



PROCEDURE 243.2-7

Title:	RECORDS SCHEDULING AND DISPOSITION PROCEDURE
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ATTACHMENTS

Attachment 1, Flow Chart to the Procedure

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FORMS

NETL Form 243.1-1, [Records Retention and Disposition Authorization](#)

NETL Form 243.1-2, [Transfer of NETL Records to NETL Archives](#)

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Procedure 243.2-7, Records Scheduling and Disposition Procedure

1. **PURPOSE**

- a. To establish procedures for applying records disposition schedules to and archiving federal records at National Energy Technology Laboratory (NETL).

2. **APPLICABILITY**

- a. This procedure applies to all federal and contractor employees at all NETL sites.

3. **PROCEDURE**

a. **Identify Document**

- (1) Federal records need to be distinguished from non-record materials and personal papers for disposition purposes. The law defines federal records as documentary materials regardless of physical form or characteristics that meet the following two conditions:

- (a) Created or received by an agency of the United States Government or in connection with the transaction of public business, or that fall under the legal control of the federal Government;
- (b) Preserved or appropriate for preservation as evidence of agency activities or because of the value of the information they contain (44 U.S.C. 3301).

- (2) Non-records are U.S. Government-owned documentary materials excluded from the legal definition of records (44 U.S.C. 3301), either by failing to meet the general conditions of record status already described or by falling under one of three specific categories:

- (a) Extra copies of documents preserved only for convenience of reference.
- (b) Stocks of publications and of processed documents, excluding those copies that NETL needs to create and maintain.
- (c) Library and museum material made or acquired and preserved solely for reference or exhibition purposes.

b. **Schedule Records**

- (1) If the document is a record, then a schedule needs to be applied.
 - (a) If a document meets the definition of a record, review the online records schedules at the address below in section c to identify the retention and disposition period for your record. Familiarity with record content will enable the custodian to identify the most applicable retention and

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disposition schedule. In cases where more than one type of record is stored with other records, always use the schedule with the longest retention period. For assistance, contact records management (RM).

- (b) Records in a series or system should be cut off or broken at regular intervals, usually annually, to permit their disposal or transfer in complete blocks and to permit the establishment of new files. Cutoffs are needed before disposition instructions can be applied because retention periods usually begin with the cutoff, not with the creation or receipt of the records.
 - (c) NETL site-specific schedules can be found at <http://intranet/it/records/records.htm>.
- (2) If the document is a non-record containing no documentary or evidential value, the material should be destroyed when its purpose is served. Non-records should not be packed with records or sent to the records archives.

c. Preparing to Send Your Records to Retention

- (1) When a series of records is cutoff or become inactive, they can be sent to records retention.
 - (a) Obtain a records retention box and complete NETL Form 243.1-1, Records Retention and Disposition Authorization. NETL Form 243.1-1a, Continuation Sheet, is available on the Forms web page and the RM web page, if needed.
 - (b) Review files and remove all non-record material, paper clips, binder clips, plastic binders, or three-ring binders before placing record material into the box. Use an elastic band to secure records.
 - (c) As documents/files are placed in the box, write or type a detailed description of the records on NETL Form 243.1-1, Records Retention and Disposal Authorization. The information provided on the forms will be entered into the records management system (RMS) database and will be used to search the database in the event records should be needed in the future. Records staff will assign a box number and archival location to the records and a copy of the form will be returned to the custodian.
 - (d) Make two copies of the completed NETL Form 243.1-1 (and NETL Form 243.1-1a, if used), place them into the records box, then fold the box, and make arrangements to send your box to records management. For assistance, contact your records management office.

- (e) Complete NETL Form 243.1-2, Transfer of NETL Records to NETL Archives, and attach to the front of the box.
- (f) For individual ES&H/EMS files, complete NETL Form 243.1-1, Records Retention and Disposal Authorization, and forward it to records management. The records generated must have a NETL directive as a reference and the title/content of the record(s) must be related to the referenced directive.

d. Identifying Archived Records for Destruction

- (1) Records management staff will review the database and create destruction reports quarterly. A notification will be sent to the box custodian containing a detailed description of the records being considered for destruction, along with records dates, scheduling information, date of pending destruction, and a designated signature area for destruction authorization, and, if needed, an area for extended retention justification.
- (2) Record custodians have 15 days in which to review records identified for destruction and respond to RM with destruction authorization or requests for extended retention. During this time, records custodians should:
 - (a) Review all records identified for destruction as per provided report.
 - (b) Review records schedule to ensure accuracy.
 - (c) Justify an extension beyond the disposition date, in writing. Justification for continued retention must indicate the definite need (audit, legal, or other pertinent issues) and the estimated duration of the continued need for the records to be retained.
- (3) Records identified for destruction will be destroyed onsite by a certified licensed document management company, only after receipt of authorization and final approval from the NETL records officer, when applicable.

