Applicability

This procedure outlines the Laboratory's program for records management. It is applicable to all activities at PPPL.

Introduction

The contract between Princeton University and the U.S. Department of Energy requires that a records management program be established and implemented at PPPL. In order to fulfill this requirement, PPPL has chosen to implement a distributed system for records management.

All Laboratory records (see Definitions) must be inventoried and scheduled for disposition according to approved Record Schedules (see Attachments 1 and 2). This process results in the identification of each record series, its cutoff date, and a determination of its required retention period. Most PPPL records are temporary, i.e., they may be destroyed at the end of the retention period. Records in certain categories must be retained permanently (see Attachments 1 and 2).

Only one copy of a record, the primary copy, need be kept to satisfy retention requirements. Other copies may be maintained for convenience and destroyed when they are no longer needed. The primary record may or may not be the original of a document. For example, the primary record of correspondence is likely to be a duplicate of the original sent to the addressee. Electronic files may also be deemed primary records and such files must be retained according to the appropriate records schedule. Electronic files require additional documentation (see Attachment 5).

Certain documents are not considered to be records (see Definitions) and, consequently, are excluded from the inventorying and scheduling requirements. For example, library or museum materials made or acquired and preserved for reference or exhibition purposes, convenience copies (as noted above), and stocks of publications, are not considered to be records.

Individuals who willfully and unlawfully destroy, remove or obliterate PPPL records will be subject to fines and imprisonment of up to three years.

Reference Documents

Contract No. DE-AC02-76CH03073, between Princeton University and Department of Energy
DOE Order 200.1 Information Management Program
Title 5, United Stated Code, Freedom of Information Act
Title 18, United States Code, Crimes and Criminal Procedure
Title 44, United States Code, National Archives and Records Administration
Title 36, Code of Federal Regulations, National Archives and Records Administration
Title 41, Code of Federal Regulations, Public Contracts and Property Management
OMB Circular No A-130, Management of Federal Information Resources
P-015 Records Management

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Definitions

Cut off Date: Selected period of time when a file is closed. As an example, correspondence records may be "cut off" at the end of the fiscal year.

Documentary materials: records and nonrecord materials for all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of the recording. (36CFR1220.14)

Nonrecord materials: those Federally owned informational materials that do not meet the statutory definition of records. Extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials are excluded. (36CFR1220.14)

Permanent record: any Federal record determined by the National Archives and Records Administration to have sufficient value to warrant its preservation in the National Archives. (36CFR1220.14)

Quality Record: is a document or media that provides objective evidence of an item, service or process and is retained for its expected future value. Typical quality documents and records include records documenting the design basis, review, and revision; project procedures, plans, and manuals; project operations records; project test results; accident reports; audit reports, checklists, and schedules; training records; document control records; certification, inspection and test records; and drawings. Additional requirements are imposed on quality records, including definition of quality records; preparation, review, approval, revision, and distribution process; protection, preservation, revision, traceability, accountability, and retrievability; and method for storage including protection from damage, loss, and deterioration. A small subset of these quality records should be maintained for the lifetime of a project. These might include records that: document the capability of an item to be safely operated; how an item is maintained, reworked, repaired or modified; document significant details as to the cause of an accident or malfunction; or provide a baseline for future inspections.

Record: 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 Untied States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included. (44USC3301)

Records Management: planning, controlling, directing, organizing, training, and other activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the Federal Government. (44USC2901(2).

Temporary record: any record which has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by the National Archives and Records Administration. This determination may take the form of records designated as disposable in a General Records Schedule. (36CFR1220.14)

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Vital Record: is any information critical to effective emergency response management and ensure the protection of the legal rights and interests of citizens, PPPL employees, subcontractors, visitors and Governments. Emergency Operating Records are records vital to the essential functions of the Federal Government for the duration of an emergency if the country is attacked. These records include: records necessary for the military effort; the mobilization and protection of material, personnel resources of services and of systems; the maintenance of public health, safety, and order; and the conduct of essential defense activities. Rights and Interests Records are records essential to the preservation of the legal rights and interests of citizens and their Government.

PROCEDURE

A. Designation of Records Coordinators

RESPONSIBILITY	ACTION
Department Head	1. Identifies an individual (or individuals) who serves as the Records Coordinator for the Department or Project.
Records Coordinator	2. Implements this procedure with assistance of personnel in the Department or Project. (Note: Attachment 1 identifies which Departments are responsible for specific records series.)
Laboratory Staff	3. Coordinate records inventory, classification, and disposition with assistance from the Records Coordinator for the Department or Project.

B. Identification, Classification, and Storage of Records

RESPONSIBILITY	ACTION
Laboratory Staff Records Coordinator	1. Performs inventory of all records under their control using "Series Inventory Form" or "Audiovisual Records Series Inventory Form" (Attachments 3 or 4). Guidance on identifying records is provided in Attachment 9. Note: The inventory requires the coordinator to distinguish between record and non-record copies of documents.) For electronic records, completes "Information Systems Description Form" (Attachment 5) in addition to the "Series Inventory Form." NOTE: as an option, the records can be recorded on a matrix as show in Attachment 8 in lieu of using the other attachments.
	2. Identifies quality or vital records (guidance on these records in provided in P-015 as well as Attachments 9 and 10).

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3. Identifies retention schedule for all documents under their control utilizing Attachments 1 and 2 to determine the length of time. (Note: if a record is not identified in Attachment 1 or 2, go to part D of this procedure).

4. Destroys temporary records that have reached their retention period. (Note: Temporary records may be retained for longer periods when the Records Coordinator or owner of the record determines that it is in the best interest of the Laboratory.)

Records Coordinator

5. Arranges for storage of records at Federal Records Center (FRC) by completing and submitting "Records Transmittal and Receipt Form for the Federal Records Center," Attachment 7. (Note: a. Coordinator may retrieve records as needed: b, records can be retained at PPPL after the specified period when it is determined to be in the best interests of the Laboratory).

Federal Records Center

6. Provides accession numbers, which allow records to be shipped to the Center.

Warehouse Personnel

7. Ships records to Federal Records Center.

Federal Records Center

8. Notifies Records Coordinator of intent to destroy temporary records when retention period is met.

Records Coordinator

9. Requests an extension for temporary records about to be destroyed via a written request with 90 days of the FRC destruction notice, when appropriate.

C. Subject Matter Expert on Records Management

RESPONSIBILITY	ACTION
Head, Information Services	1. Provides advice and information to Records Coordinators and serves as the Laboratory's Subject Matter Expert.
	2. Reviews requirements (NARA and DOE) annually and updates requirements specified in this procedure, as appropriate.
	3. Coordinates records management activities with the DOE.

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D. Unscheduled Records

RESPONSIBILITY	ACTION
Records Coordinator	1. Completes SF-115, "Request for Records Disposal Authority," (Attachment 6) as necessary for unscheduled record series, i.e., those not covered in the PPPL Records Schedules or the General Records Schedules available from the National Archives and Records Administration (NARA) or when retention periods differing from these Schedules are sought.
	2. Submits SF-115 to Head, Information Services for submission to NARA.
Head, Information Services	3. Approves and submits SF-115s to the National Archives and Records Administration (NARA).
	4. Notifies Records Coordinator of NARA schedule information when received.

