to both NETL management and to employees their responsibility for compliance with record management requirements.

b. Director, Information Technology Division

- (1) Assigns authority and responsibilities for the management and operation of the NETL's Records Management Program, including designating a records officer for the organization.

c. Records Officer

- (1) Administers the Records Management Program in accordance with the requirements of all federal laws and regulations, executive orders, DOE orders, DOE manuals, DOE standards, accepted external standards, and authoritative issuances.

6. **REQUIREMENTS**

- a. DOE Order 243.1, [Records Management Program](#).
- b. DOE Order 243.2, [Vital Records](#).
- c. NETL Order 150.1, [Continuity of Operations](#).
- d. NETL Order 450.1, [Environmental Management System](#).
- e. 36 CFR, Chapter 12, Subchapter B, [Records Management](#).
- f. 44 U.S.C., Chapters 21, 29, 31, 33, and 35.
- g. [DOE Records Management Policy](#).

7. **REFERENCES**

- a. NETL Procedure 450.1-11, [ES&H Record Identification and Retention](#).
- b. [E-Government Act of 2002 \(P.L. 107-347, 44 U.S.C. Ch 36\)](#).
- c. [Freedom of Information Act \[P.L. 89-487, 5 U.S.C. 552 \(g\)\]](#).
- d. [NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules](#).
- e. OMB Circular Number A-130, [Management of Federal Information Resources](#).
- f. [Paperwork Reduction Act \(P.L. 104-13, 44 U.S.C. 3501 et seq.\)](#).

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- g. [Privacy Act \[P.L. 93-579, 5 U.S.C. 552a\(m\)\]](#).
- h. [Records Management section of the DOE Chief Information Officer web site](#).

8. **DEFINITIONS**

- a. **Disposition** — Actions taken regarding records no longer needed to conduct regular, current business.
- b. **Electronic Records** — Information recorded in a form that only a computer can process that satisfies the definition of a record.
- c. **File Plan** — A systematic method of identifying the specific types of records maintained, series descriptions, and disposition authorities (for example, a records inventory and disposition system or other systems used to identify, locate, and retrieve records).
- d. **Metadata** — Descriptions of the content, structure, data elements, interrelationships, and other characteristics of records; record profiles or indexing data.
- e. **National Archives and Records Administration (NARA)** — Agency responsible for appraising, accessioning, preserving, and making available permanent federal records.
- f. **Records** — All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the 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 (44 U.S.C. 3301).
- g. **Records Management** — Planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of the policies and transactions of the federal Government and effective and economical management of agency operations.
- h. **Schedule** — National Archives and Records Administration approved authorization for the disposition of federal records. The NETL records disposition schedules are posted on the NETL Records Management webpage at <http://intranet/it/records/records.htm>.
- i. **Vital Records** — Those that are essential to the continued functioning or reconstitution of an organization during and after an emergency including those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities.

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9. **REVISION HISTORY**

<b>VERSION</b>	<b>DATE</b>	<b>SUMMARY OF CHANGES</b>
Original	7/29/02	To set forth the requirements and responsibilities for implementing and maintaining a cost-effective Records Management Program for the National Energy Technology Laboratory (NETL).
A	9/16/03	Revisions include more detail in the Requirements section, dealing with the structure of the program. Other changes include removing unnecessary definitions and other minor changes for clarity.
243.1	1/7/08	The order has been rewritten and placed into the new directives format. The number was changed to align with current DOE directives.

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