4. RESPONSIBILITIES

a. NETL Records Officer

- (1) Be responsible for program activities supporting the NETL Records Management Program, providing direction to contractor staff, and promoting full participation from management and employees.

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b. Division Directors

- (1) Assign authority and responsibilities for compliance with the NETL Records Management Program by:
 - (a) Identifying a file custodian to the division who will ensure compliance with the Records Management Program directives and federal regulations.
 - (b) Ensuring that records custodians are aware of and comply with the Records Management Program and federal regulations.

c. Records Management Lead

- (1) Oversee contractor operations of the NETL records archives for the storage of NETL records and Records Disposition Program.
- (2) Maintain directives and guidelines in compliance with all federal regulations affecting records management disposition.
- (3) Review NETL's records management disposition programs periodically to assess effectiveness of program and compliance with DOE and NETL directives.
- (4) Follow guidelines to ensure NETL permanent historical records are transferred to NARA after 25 years retention.
- (5) Assure that a certified document management company has been hired to destroy agency records, in compliance with the 36 CFR.
- (6) Develop retention standards and recommended destruction authorization for inventoried items not covered by existing standards.
- (7) Periodically monitor NETL's record identification and retention activities to ensure that this procedure is being followed.
- (8) Maintain procedures and guidelines for records created by federal and contractor employees.

d. Records Management Staff

- (1) Provide records guidance/support to all employees.
- (2) Upon receipt of records, verify applied schedules, assign a box number and archive location, and determine final disposition based on records dates. Provide records custodian with a copy of completed form (243.1-1).

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- (3) Contact records custodians 2 weeks prior to destruction of records to obtain authorization for destruction. Notification should include:
 - (a) A copy of 243.1-1, Records Retention and Disposal Authorization form(s) or
 - (b) A list of records from the RMS database or the EMS/ES&H database.
- (4) Protect and restrict access to records stored in the archives or in designated office areas by requiring authorization (via e-mail) from the records custodian prior to allowing access to non-record custodians.

e. File Custodians

- (1) Periodically inspect records in division file cabinets to ensure records contain appropriate disposition schedules and name(s) of records custodian(s).
- (2) Assist records custodians or other employees requiring records guidance to the Records Management web page or to the records management office.
- (3) Assist employees in arranging for the delivery of boxes to the records archive.
- (4) Conduct periodic checks of storage areas to ensure records are being maintained in accordance with HQ, NARA, and other federal standards.
- (5) Conduct quarterly reviews of archived records to identify records that have met their destruction dates.
- (6) Assure and maintain that the destruction of NETL records is conducted in accordance with 36 CFR and NETL procedures.

f. Record Custodian

- (1) Be responsible for identifying paper and/or electronic material as a “record.”
- (2) Apply an applicable disposition schedule to each record generated or received.
- (3) Maintain records in accordance with 36 CFR, Chapter 12, Subchapter B, “Records Management,” and 44 USC 3102.
- (4) Review records identified for destruction by records staff and provide authorization for destruction for those records meeting retention and disposition guidelines as provided in the records schedule.

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5. **TRAINING**

- a. All NETL employees are required to complete the records management computer-based training (CBT).

6. **RECORD CONTROL**

- a. All records shall be maintained in accordance with applicable CIO and NARA records schedules.
- b. Forms will be maintained in accordance with CIO Administrative Disposition Schedule 16.7.

7. **REQUIREMENTS**

- a. DOE Order 243.1, [Records Management Program](#).
- b. [DOE Records Management Policy](#).

8. **REFERENCES**

- a. NETL Order 243.2, [Records Management Program](#).
- b. 36 CFR, Chapter 12, Subchapter B, “Records Management.”
- c. 44 U.S.C., Chapter 21, “National Archives and Records Administration.”
- d. 44 U.S.C., Chapter 29, “Records Management by the Archivist of the United States and by the Administrator of General Services.”
- e. 44 U.S.C., Chapter 33, “Disposal of Records.”
- f. [Department of Energy Chief Information Office Records Disposition Schedules](#).
- g. [National Archives and Records Administration General Records Schedules](#).