Attachments

1. PPPL Records Schedule
2. PPPL Research & Development Schedule
3. Series Inventory Form
4. Audio/Visual Record Series Inventory Form
5. Information Systems Description Form
6. Request for Records Disposal Authority
7. Records Transmittal and Receipt Form for Federal Records Center
8. Records Schedule Matrix
9. Guidance on Records Inventory
10. Guidance on Quality Records

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Type of Record	Respon. Depart.	DOE Sched.	Type	Retention Schedule (see notes at end of attachment)	Transfer to:
Administrative reports, providing summary data pertaining to production and quality of products produced, inspected, accepted, or rejected; exclusive of management progress reports.	All	2	T	Destroy when 1 yr old	NA
Application software necessary solely to use or maintain a master file authorized for disposal in this schedule.	All	A20	T	Delete when related master file or data base has been deleted	NA
Architectural models prepared for illustrative or presentation purposes.	All	A17	T	Non-Record. Offer to NARA if unique or destroy when no longer needed.	NA
Committee records and conference files.	All	A16	T	Destroy 2 yrs after termination of committee or when no longer needed, whichever is sooner.	NA
Computer files containing uncalibrated and unvalidated digital or analog data collected during observation or research and used as input for a digital master file.	All	A20	T	Delete after the necessary data have been incorporated into a master file.	NA
Copies of records relating to system security	All	A20	T	Destroy or delete when superseded or obsolete	NA
Copies used for dissemination, revision, or updating that are maintained in addition to the record keeping copy.	All	A20	T	Destroy/delete when dissemination, revision, or updating is completed	NA
Correspondence files of organizational units for facility safety	All	1	T	Destroy when 10 yrs old	NA
Data files consisting of summarized information created by combining data elements or individual observations from a single master file that is disposable under a Records Schedule	All	A20	T	Delete when custodian determines that they are no longer needed for legal, audit, or operational purposes.	NA
Data systems specifications, file specifications, code books, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file.	All	A20	T	Destroy when superseded or obsolete, or upon authorized deletion of the related master file, whichever is latest.	NA
Derived data that provide user access in lieu of hard copy reports that are authorized for disposal.	All	A20	T	Delete when custodian determines that they are no longer needed for legal, audit, or operational purposes.	NA
Derived data used for ad hoc or one-time inspection, analysis or review, if the data is not needed to support the results of the inspection, analysis or review.	All	A20	T	Delete when custodian determines that they are no longer needed for legal, audit, or operational purposes.	NA
Deviation files consisting of records accepting or rejecting products which deviate from drawings, or specifications, with revised drawings or specifications, serving as basis for inspection.	All	2	T	Destroy when 10 yrs after date of issue	NA
Duplicate audiovisual Items	All	A21	T	Non-Record. Destroy when no longer needed.	NA
Duplicate prints and pre-print elements	All	A21	T	Non-Record. Destroy when no longer needed	NA

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Type of Record	Respon. Depart.	DOE Sched.	Type	Retention Schedule (see notes at end of attachment)	Transfer to:
Electronic copies on electronic mail and word processing systems and used solely to generate a record keeping copy of the records covered by the other items in this schedule.	All	A20	T	Destroy/delete 180 days after the record keeping copy has been produced	NA
Electronic copy considered by the record custodian to be a Federal record, of the master copy of an electronic record or file and retained in case the master file is damaged or inadvertently erased.	All	A20	T	Delete when the identical records have been captured in a subsequent back-up file or when transferred to NARA and successfully copied.	NA
Electronic file consisting of data copied from a complete or partial master file or data base made for the specific purpose of information interchange	All	A20	T	Delete when custodian determines that it is no longer needed for legal, audit, or operational purposes.	NA
Electronic files and hard-copy printouts created to monitor system usage, including, log-in files, password files, audit trail files, system usage files.	All	A20	T	Delete/destroy when the record custodian determines they are no longer needed	NA
Electronic files or records created solely to test system performance, as well as hard-copy printouts and documentation for the electronic files/records.	All	A20	T	Delete/destroy when the record custodian determines that they are no longer needed	NA
Electronic files or records used to create or update a master file, including, work files, valid transaction files, and intermediate input/output records.	All	A20	T	Delete after information has been transferred to the master file and verified	NA
Electronic indexes, lists, registers, and other finding aids used to provide access to records authorized for destruction	All	A20	T	Delete with related records or when no longer needed for legal, audit, or operational purposes, whichever is later	NA
Electronic mail and word processing copies that have no further value after the record keeping copy is made	All	E	T	Destroy/delete 180 days after the record keeping copy has been produced	NA
Electronic records received from another agency and used as input/source	All	A20	T	Delete when no longer needed to support the master file	NA
Files of transitory value, documents of short-term interest (no documentary or evidential value) and normally need not be kept more than 90 days.	All	A23	T	Cut off at the end of the month. Destroy when 3 months old	NA
Forms created by contractor with related instructions and documentation	All	A16	T	Destroy 5 yrs after form is superseded, or canceled	NA
General correspondence files	All	G3	T	Destroy when 2 yrs old	NA
Line copies of graphs and charts.	All	A21	T	Destroy 1 yr after final copy or when no longer needed.	NA
Logs, registers, and other records used to control or document the status of correspondence, reports, or other records that are authorized for destruction.	All	A23	T	Cut off at the end of the FY. Destroy 2 yrs after date of last entry.	NA
Mailing Lists	All	A13	T	Destroy upon revision or after 3 months, whichever is sooner	NA

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Type of Record	Respon. Depart.	DOE Sched.	Type	Retention Schedule (see notes at end of attachment)	Transfer to:
Metadata or reference data, such as format, range, or domain specifications, which is transferred from a host computer or server to another computer for input, updating, or transaction processing operations.	All	A20	T	Delete from the receiving system or device when no longer needed for processing.	NA
Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (e.g., signatures)	All	A20	T	Destroy after the information has been converted and verified, or when no longer needed to support the master file	NA
Photographs of routine award ceremonies, social events, and activities not related to the mission of the Department.	All	A21	T	Destroy when 1 yr old.	NA
Photographs that relate to the mission of DOE: major program and laboratory activities, and experimental methods and results determined to be of importance due to public interest in the project, or prestige of the researcher	All	A21	P	Cut off annually. Transfer to the NARA when 5 yrs old	NARA
Photographs, personnel identification or passport.	All	A21	T	Destroy when 5 yrs old or when superseded or obsolete, whichever is later	NA
Progress reports for department projects	All	2	T	Destroy when 5 yrs old	NA
Project history files consisting of laboratory sample reports, film slides, graphs, drawings, and related papers and correspondence	All	2	T	Destroy when 5 yrs old	NA
Property pass files	All	A18	T	Destroy 3 months after expiration or revocation.	NA
Recordings exclusively for transcription	All	A21	T	Destroy immediately after use	NA
Records accumulated by offices that relate to the internal administration of the office rather than the functions for which the office exists (organization, staffing, procedures, and communications; the expenditure of funds, budget records; training and travel; supplies and office equipment requests and receipts; and the use of office space and utilities).	All	A23	T	Cut off at the end of the FY. Destroy when 2 yrs old, or when no longer needed.	NA
Records consisting of extracted information from a single master file that is disposable under this schedule,	All	A20	T	Delete when custodian determines that they are no longer needed for legal, audit, or operational purposes.	NA
Records management files, disposition file inventories, disposal authorizations, schedules, and reports.	All	A16	T	Destroy when 6 yrs old. Earlier disposal is authorized if records are superseded or no longer needed for reference.	NA
Records pertaining to the development of software, including data processing requests, project description, policy statements, and project constraints	All	A20	T	Destroy after the expiration of related disposable records or when related system is removed from service.	NA
Routine Artwork	All	A21	T	Destroy 1 yr after final publication or when no longer needed, whichever is sooner	NA

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Routine correspondence and memoranda.	All	A16	T	Destroy when no longer needed for reference	NA
Schedules of daily activities, calendars, appointment books, schedules, logs, diaries, meetings, calls, trips, while serving in an official capacity	All	A23	T	Cut off at the end of the FY. Destroy or delete when 2 yrs old	NA
Supervisors' personnel files and duplicates of personnel documentation.	All	A1	T	Destroy when superseded or obsolete, or after employee separation or transfer.	NA
Suspense documents arranged in chronological order as a reminder that an action is required on a given date.	All	A23	T	Destroy after action is taken	NA
Technical data files consisting of reports records documenting the quality characteristics of each product produced	All	2	T	Destroy when 5 yrs old	NA
Video recordings	All	A21	T	Destroy when no longer needed.	NA
Viewgraphs	All	A21	T	Destroy 1 yr after use.	NA
Work simplification and industrial engineering files containing plans for cost reduction, simplification of work or improvement in non-process operation	All	2	T	Destroy when 2 yrs old	NA
Accounting Administrative Files	BO	A6	T	Destroy when 3 yrs old	NA
Accounting files, statements of transactions and accountability; collection schedules, and vouchers; disbursement schedules and vouchers; exclusive of commercial passenger transportation, freight records and payroll records	BO	A6 G6	T	Destroy 6 yrs and 3 months after the period covered by the account	NA
Administrative Claim Files	BO	A6 G6	T	Destroy when court order is lifted, litigation is concluded, or when 6 yrs, 3 months old, whichever is later	NA
Agreement/contract for services to perform a specific work scope in support of larger contract	BO	O	T	Destroy 10 yrs after termination of agreement.	NA
Audit files by PU staff, including reports and revisions thereof, concurrences, comments, action taken on recommendations, and related papers.	BO	A6	T	Destroy when 10 yrs old	NA
Budget Apportionment Files	BO	A5	T	Destroy 2 yrs after the close of FY.	NA
Budget Background Records	BO	A5 G5	T	Destroy 1 yr after the close of the FY covered by budget	NA
Budget Correspondence Files	BO	10 A5 G5	T	Destroy when 2 yrs old	NA
Budget Reports Files	BO	A5 G5	T	Destroy when 5 yrs old	NA
Canceled solicitations files	BO	G3	T	Destroy 5 yrs after cancellation	NA
Casualty insurance case files assigned to DOE upon contract completion or termination	BO	A3	T	Cut off annually. Destroy 80 yrs after contract completion or termination.	NA

