U.S. DEPARTMENT OF ENERGY
THOMAS JEFFERSON SITE OFFICE

RECORDS MANAGEMENT PROCEDURE

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RECORDS MANAGEMENT

1.0 OBJECTIVE

This procedure establishes the requirements and responsibilities necessary to implement and maintain a records management program at Thomas Jefferson Site Office (TJSO) in compliance with Federal regulations and DOE/TJSO requirements.

2.0 SCOPE

This procedure applies to all individuals who prepare, process, and maintain correspondence and documents for record and non-record purposes within the TJSO. The provisions of this procedure also apply to support personnel reporting to the TJSO.

3.0 REFERENCES

3.1 36 CFR, Chapter XII, Subchapter B, Records Management, Parts 1220-1238, provides regulations implementing the U.S.C.
3.2 DOE Order 243, Records Management Program, February 3, 2006
3.3 44 U.S.C. 2901 through 2909 govern records management by NARA and the General Services Administration (GSA)
3.4 44 U.S.C. 3101 through 3107 governs records management by Federal Agencies
3.5 18 U.S.C. 2071 describes penalties for willfully and unlawfully destroying, damaging, or removing Federal records

4.0 RESPONSIBILITIES

4.1 TJSO Manager

4.1.1 Verifies a TJSO records management program is implemented and sustained in accordance with the requirements of applicable Federal laws and regulations.

4.1.2 Approves this Management Procedure and all subsequent revisions.

4.2 TJSO Deputy Manager

4.2.1 Approves records management policies and procedures as designated by the Manager.

4.3 TJSO Office Manager

4.3.1 Manages TJSO Records Management Program.

4.3.2 Maintains direct interface with the Oak Ridge Office (ORO) Records Management Program Officer, located at the Oak Ridge Service Center, so that the TJSO is current on issues related to records management.

4.3.3 Develops, documents, implements, and maintains TJSO recordkeeping system that results in preservation, retrieval, use, and disposition of records.

4.3.4 Verifies recordkeeping requirements are established and met.

4.3.5 Verifies standardized filing systems are utilized throughout the TJSO.

4.3.6 Develops, approves and implements TJSO Offices' Records Inventory and Disposition Schedules (RIDS).

4.3.7 Conducts surveillances of TJSO file station to ensure that records management procedures, practices, and techniques are documented and implemented adequately.

4.3.8 Identifies and requests the resources and support necessary to conduct a compliant, effective, and efficient TJSO records management program.

4.4 TJSO Employees

4.4.1 Adheres to the records management requirements as established in this Procedure.

4.4.2 Periodically reviews the information contained within their respective offices to determine compliance with the records requirements as addressed in this procedure. Ensures any deficiencies are corrected in a timely manner.

4.4.3 Creates, maintains, and preserves legible records to properly document functional area activities, organization, functions, policies, decisions, procedures, and essential transactions.

4.4.4 Assigns file codes to records created, received and maintained in the course of official duties.

4.4.5 Protects records in their possession from loss, control of duplication, damage, and unauthorized access.

4.4.6 Do not retain convenience and copies of TJSO records past the scheduled disposition date.

4.4.7 Prior to departure from TJSO employment, surrenders all agency records to their direct supervisor in accordance with the applicable check out procedures.

5.0 REQUIREMENTS

5.1 Objectives.

5.1.1 Encourages utilization of Electronic Document Management Systems (EDMS) to manage records throughout their life cycle.

5.1.2 Preserves and protects legacy records and information.

5.1.3 Minimizes the paperwork and recordkeeping burden.

5.1.4 Minimizes the cost of records management activities and maximize the usefulness of departmental records.

5.1.5 Maintains an active continuing program for economical, efficient, and improved management of records.

5.1.6 Effectively controls the creation or collection, organization, maintenance, use and disposition of records in the conduct of business while complying with Federal laws and regulations.

5.1.7 Maintains appropriate access to records.

5.1.8 Establishes and disseminates recordkeeping requirements, which provide for the adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions. The purposes of the requirements are to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the Department's activities.

5.1.9 Routinely applies approved retention and disposition standards to records.

5.1.10 Provides for the prompt destruction of non-record material when no longer necessary for reference purposes.

5.1.11 Prevents removal of official records from Government custody without authorization. Individuals who create, utilize, and acquire custody or possess records do not thereby retain a proprietary interest in such records. Official TJSO records are public assets and belong to the Government, not to individuals by virtue of their position. Penalties for the willful and unlawful destruction, removal from files and private uses of official records are found in 18 USC 2071 (Destruction of Records).

5.1.12 Provides appropriate training for the management and operations of the records management programs and activities.

5.2 E-mail.

5.2.1 Few e-mails are records-worthy by themselves. Their value is normally based on the attachments transmitted by them and the record of who received them. E-mails worthy of retention should be placed in a record series based on content.

5.3 Maintenance and Use of Records.

To accomplish an effective filing system for active records, the TJSO personnel shall perform the following:

5.3.1 Office set-up:

5.3.1.1 Determine what records are necessary to carry out assigned functions.

5.3.1.2 Assess where records should be located. File station should be decentralized to maximum extent possible so they will be readily accessible to those who use them.