9. **DEFINITIONS**

- a. **Cutoff** — Breaking or ending files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cutoff at the end of the year in which the case is closed.
- b. **Department of Energy’s Office of the Chief Information Officer (CIO)** — CIO is responsible for guidance for effective use of information technology (IT) and for managing the

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department's IT resources. Records management falls under the purview of the CIO and as a result, the CIO provides records management guidance to all DOE facilities.

- c. Disposition — The actions taken when records are no longer needed for current government business. These include disposal of temporary records no longer needed for the conduct of business by destruction or donation to an eligible person or organization outside of federal custody in accordance with the requirements of 36 CFR 1228, transfer of records to NETL records archives or Federal Records Centers, transfer records from one federal agency to another, or transfer of permanent records to the National Archives.
- d. File Custodian — The individual responsible for daily maintenance and operation of departmental or division records areas.
- e. National Archives and Records Administration (NARA) — An independent federal agency responsible for establishing policies and procedures for management of federal records.
- f. NETL Records Archives — A storage facility for NETL records. Also called “archives,” “records storage,” or “storage area.”
- g. Non-record Material — Non-record material consist of information contained on any media having no documentary or evidential value. The term includes stocks of publications, library material, and duplicates copies of file material such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value such as worksheets, informal notes, and routing slips. Non-record material should be destroyed when its purpose is served.
- h. Personal Papers — Personal papers consist of documentary materials belonging to an individual that are not used to conduct official business. They relate solely to the individual's own affairs and are used exclusively by the individual for personal convenience. Personal papers must be clearly designated as such and kept separate from official records.
- i. Record(s) — Includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by NETL under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by NETL 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 (44 U.S.C. 3301).
- j. Records Custodian — The federal employee who creates records and through familiarity with the record content, is best suited to apply a records schedule to those records, or identify records for disposition.

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- k. Records Disposition Schedule — A document that provides mandatory instructions or authority for the final disposition of records. It provides mandatory instructions for what to do with records (and non-record materials) no longer needed for current government business.
- l. Temporary Records — Records which are disposable after a fixed period of time or, if NARA has granted an exemption, after a specific event.

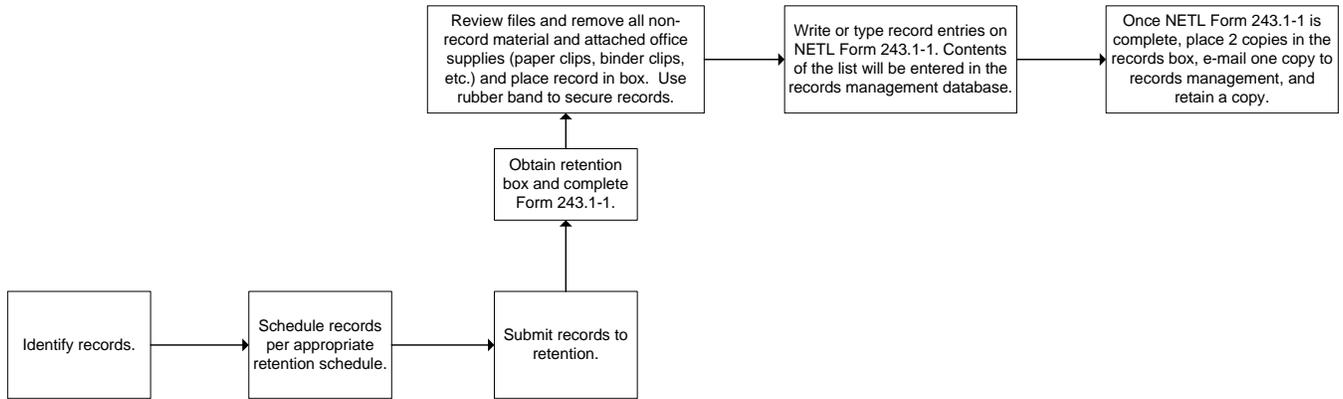
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10. **REVISION HISTORY**

VERSION	DATE	SUMMARY OF CHANGES
Original	5/29/08	To establish procedures for applying records disposition schedules to and archiving federal records at National Energy Technology Laboratory (NETL).

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FLOW CHART OF THE PROCEDURE



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