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Certificate of Settlement Files.	BO	A6 G6	T	Destroy 2 yrs after date of settlement.	NA
Contract Appeals Case Files	BO	A3 G3	T	Destroy 6 yrs, 3 months after final action on decision	NA
Contract/funding information based on memorandums of understanding, with schools/colleges, grants, or scholarships.	BO	A1	T	Cut off at end of FY. Destroy 6 yrs after cutoff or project completion.	NA
Contractors' payroll files including (construction contract) submitted per Labor Department regulations, with certifications, and anti-kickback affidavits.	BO	A3 G3	T	Destroy 3 yrs after completion of contract unless contract is subject of enforcement action on such date	NA
Contractor's Statement of Contingent or Other Fees	BO	A3 G3	T	Destroy when superseded or obsolete.	NA
Copies of certificates and settlement of accounts statements of differences, and related records.	BO	A6	T	Destroy 2 yrs after date of settlement.	NA
Cost Accounting Reports.	BO	A8	T	Destroy when 3 yrs old	NA
Cost Report Data Files Ledgers and forms	BO	A8	T	Destroy when 3 yrs old.	NA
Data submitted to the federal procurement data system electronic data file	BO	A3	T	Destroy when 5 yrs old.	NA
Direct deposit sign-up form	BO	A2	T	Destroy when superseded or after separation	NA
Documents published in the Federal Register.	BO	A16	T	Destroy when 1 yr old.	NA
Expenditure Accounting Posting and Control Files	BO	A7	T	Destroy when 3 yrs old	NA
Expenditures Accounting General Correspondence and Subject Files	BO	A7	T	Destroy when 2 yrs old	NA
Federal Personnel Surety Bond Files	BO	A6 G6	T	Destroy 15 yrs after end of bond premium period	NA
Financial Disclosure Reports	BO	A1	T	Destroy when 6 yrs old; Except when needed for an ongoing investigation.	NA
GAO Exceptions Files	BO	A6 G6	T	Destroy 1 yr after exception has been cleared by GAO	NA
Gasoline sales tickets, telephone toll tickets and telegrams filed in support of paid vouchers for credit card purchases.	BO	A6	T	Destroy after GAO audit or when 3 yrs old, whichever is sooner	NA
General Accounting Ledgers	BO	A7	T	Destroy 6 yrs and 3 months after the close of the FY involved	NA
General fund files	BO	A6	T	Destroy when 3 yrs old.	NA
Grant and work for other application files	BO	G3	T	Destroy 2 yrs after completion or 3 yrs after rejection or withdrawal	NA
Individual employee pay record	BO	A2	T	Destroy when 56 yrs old.	NA
Levy and garnishment files	BO	A2	T	Destroy 7 yrs after the levy or garnishment is terminated	NA
Memorandum copies of accountable officers' returns including transactions and accountability, supporting vouchers, schedules, and related documents	BO	A6	T	Destroy when 1 yr old	NA

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Non-current payroll files	BO	A2	T	Destroy 15 yrs after close FY in which generated	NA
Notices and other types of issuances related to routine administrative functions (e.g., payroll, procurement, personnel).	BO	A16	T	Destroy when superseded or obsolete	NA
Original vouchers and support documents covering commercial freight and passenger transportation charges	BO	A9	T	Destroy 6 yrs after the period of the account	NA
Passport Registers and lists of employees who have official passports	BO	A9	T	Destroy when superseded or obsolete	NA
Payroll change files	BO	A2	T	Destroy after GAO audit or when 3 yrs old, whichever is sooner.	NA
Payroll correspondence	BO	A2	T	Destroy when 2 yrs old	NA
Payroll system reports	BO	A2	T	Destroy after GAO audit or when 3 yrs old, whichever is sooner.	NA
Pension plan case files for which DOE has continuing obligations or liability after contract completion or termination.	BO	A3	T	Cut off annually. Destroy 80 yrs after contract completion or termination	NA
PPPL payroll processor's copy of employee wages and tax statements.	BO	A2	T	Destroy when 4 yrs old.	NA
Procurement Files at or below the simplified acquisition threshold & all construction contracts at or below $2000	BO	A3 G3	T	Destroy 3 yrs after final payment (note: current PPPL contract excludes procurement records form the re cords Management Requirements)	NA
Procurement files documenting the initiation and development of transactions that deviate from established precedents with respect to general agency procurement programs	BO	8	P	Offer to National Archives after 25 yrs (note: current PPPL contract excludes procurement records form the re cords Management Requirements)	NARA
Procurement Files that exceed the simplified acquisition threshold and all construction contracts exceeding $2000	BO	A3 G3	T	Destroy 6 yrs and 3 months after final payment (note: current PPPL contract excludes procurement records form the re cords Management Requirements)	NA
Records certifying material submitted for publication in the Federal Register or elsewhere	BO	7	T	Destroy when 1 yr old	NA
Records relating to availability, collection, custody and deposit of funds	BO	A6	T	Destroy when 3 yrs old	NA
Small and Disadvantaged Business Utilization Files	BO	A3 G3	T	Destroy when 3 yrs old. (Note: current PPPL contract excludes procurement records form the re cords Management Requirements)	NA
Solicited and Unsolicited Bids and Proposals Files	BO	G3	T	Destroy when related contract is completed (note: current PPPL contract excludes procurement records form the re cords Management Requirements)	NA
Stores accounting files	BO	A8	T	Destroy when 3 yrs old.	NA

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Surplus Property Case Files	BO	A4	T	Destroy 6 yrs after payment.	NA
Tax Exemption Files	BO	A3 G3	T	Destroy 3 yrs after period covered by related account.	NA
Tax files - employee withholding allowance certificate	BO	A2	T	Destroy 4 yrs after superseded or upon separation of employee	NA
Time and attendance records	BO	A2	T	Destroy after GAO audit or when 6 yrs old, whichever is sooner	NA
Travel office files, commercial freight and passenger	BO	A9 G9	T	Destroy when 10 yrs old.	NA
Waiver of claim files relating to waiver of claims of the United States against a person arising out of an erroneous payment	BO	A6	T	Destroy 6 yrs, 3 months after the close of the FY in which the waiver was approved.	
Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates	BO	10	T	Destroy 6 yrs after close of FY covered by budget	NA
Correspondence files documenting the development of plans and policies pertaining to the mission which PPPL has primary responsibility; opinions and decisions of an important policy or those that set precedents.	DO	A16	P	Cut off at the end of FY. Transfer to NARA in 5 yr blocks when most recent record is 25 yrs old.	NARA
Correspondence files documenting the implementation of established or new missions, policies, and procedures for which PPPL has primary responsibility.	DO	A16	T	Cut off at the end of FY. Destroy 15 yrs after cutoff.	NA
Final audit/investigation case files that do not attract national media attention.	DO	A22	T	Cut off upon completion of audit or investigation. Destroy when 10 yrs old. Pending - DO NOT DESTROY	NA
Final audit/investigation reports and case files that attract national media attention, attract Congressional attention, result in substantive changes in DOE policy, or are cited in semi-annual reports to Congress.	DO	A22	P	Cut off annually. Transfer to NARA in 5-yr blocks when 10 yrs old	NARA
Management improvement programs.	DO	A16	T	Cut off at the end of FY. Destroy 5 yrs after cutoff	NA
Performance indicators.	DO	A16	T	Cut off at the end of FY. Destroy 5 yrs after cutoff.	NA
Record copies of organizational charts that document the essential organization, staffing, & procedures of the organization.	DO	A23	P	Cut off at the end of the FY. Transfer to NARA in 5-yr blocks when 25 yrs old.	NARA
Speeches by the Director of PPPL that affect program activities.	DO	A14	P	Cut off at end of FY. Transfer to NARA when 25 yrs old	NARA
Unique substantive records relating to the activities of the Director's Office	DO	A23	P	Cut off at the end of the FY. Transfer to NARA in 5-yr blocks when 25 yrs old.	NARA
Cartographic Records Prepared During Intermediate Stages of Publication	EA	A17	T	Destroy when no longer needed.	NA
Commendation/complaint correspondence files	EA	A14	T	Destroy when 3 months old	NA