5.3.1.3 Evaluate what filing arrangements and equipment the office is to use.

5.3.1.4 Retain only those record and non-record materials that the office needs to carryout its functions and day-to-day activities.

5.3.2 Files index:

5.3.2.1 A files index for material in paper format shall be developed that will identify and aid in locating records. This system is designed to utilize sub-categories to specifically identify files content and location. Additional record series files may be added to the category as shown in the following example:

400	**PROCUREMENT**
401	JSA Contract
401.1	JSA Contract – General
401.2	JSA Contract Mods
402	JSA Contract Transition
403	Contracts Non-M&O
404	SEB – FY06
405	TJSO Procurement Authority
406	Contractor's Procurement Authority

5.3.2.2 Additional categories may be developed and added.

5.4 Records Inventory and Disposition.

5.4.1 Inventories will be conducted triennially, every third year, per TJSO guidance to:

5.4.1.1 Provide a complete and comprehensive accounting of material retained.

5.4.1.2 Ensure an ongoing records management effort to have an effective and efficient filing system.

5.4.1.3 Establish the basis for developing disposition instructions for record and non-record material maintained by the activity.

5.4.2 Records will be dispositioned by:

5.4.2.1 Continued retention in the current files area.

5.4.2.2 Waste or physical destruction.

5.4.2.3 Transfer to the Federal Records Center.

5.5 Maintenance of Personal Papers and Reference Materials.

5.5.1 Personal papers must be clearly designated as non-official records and must be filed separately from official records.

5.5.2 Non-record and reference materials collected and maintained in the work area, for convenience of reference, shall also be periodically screened by the users for appropriate disposition. Reference materials consisting of books, periodicals, pamphlets, catalogs, reports, and similar bookcase-type material, when outdated or obsolete, occupy valuable storage area or workspace.

5.6 Assessments.

5.6.1 Periodic self-assessments shall be conducted to identify problems and set priorities for program improvements.

5.6.2 The following records management activities will be assessed as a minimum:

5.6.2.1 Files Index

5.6.2.2 Files Inventory

5.6.2.3 RIDS Application

5.6.2.4 Files Disposition

5.6.3 Assessments of Site Records Storage Facilities will be conducted in accordance with 36 CFR 1228, Sub-Part K, and will be forwarded per suspense dates identified.

6.0 RECORDS

Records are maintained in accordance with TJSO's Records Management Procedure.

APPENDIX A – DEFINITIONS

A. Active Records – Records necessary to conduct current day-to-day business.

B. Disposition – The actions taken in regards to records no longer needed to conduct regular or current business. Disposition is a comprehensive term that includes both destruction and transfer of records to an approved storage location.

C. File Codes – All records are assigned index numbers called file codes that serve as identifiers of the category of the record. The file code serves a purpose of allowing records to be organized into subject based categories. File codes may be subdivided as needed.

D. File Plan – Plan identifying the specific types of records maintained, organizational elements having custodial responsibility for them, records series descriptions, and disposition authorities. A file plan facilitates the identification, location, and retrieval of records.

E. Inactive Records – Records no longer needed for ready reference but whose disposition authority has not been reached.

F. Inventory – A detailed listing of the volume, scope, and complexity of an organization's records. The results of an inventory can be used to analyze the records for various purposes including retention and protection (in accordance with the associated file plan).

G. Non-record Materials – Information having no documentary or evidentiary value. The term includes stocks of publications, library material, duplicate 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 no longer needed.

H. Permanent Records – Those records that NARA appraisals as having sufficient value to warrant continued preservation by the Federal Government as part of the National Archives of the United States.

I. Personal Papers – Documentary materials belong to an individual that are not used to conduct official business. They relate solely to the individual's personal and private affairs or are used exclusively for that individual's convenience. Personal papers must be clearly designated as such and kept separate from official records.

J. Quality Assurance Record – A completed document that furnishes evidence that items or activities meet specified quality requirements.

K. Recordkeeping System – A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

L. 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).

M. Record Copy, or official record – The official copy of the record, regardless of the medium.

N. Records Schedules (also referred to as records disposition schedules) – The records schedules provide mandatory instructions for the disposition of records when they are no longer needed. All Federal records must be scheduled.

O. Records Series – File units or documents arranged according to a filing system or kept together because they relate to a particular topic, subject, or function; result from the same activity; document a specific kind of transaction; take a particular physical form; or have some other relationship arising out of their creation, receipt, or use (such as restrictions on access and use).

P. Temporary Records – Records approved by NARA for disposal either immediately or after a specified retention period, as determined by the TJSO file plan. Records that are not temporary records are called permanent records.

Q. 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. Vital records are sometimes called essential records. Vital records considerations are part of DOE's continuation of operations program.

R. National Archives and Records Administration (NARA) - Agency responsible for appraising, accessioning, preserving, and making available permanent Federal records.

S. 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.