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Correspondence and project files pertaining to the administration and operation of printing, binding, duplication, and distribution.	EA	A13	T	Destroy when 3 yrs old	NA
Daily news recordings.	EA	A21	T	Destroy when 6 months old or when no longer needed	NA
General records that document teacher/ student development, progress reports, and correspondence between PPPL and outside academic organizations	EA	A1	T	Cut off at end of FY. Destroy 2 yrs after cutoff or when no longer needed, whichever is earlier	NA
Information requests files	EA	A14	T	Destroy when 3 months old.	NA
Information service case files maintained in information offices.	EA	A14	T	Destroy 1 yr after completion of project	NA
JCP Report Files to Congress	EA	A13	T	Destroy when 3 yrs old	NA
Master media files including press releases, press conference transcripts, and scripts by senior PPPL officials that affect site mission or scope of work	EA	A14	P	Cut off at end of FY. Transfer to NARA when 25 yrs old.	NARA
Media files that do not affect mission or scope of work and copies of material appearing in the press concerning policies and activities of DOE and PPPL.	EA	A14	T	Cut off at end of FY. Destroy when 2 yrs old.	NA
Photo-mechanical reproduction, line and halftone negatives, screened paper prints and offset lithographic plates used for photo-mechanical reproduction.	EA	A21	T	Destroy when no longer needed for publication or reprinting.	NA
Public involvement records containing information relating to public affairs and public involvement in restoration and remediation activities.	EA	E	P	Retain onsite until no longer needed. Transfer to NARA	NARA
Recordings of proceedings of high-level meetings of historical, public, scientific, or technical interest.	EA	A21	P	Transfer to the National Archives in 5 yr blocks when the newest record is 5 yrs old.	NARA
Records containing contact information with schools and community groups, teacher development, computer loan/buyout programs, and other educational programs.	EA	A1	T	Cut off at end of FY. Destroy 5 yrs after cutoff.	NA
Routine scientific or engineering footage	EA	A21	T	Destroy when 2 yrs old	NA
Unique films that document programs, and activities of significant scientific, environmental, historical or public interest.	EA	A21	P	Transfer to the National Archives in 5 yr blocks when the newest record is 5 yrs old.	NARA
Vertical and oblique aerial photography	EA	A17	T	Destroy when no longer needed.	NA
Absorption curve data sheets listing sample number, sample designation, data sampled and related facts, observed laboratory reactions, and corrected entries	ESH/IS	1	T	Destroy when 2 yrs old	NA
Air emissions permit records supporting documentation for permits and pollution allowance ownership rights documentation	ESH/IS	E	T	Destroy 3 yrs after related permit expires	NA

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Type of Record	Respon. Depart.	DOE Sched.	Type	Retention Schedule (see notes at end of attachment)	Transfer to:
Air emissions permit reports documenting effluent monitoring activities designated by EPA for permitted sources including level of hazardous, volatile organic compounds, air contaminants, and radionuclide airborne materials and concentrations being released.	ESH/IS	E	T	Send to FRC 25 yrs after report. Destroy 75 yrs following report with approval of PU General Counsel.	FRC
Air monitoring procedures that detail specific methods and frequency of environmental air monitoring	ESH/IS	E	T	Cutoff when superseded. Destroy when 75 yrs old	NA
All other permits	ESH/IS	E	T	Destroy 3 yrs after related permit expires	NA
Ambulance service reports	ESH/IS	1	T	Destroy when 3 yrs old	NA
Analytical laboratory data packages including chain of custody, preparation, output, raw/processed data, analytical results, reanalysis, quality control, instrument calibration, and final results.	ESH/IS	E	T	Destroy in 75 yrs	NA
Analytical requests describing samples for which laboratory analysis is desired, including results of the analysis and related facts pertinent to special or to alpha-beta-tritium counting requests	ESH/IS	1	T	Destroy when 2 yrs old	NA
Aquatic biology data analysis showing type of sample, location or source, counting information, laboratory correction factors, and related data	ESH/IS	1	T	Destroy when 2 yrs old	NA
Architectural drawings of temporary structures and buildings not critical to mission.	ESH/IS Projects	A17	T	Destroy when 75 yrs old	NA
Assessments of inactive waste sites.	ESH/IS	E	T	Destroy 5 yrs after waste site closure	NA
Background study records that document the preliminary results of an approved study used by the EPA, the state, and DOE to evaluate contamination release	ESH/IS	E	T	Destroy when 5 yrs old.	NA
Building and equipment service files for maintenance services	ESH/IS	A11	T	Destroy 3 months after completed or work is cancelled	NA
Building plan files, surveys and other records utilized in space planning, assignment, and adjustment.	ESH/IS	A11	T	Cut off inactive file annually. Destroy 75 yrs after cutoff.	NA
Case files on disposal of surplus real and related personal property	ESH/IS	9	T	Destroy 10 yrs after sale or unconditional release of property.	NA
Case files on sales of surplus personal property documenting transactions that deviate from established precedents with respect to general agency disposal or to major disposal programs	ESH/IS	9	P	Offer to National Archives after 25 yrs	NARA
CERCLA/RCRA designation/means of disposal procedures governing disposal and cleanup.	ESH/IS	E	P	Retain on site until final cleanup. Transfer to NARA 5 yrs after cutoff	NARA

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Type of Record	Respon. Depart.	DOE Sched.	Type	Retention Schedule (see notes at end of attachment)	Transfer to:
CERCLA/RCRA waste disposal characterizations/records	ESH/IS	E	P	Cutoff 5 yrs after disposal. Transfer to NARA 25 yrs after cutoff.	NARA
Computer model radiation calculation records of radiation exposure to the population, and environment.	ESH/IS	E	T	Destroy/delete 180 days after the record keeping copy has been produced	NA
Copies of agreements relating to telecommunications services	ESH/IS	A12	T	Destroy 2 yrs after expiration or cancellation of agreement	NA
Correspondence files relating to administration and operation of the facilities security, protective services program and personnel access authorization program	ESH/IS	A18	T	Cut off at the end of the FY. Destroy 2 yrs after cutoff.	NA
Credentials Files including cards, badges, parking permits, photographs	ESH/IS	A11	T	Destroy credentials 3 months after return to issuing office.	NA
Criteria pollutant and source inventory release records that document measures of National Ambient Air Quality Standards Program criteria	ESH/IS	E	T	Destroy when 5 yrs old	NA
Daily counter background reports listing counting instruments and summarizing the background data recorded on radiation counters	ESH/IS	1	T	Destroy when 2 yrs old	NA
Data gathered to measure residual contamination of soil and ground water with long-lived radioactive or toxic substances at or near DOE sites	ESH/IS	1	P	Offer to NARA when no longer needed by the Department	NARA
Database and record, which track wastes from creation through transportation, processing, and reporting.	ESH/IS	E	T	Destroy when related records are destroyed, or 75 yrs from creation, whichever occurs later.	NA
Decay curve data sheets used to identify and verify characteristics of radioactive samples tested under laboratory conditions	ESH/IS	1	T	Destroy when 2 yrs old	NA
Detail plans for specific rad con jobs performed within the scope of the above procedures and similar records relating to routine daily operations	ESH/IS	A1	T	Destroy when purpose has been served or after 1 yr, whichever is earlier	NA
Directories/phone listing location, phone number, mail stop, or other information	ESH/IS	A1	T	Destroy hardcopy when 75 yrs old.	NA
Dosimetry records on employees subject to ionizing radiation that are personally monitored	ESH/IS	E	T	Destroy when 75 yrs old	NA
Drawings for all other facilities (other than nuclear or hazardous materials)	ESH/IS Projects	A17	T	Destroy when superseded by as-built drawings.	NA
Drawings from nuclear facilities or facilities that produced or stored hazardous materials.	ESH/IS Projects	A17	T	Cut off when no longer needed. Destroy when 75 yrs old	NA
Drawings of Electrical, Plumbing, Heating, or Air Conditioning Systems.	ESH/IS Projects	A17	T	Destroy when superseded or after structure retired from service	NA
Drinking water and safe drinking water act files corrective actions	ESH/IS	E	T	Destroy 3 yrs after corrective action completed for violation.	NA

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Drinking water and safe drinking water act files records of chemical analysis and system survey files	ESH/IS	E	T	Destroy in 10 yrs.	NA
Drinking water and safe drinking water act files, bacteriological analysis and records of a variance or exemption.	ESH/IS	E	T	Destroy in 5 yrs or when data transferred to tabular summary.	NA
Drug testing records of individual test results, notifications of employees and HR, and documents relating to follow-up testing.	ESH/IS	A1	T	Positive results cut off upon separation. Destroy 5 yrs after cutoff. Negative results. Destroy 3 yrs old.	NA
Drug testing records relating to the selection of specific employees for testing, scheduling of tests, order in which the specimens were collected, and chain of custody records.	ESH/IS	A1	T	Destroy when 3 yrs old.	NA
Emergency planning administrative correspondence files.	ESH/IS	A18	T	Destroy when 2 yrs old.	NA
Emergency planning procedures implementing DOE policy/guides.	ESH/IS	A18	T	Cut off at end of the FY. Destroy 6 yrs after cutoff	NA
Emergency response contingency plans identify environmental and safety hazards at a facility.	ESH/IS	E	T	Destroy 3 yrs after issuance of a new plan	NA
Employee medical folder including correspondence, occupational injuries or diseases, physical examinations, treatment and exposure to noise, toxic substances, toxic chemicals, and occupational hazards	ESH/IS	A1	T	Cut off file at time of separation. Transfer folders to the FRC. Destroy 75 yrs after cutoff.	FRC
Environmental audit and investigative case files and reports that pertain to environmental, health, and safety topics, cases, or concerns,	ESH/IS	A22	T	Cut off upon completion of audit or investigation. Destroy when 75 yrs old. Pending - DO NOT DESTROY	NA
Environmental contamination measurement analytical results, calibrations, logbooks worksheets, recorder charts, analysis requests	ESH/IS	1	T	Destroy when analytical results are verified, accepted, and summarized, or when 5 yrs old, whichever is earlier	NA
Environmental contamination measurement general procedures detailing methods and frequency of environmental samples	ESH/IS	1	P	Offer to NARA in 25 yrs	NARA
Environmental contamination measurement specific procedures detailing the analytical methods used for environmental samples	ESH/IS	1	T	Destroy when analytical results are verified, accepted, and summarized, or when 5 yrs old, whichever is earlier	NA
Environmental equipment calibration records except radiation instruments	ESH/IS	E	T	Destroy 5 yrs after calibration	NA
Environmental impact statement, final, published background material, including draft EIS; public and agency comments; notice of intent, records of considerations, mitigation action plan, and supplemental EIS.	ESH/IS	E	T	Destroy in 20 yrs. Retire to FRC 5 yrs after decision is issued.	FRC

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Environmental implementation plan records document a framework, which identifies the responsibilities for compliance management, direction, goals, and objectives with related strategies and timetables.	ESH/IS	E	T	Cutoff when superseded, obsolete, or canceled. Destroy 5 yrs After cutoff.	NA
Environmental inspection logs related to operations; safety inspections; inspection schedules, completed checklists	ESH/IS	E	T	Destroy 3 yrs after date of inspection	NA
Environmental monitoring plan framework of the scope and extent of liquid and gaseous effluent measurements, and related surveillance programs during the active lifetime of operations.	ESH/IS	E	T	Cutoff when superseded, obsolete, or canceled. Destroy 5 yrs After cutoff.	NA
Environmental monitoring reports defining the extent and levels of radioactive contamination in soil	ESH/IS	1 E	P	Offer to NARA when no longer needed by the Department	NARA
Environmental monitoring reports from routine environmental surveillance activities.	ESH/IS	E	T	Destroy when 75 yrs old. Cutoff when reports are superseded, obsolete, or canceled.	NA
Environmental program management files - document the management, administration, support, function, operation, and program activities for an environmental program.	ESH/IS	E	T	Cutoff at project completion Destroy 25 yrs after project completion. PENDING - DO NOT DESTROY	NA
Environmental project case files, which documents the activities of the project from initiation through completion and involves innovative technology that is initially developed or demonstrated.	ESH/IS	E	P	Cutoff at project completion. Transfer to NARA 25 yrs after cutoff	NARA
Environmental project case files, which documents the activities of the project from initiation through completion and does not involve the development of innovative technology	ESH/IS	E	T	Cutoff at project completion. Destroy 25 yrs after project completion	NA
Environmental sites databases master file	ESH/IS	E	P T	Systems deemed historically significant, submit to NARA. Other systems destroy 10 yrs after certification of post closure care and monitoring and when enforcement action settled.	NARA
Environmental, hazardous material, and waste system logbooks containing sample and analysis data	ESH/IS	E	T	Destroy when 75 yrs old	NA
Environmental/safety reports relating to environment, human health, employee or public safety and oversight reports.	ESH/IS	E	T	Cutoff when superseded, obsolete, or canceled. Destroy when 75 yrs old	NA
Evaporator, hood, stack, and exhaust fan discharge records	ESH/IS	E	T	Cutoff annually. Retire to FRC 5 yrs after cutoff. Destroy when 75 yrs old	FRC
Excess Personal Property Reports	ESH/IS	A4 G4	T	Destroy when 3 yrs old	NA

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Excess Real Property Reports	ESH/IS	9	T	Destroy 10 yrs after unconditional sale or release of property	NA
Facilities checks files relating to periodic security force checks.	ESH/IS	A18	T	Destroy 1 yr old	NA
Facility maintenance records including inspection, servicing, and repair records	ESH/IS	4	T	Destroy after 5 yrs	NA
Field logbooks containing pertinent soil monitoring calculations, observations, and interpretations of results.	ESH/IS	E 1	T	Destroy when 75 yrs old	NA
Fire alarm tests, radio communication logs, fire drills, daily force reports, and building inspections	ESH/IS	1	T	Destroy when 1 yr old	NA
Fire alarm, investigation, and incident reports relating to fire alarms, fires, explosions and accidents	ESH/IS	1	T	Destroy when 10 yrs old	NA
Fire extinguisher and fire hose history and inspection records	ESH/IS	1	T	Destroy 1 yr after removal of equipment from service	NA
Fire station operating logs	ESH/IS	1	T	Destroy when 6 yrs old	NA
General files including correspondence, memoranda, and directives.	ESH/IS	A12	T	Destroy when 1 yr old or when obsolete.	NA
Groundwater monitoring procedures that detail the specific methods and frequency of groundwater monitoring	ESH/IS	E	T	Cutoff when superseded or obsolete. Destroy when 75 yrs old	NA
Guard/security officer assignments files.	ESH/IS	A18	T	Cut off at the end of the FY. Destroy 3 yrs after cutoff.	NA
Hazard and penetration files providing design information on known or suspected surveillance devices, electronic anomalies, and historical technical data	ESH/IS	A18	T	Review every 2 yrs. Destroy when no longer needed	NA
Hazardous air pollutant baseline study records that document measurements from upwind and downwind locations indicating hazardous air pollutants	ESH/IS	E	T	Destroy when 20 yrs old	NA
Hazardous substance transfer files including logs and records, manifests, and transfer records.	ESH/IS	E	T	Destroy 3 yrs after shipment	NA
Hazardous waste reports, hazardous substance reports, waste characterization reports, CERCLA/RCRA unit reports.	ESH/IS	E	P	Cutoff when waste is disposed. Transfer to NARA 25 yrs after cutoff	NARA
High-efficiency particulate air filter records, including efficiency tests, laboratory analysis and inventory lists.	ESH/IS	E	T	Cutoff annually. Retire to FRC 5 yrs after cutoff. Destroy when 75 yrs old	NA
High-level radioactive waste inventory files and shipment records	ESH/IS	E	T	Cutoff 5 yrs after disposal/ transfer of waste. Retire to FRC in 5 yr blocks. Destroy in 75 yrs	FRC
Incident of security concern inquiry/investigation files.	ESH/IS	A18	T	Cut off when case is closed. Destroy 5 yrs after cutoff	NA
Individual employee radiation exposure history files (internal & external exposure)	ESH/IS	A1	T	Cut off at the end of FY of employee separation. Destroy 75 yrs after cutoff.	NA

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Industrial hygiene surveys	ESH/IS	A1	T	Cut off when the facility is dismantled. Destroy 75 yrs after cutoff.	NA
Inspection records of hazardous waste storage locations, date and time, observations made, and date and nature of any repairs or other remedial actions.	ESH/IS	E	T	Destroy 5 yrs after date of inspection	NA
Interim closure plans/closure plans including description of plans, estimate of maximum inventory during active life, description of steps needed to remove a decontaminate, and schedule.	ESH/IS	E	T	Destroy 10 yrs after certificate of closure is received	NA
Inventories of chemicals in use; chemical inventories for Superfund Amendment, Emergency Planning and Community Right to Know, Toxic Chemical Release Inventory, and other regulatory agency-driven requirements	ESH/IS	E	T	Destroy 3 yrs after submittal of report	NA
Inventory files and lists	ESH/IS	A3 G3	T	Destroy 2 yrs from list date or discontinuance or removal.	NA
Laboratory sample processing records consisting of control records for work performed in analytical laboratories	ESH/IS	E	T	Destroy when 10 yrs old.	NA
Logs or registers reflecting daily number of visits to dispensary.	ESH/IS	A1	T	If summarized, destroy 3 months after last entry. If not summarized, destroy 75 yrs after last entry.	NA
Lost or damaged shipments files of valuables shipped, correspondence, reports, and other records	ESH/IS	A9 G9	T	Destroy when 6 yrs old	NA
Low-level radioactive and mixed waste inventory that indicate the amount and types of low-level radioactive and mixed waste and shipment records	ESH/IS	E	T	Destroy 5 yrs after permit expires	NA
Mail and delivery service control records of receipt and routing of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service	ESH/IS	A12	T	Destroy when 1 yr old	NA
Mail records outgoing registered, certified, insured, overnight, express, and special delivery mail	ESH/IS	G12	T	Destroy when 1 yr old	NA
Master safeguards and security agreements/security plans.	ESH/IS	A18	T	Destroy 10 yrs after termination of the facility as a security interest.	NA
Messenger service daily logs, dispatch records, and delivery receipts.	ESH/IS	A12	T	Destroy when 2 months old	NA
Meteorological monitoring documenting data from weather stations to support environmental programs.	ESH/IS	E	T	Destroy when 10 yrs old	NA
Meteorology records accumulated on meteorological and climatological conditions bearing on engineering and contamination problems (wind, rain, etc)	ESH/IS	1	T	Destroy when 10 yrs old	NA
Metered mail files	ESH/IS	G12	T	Destroy when 6 yrs old	NA

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Miscellaneous waste disposal records including transfers, solidification information, provided data transcribed to records which are retained.	ESH/IS	1	T	Destroy when 1 yr old	NA
Misuse of Government property-working papers which document the misuse and abuse of government property, equipment,	ESH/IS	A18	T	Cut off at the end of the FY. Destroy 2 yrs after cutoff.	NA
Monitoring baseline study establishing normal monitoring levels for measuring the radioactive and non-radioactive impact on environment and surrounding populations.	ESH/IS	E	T	Destroy when 20 yrs old	NA
Motor vehicle accident files	ESH/IS	A10	T	Destroy 6 yrs after case closed	NA
Motor Vehicle Correspondence Files.	ESH/IS	A10	T	Destroy when 2 yrs old	NA
Motor vehicle operating and maintenance files	ESH/IS	A10	T	Destroy when 1 yr old	NA
Motor vehicle work sheets providing cost and expense data, authorization to use, safe driving awards, and related correspondence.	ESH/IS	A10	T	Destroy 3 yrs after last entry, or 3 yrs after employee separation or 3 yrs after authorization rescission to operate vehicle, whichever is sooner.	NA
National Emission Standards for Hazardous Air Pollutants Annual Reports	ESH/IS	E	T	Retire to FRC after 25 yrs after issuance of report. Destroy 75 yrs after report and approval by PU General Counsel.	NA
Necropsy protocols recording data collected during autopsies performed on animals, including pathologic diagnosis of various organs and glands.	ESH/IS	1	T	Destroy when 15 yrs old	NA
NEPA Categorical Exclusion Records	ESH/IS	E	T	Destroy in 20 yrs. Retire to FRC 5 yrs after ROD is issued.	NA
NEPA environmental assessment records	ESH/IS	E	T	Destroy in 20 yrs. Retire to FRC 5 yrs after ROD is issued	NA
NEPA support documentation	ESH/IS	E	T	Cutoff at the end of CY of project completion. Destroy 3 yrs after cutoff.	NA
Non-radioactive waste acceptance criteria	ESH/IS	E	T	Destroy after 10 yrs	NA
Nuclear Materials Control & Accountability DOE/NRC Form 741's, or equivalent.	ESH/IS	A18 2	T	Destroy when 3 yrs old.	NA
Nuclear Materials Control & Accountability reports of apparent losses	ESH/IS	A18	T	Destroy when 25 yrs old.	NA
Nuclear Materials Control & Accountability reports of shipper-receiver measurement differences.	ESH/IS	A18	T	Destroy when 3 yrs old.	NA
Nuclear Materials Control & Accountability reports.	ESH/IS	A18	T	6/30, and 12/31, reports, destroy when 25 yrs old. Others destroy when 5 yrs old	NA
Nuclear Materials Control & Accountability request for materials.	ESH/IS	A18	T	Cut off at the end of the FY. Destroy 4 yrs after cutoff.	NA
Nuclear Materials Control & Accountability stations transfer journals of PPPL inventories.	ESH/IS	A18	T	Destroy 3 yrs after date of last entry	NA

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Occupational injury and illness files, reports and logs of recordable occupational injuries and illnesses.	ESH/IS	A1	T	Destroy when 75 yrs old	NA
Occurrence Reporting records which were not of widespread public and congressional interest.	ESH/IS	A18	T	Cut off at the end of the FY in when report closed. Destroy 80 yrs after cutoff	NA
Occurrence Reporting records which were of widespread public and congressional interest.	ESH/IS	A18	P	Cut off at the end of the FY when report closed. Transfer to NARA 25 yrs after cutoff	NARA
OSHA records, NIOSH hazard and accident analysis records, and health surveillance program records.	ESH/IS	E	T	Destroy after 30 yrs	NA
Paint plans and samples lacking historical, architectural, or technological significance.	ESH/IS	A17	T	Destroy when superseded or after structure or object has been retired from service	NA
PCB spills cleanup records.	ESH/IS	E	T	Destroy after 5 yrs	NA
Periodic reports relating to activity and progress prepared weekly, monthly, and annually from data recorded in biology notebooks	ESH/IS	1	T	Destroy when 6 yrs old	NA
Permit petitions and/or waivers - documentation used to request a petition or waiver from a permit requirement.	ESH/IS	E	T	Destroy 5 yrs after petition/waiver expires	NA
Personal property accountability files - reports, loss statements, and documents relating to lost and found articles.	ESH/IS	A18	T	Cut off at the end of the FY. Destroy when 1 yr old	NA
Personnel exposure to hazardous concentrations of toxic chemicals and other material records, excluding radionuclides	ESH/IS	A1	P	Cut off at the close of the FY. Transfer to NARA 25 yrs after cutoff	NARA
Personnel Radiation Exposure Dose Records (Film Badges)	ESH/IS	A1	T	Cut off at the end of FY, transfer to the National Personnel Records Center, St. Louis, MI. Destroy when 75 yrs old.	NARA
Pesticide/herbicide records	ESH/IS	E	T	Destroy after 10 yrs	NA
Physical security files for nuclear material, or for protection of equipment and facilities vital to safety.	ESH/IS	A18	T	Destroy when superseded or obsolete, or 5 yrs after facility closes, whichever is sooner	NA
Plant, cost and stores general correspondence files	ESH/IS	A8	T	Destroy when 3 yrs old.	NA
Police functions files.	ESH/IS	A18	T	Cut off at the end of the FY. Destroy 7 yrs after cutoff.	NA
Pollution prevention equipment permit records	ESH/IS	E	T	Destroy 3 yrs after related permit expires.	NA
Post closure plans includes description for each unit, estimate of maximum inventory, description of steps needed to remove and decontaminate.	ESH/IS	E	P	Cutoff when no longer needed. Transfer to NARA 25 yrs after cutoff.	NARA
Post Office and private mail company records relating to incoming or outgoing, registered, certified, insured, overnight, express, and special delivery mail including receipts.	ESH/IS	A12	T	Destroy when 1 yr old	NA

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Postal irregularities file	ESH/IS	G12	T	Destroy 3 yrs after completion of investigation	NA
Potential investigative files contain information or allegations which are of an investigative nature but do not relate to a specific investigation, including allegations determined not to warrant an investigation, matters referred to others, and support files, which may prove useful in an investigation.	ESH/IS	A22	T	Cut off at the end of the FY. Destroy when 5 yrs old. Pending - DO NOT DESTROY	NA
Power and utility plant records, including checklists, logs, inspection sheets, forms; and instrument recorder charts, in connection with the operation of equipment	ESH/IS	4	T	Destroy after 3 months	NA
Prescriptions for safety glasses	ESH/IS	1	T	Destroy when 6 months old	NA
Production equipment inventory listings	ESH/IS	2	T	Destroy when 2 yrs old	NA
Property disposal files	ESH/IS	G4	T	Destroy when 2 yrs old.	NA
QC reports for analytical laboratories	ESH/IS	E	T	Destroy 2 yrs after report	NA
Quality control Records	ESH/IS	2	T	Destroy when 5 yrs old	NA
Radcon logbooks (chronological history) which provide a summary of shift activities, including unusual incidents, radiation/contamination problems, release of radionuclides, interpretation of unusual chart recordings.	ESH/IS	A1	T	Cut off at the close of FY. Destroy 75 yrs after cutoff.	NA
Radiation counter control data used to maintain correct operating conditions for radiation detection instruments.	ESH/IS	1	T	Destroy when 1 yr old	NA
Radiation counter plateaus listing equipment number, tube number, date, time, mica window thickness, voltage, lights and total counts; used to determine the operating condition of counters	ESH/IS	1	T	Destroy when 1 yr old	NA
Radiation detection charts used to record radiation in excess of established guides	ESH/IS	1	T	Destroy when 1 yr old	NA
Radiation detection instrument and equipment distribution, decontamination, performance, inventories, statistical data, physical status, operating condition.	ESH/IS	1	T	Destroy when purpose is served or when 1 yr old, whichever is earlier	NA
Radiation detection instrument calibration - procedures indicating criteria for selection and methods used, frequency of calibration and maintenance.	ESH/IS	1	T	Destroy when 75 yrs old	NA
Radiation detection instrument calibration records.	ESH/IS	E	T	Destroy when 75 yrs old	NA

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Radioactive and fissile material shipping packaging records including Certificates of Compliance, Safety Analysis Reports for Packaging, evaluations of SARPs, licenses, amendments to licenses, and quality records documenting packaging design, fabrication, maintenance, and use with established safety and engineering standards.	ESH/IS	12	T	Destroy 5 yrs after Certificate of Compliance has terminated, unless information is received indicating that renewed use is definitely anticipated	NA
Radioactive waste acceptance criteria	ESH/IS	E	T	Destroy after 20 yrs	NA
Radioactive waste shipments and burials procedures	ESH/IS	1	P	Offer to NARA when no longer needed by the Department	NARA
Radiological survey and form logs for groundwater monitoring	ESH/IS	E	T	Destroy when 75 yrs old	NA
Radiological survey forms and logs for soil monitoring	ESH/IS	E	T	Destroy when 75 yrs old	NA
RCRA and CERCLA - inspection files.	ESH/IS	E	T	Destroy 5 yrs after life of facility	NA
RCRA Biennial Reports	ESH/IS	E	T	Destroy after 3 yrs.	NA
RCRA Interim Status Training Plan	ESH/IS	E	T	Destroy 75 yrs after issuance	NA
RCRA Permits, Part A and B documentation.	ESH/IS	E	T	Destroy 5 yrs after permit expires	NA
Real Property Files	ESH/IS	G3	T	Dispose 10 yrs after unconditional sale or release by the Government.	NA
Record set of PPPL policies, plans, procedures, practices, and directives.	ESH/IS	A16	P	Cut off at end of each FY. Transfer to NARA in 5 yr blocks when most recent record is 25 yrs old.	NARA
Recorder chart records of radiation and contamination detected by air monitors.	ESH/IS	A1	T	Cut off at the close of FY. Destroy 75 yrs after cutoff.	NA
Records and investigations establishing the extent of employee exposure to toxic chemicals and materials	ESH/IS	A1	T	Cut off at the close of the FY of employee separation. Destroy 75 yrs after cutoff.	NA
Records associated with safety and health related documentation required by CERCLA/RCRA agreements	ESH/IS	E	T	Destroy after 5 yrs	NA
Records documenting evaluation, assessment, audit records, and associated corrective action documentation for environmental efforts.	ESH/IS	E	T	Destroy 75 yrs after action is taken	NA
Records documenting programs under which data concerning radiation on animal and aquatic life are accumulated, evaluated, reported and not deemed to have exceptional value.	ESH/IS	1	T	Destroy when 15 yrs old	NA
Records documenting programs under which data concerning the effect of radiation on animal and aquatic life are accumulated, evaluated, and deemed by PPPL and the National Archives, to have exceptional value because of the significant nature involved.	ESH/IS	1	P	Offer to NARA within 25 yrs	NARA

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Type of Record	Respon. Depart.	DOE Sched.	Type	Retention Schedule (see notes at end of attachment)	Transfer to:
Records documenting the basis for selecting a CERCLA response action/remediation action, RCRA permit/permit modification/or closure plan action by the EPA, the DOE, state agencies, the public, or other parties.	ESH/IS	E	T	Destroy 75 yrs after consent order termination. Notify EPA 90 calendar days prior to the destruction, and upon request relinquish custody to the EPA	NA
Records of radioactive gaseous wastes discharged to atmosphere and radioactive liquid wastes discharged to surface ground or water including spills and leaks.	ESH/IS	1	P	Offer to NARA when no longer needed by the Department	NARA
Records which indicate type of waste (solid, liquid, or gaseous), degree of radioactivity; and for solid waste: date of burial, volume buried, activity level, and storage location	ESH/IS	1	P	Offer to NARA when no longer needed by the Department	NARA
Remediation plan records criteria, design, site-wide data, information records, remediation-related records, project information records, project charts and construction records	ESH/IS	E	T	Cutoff at the end of the project or in 5 yrs. Retire to FRC in 5 yr blocks. Destroy after 75 yrs.	NA
Reports and engineering studies of unusual radiation or contamination problems.	ESH/IS	A1	T	Cut off at the close of FY. Destroy 100 yrs after cutoff.	NA
Reports of noncompliance under occurrence reporting systems	ESH/IS	E	T	Destroy 5 yrs after report.	NA
Reports of Shipper-Receiver Measurement Differences pertaining to transfers of SS material, and containing conclusions, and resolutions of the measurement differences	ESH/IS	2	T	Destroy when 3 yrs old	NA
Reports relating to routine, daily business functions, recurring transactions, or activities associated with environmental, safety, and health operations.	ESH/IS	E	T	Cutoff when superseded, obsolete, or canceled. Destroy when 7 yrs old	NA
Reports, statistics, and correspondence relative to traffic and property damage accidents, including industrial personal injury accidents	ESH/IS	1	T	Destroy when 10 yrs old	NA
Required compliance reports, dumpster violations, dangerous waste reports.	ESH/IS	E	T	Destroy 5 yrs after final closure of facility	NA
Results of equipment calibration establishing the authenticity of radiation dose results.	ESH/IS	A1	T	Cut off at the close of the FY. Destroy 75 yrs after cutoff	NA
Routine radiation and contamination surveys and air sample logs, including resulting laboratory analyses and equipment calibrations, indicating no unusual health or safety problems.	ESH/IS	A1	T	Cut off at the close of FY. Destroy 75 yrs after cutoff	NA
Routine surveillance reports	ESH/IS	A21	T	Destroy when 6 months old.	NA
Safety Analysis Reports	ESH/IS	E	T	Retire to FRC10 yrs after issued; destroy 25 yrs after issued. PENDING - DO NOT DESTROY	NA
Safety inspection routine reports	ESH/IS	1	T	Destroy when 1 yr old	NA
Sample and analysis plans at waste storage locations to identify potential contamination	ESH/IS	E	T	Destroy when results are verified, or until 5 yrs old whichever is earlier.	NA

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Sampling and analysis case files - relating to a specific environmental site, activity, project, organization, laboratory, process.	ESH/IS	E	T	Cutoff case file upon closeout of activity or project. Destroy 50 yrs after cutoff	NA
Sampling and analysis procedures that detail the methods used, frequency of analysis of environmental samples, and authorization forms.	ESH/IS	E	T	Cutoff when superseded or obsolete. Destroy in 75 yrs	NA
Security alarm and access control system activity journals and maintenance records	ESH/IS	A18	T	Cut off at the end of FY. Destroy 3 yrs after cutoff.	NA
Security alarm and access control system manufacturers documentation	ESH/IS	A18	T	Destroy when current system is upgraded or replaced.	NA
Security logs and registers	ESH/IS	A18	T	Destroy 2 yrs after final entry	NA
Security service control files - key or code records, emergency call cards, building record and employee identification cards.	ESH/IS	A18	T	Destroy when superseded or obsolete	NA
Septic system/sewage treatment files approvals, certification of inspections and installation, drawings, correspondence and meeting minutes	ESH/IS	E	T	Destroy when 50 yrs old	NA
Septic system/sewage treatment files operation manuals and vendor information	ESH/IS	E	T	Destroy when equipment is no longer in service	NA
Soil monitoring procedures that detail methods /frequency of environmental soil monitoring.	ESH/IS	E	T	Cutoff when superseded or obsolete. Destroy when 75 yrs old	NA
Source data used to check accuracy of radiation counters against the known calibration standards	ESH/IS	1	T	Destroy when 1 yr old	NA
Space and maintenance general correspondence files	ESH/IS	A11	T	Destroy when 2 yrs old	NA
Space assignment plans for facilities other than nuclear or hazardous materials.	ESH/IS	A17	T	Destroy when superseded by as-built drawings.	NA
Space assignment plans from nuclear facilities or facilities that produced or stored hazardous materials.	ESH/IS Projects	A17	T	Cut off when no longer needed for administrative purposes. Destroy when 75 yrs old	NA
Special Source Material Accountability and Transfer Files: records to account for transfers from one unit to another	ESH/IS	2	T	Destroy when 1 yr old providing Departmental audit has been completed	NA
Spill prevention control and counter-measures records	ESH/IS	E	T	Destroy after 3 yrs.	NA
Spill records chemical spills, hazardous waste spills, process spills, leaks, or similar spills under CERCLA/RCRA.	ESH/IS	E	T	Destroy 10 yrs after cleanup	NA
Spill response and remediation plan files	ESH/IS	E	T	Destroy 1 yr after superseded	NA
Statistical monitoring data used to make statistical comparisons between different monitoring locations or time periods.	ESH/IS	E	T	Destroy when incorporated into summary report, or when 5 yrs old, whichever is earlier	NA
Statistical summaries and reports with related papers pertaining to employee health, retained by the reporting unit.	ESH/IS	A1	T	Cut off annually. Destroy 75 yrs after date of report.	NA
Stratospheric ozone protection records- transition from ozone depleting chemicals	ESH/IS	E	T	Destroy when 3 yrs old.	NA

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Supply management files	ESH/IS	G3	T	Destroy when 2 yrs old	NA
Surplus property case files $25,000 or less	ESH/IS	A4 G4	T	Destroy 3 yrs after final payment	NA
Surplus property case files more than $25,000	ESH/IS	A4 G4	T	Destroy 6 yrs after final payment	NA
Survey and inspection files for preventive measures against hazards of fire, explosion, accidents, sabotage and unauthorized entry.	ESH/IS	A18	T	Cut off at the close of the FY. Destroy 75 yrs after discontinuance of facility.	NA
Tank monitoring records related tanks containing chemicals, wastes, hazardous, radioactive, or toxic substances.	ESH/IS	E	T	Until tank closure	NA
Technical standards, operating guides, laboratory procedures describing radiation contamination protection program.	ESH/IS	A1	P	Cut off the file at the close of FY. Transfer to NARA in 5 yr blocks, 25 yrs after cutoff.	NRA
Telecommunications files, including equipment requests, telephone service	ESH/IS	A12 G12	T	Destroy when 3 yrs old	NA
Telecommunications services agreements	ESH/IS	G12	T	Destroy 2 yrs after expiration or cancellation of agreement	NA
Telecommunications statistical reports including cost and volume data	ESH/IS	A12	T	Destroy when 1 yr old	NA
Telecommunications voucher files	ESH/IS	A12 G12	T	Destroy 1 yr. after audit or when 3 yrs old, whichever is sooner	NA
Telephone records, statements and toll slips.	ESH/IS	A3 G3	T	Destroy 3 yrs after period covered by related account	NA
Telephone Use (Call Detail) Records	ESH/IS	G12	T	Destroy when 3 yrs old	NA
Threat files of known or suspected technical and non-technical security information, methodology, technologies	ESH/IS	A18	T	Review annually. Destroy when superseded or obsolete.	NA
Tier two emergency and hazardous chemical inventory reports	ESH/IS	E	T	Destroy 3 yrs after report	NA
Toxic chemical release inventory report	ESH/IS	E	T	Destroy 3 yrs after report	NA
Transuranic shipment records	ESH/IS	E	T	Destroy after 5 yrs	NA
Underground storage tank files subject to excavation	ESH/IS	E	T	Destroy 3 yrs after tank is removed.	NA
Underground storage tank files subject to remediation	ESH/IS	E	T	Destroy 20 yrs after abatement is completed	NA
Visitor access files - visitors with potential for exposure to hazardous material.	ESH/IS	A18	T	Cut off at the end of the FY. Destroy 75 yrs after cutoff.	NA
Visitor access files - without the potential for exposure to hazardous material.	ESH/IS	A18	T	Cut off at the end of the FY. Destroy 5 yrs after cutoff.	NA
Waste inventory control and material substitution records	ESH/IS	E	T	Cutoff files at end of fiscal yr. Destroy when 75 yrs old.	NA
Waste minimization and pollution prevention implementation plan records	ESH/IS	E	T	Cutoff when superseded, or obsolete. Destroy 5 yrs after cutoff.	NA
Waste minimization/prevention, waste reduction, and waste disposal reports	ESH/IS	E	T	Destroy 150 yrs after issuance of report	NA
Waste stream identification plans and/or characterization studies and detailed descriptions of waste stream processes.	ESH/IS	E	T	Cutoff files at end of fiscal yr. Destroy when 10 yrs old.	NA

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Waste water discharge permit records including technical, regulatory and policy correspondence, and storm drainage inspections and maps.	ESH/IS	E	T	Destroy 5 yrs after permit expires	NA
Well history, construction, maintenance and abandonment files	ESH/IS	E	T	Cutoff when well is plugged and abandoned. Retire to FRC 3 yrs after cutoff. Destroy when facility closes.	NA
Worksheets, chart records which must be interpreted or modified before use, or to verify that recorded data is correct, and statistical summaries duplicating the radiation exposure data.	ESH/IS	A1	T	Destroy when the exposure record has been verified and approved, or after 1 yr, whichever is earlier.	NA
Equipment maintenance records including testing, inspection, servicing, and repair records	ESH/IS & Projects	2	T	Destroy when equipment is removed from service	NA
Records selected for architectural, historical, and technological significance (see notes at the end of this attachment)	ESH/IS, ETI & Projects	14	P	Offer to NARA when file is inactive	NARA
Computer information protection plan/contingency plan	ETI	A18	T	Destroy when superseded or when the system or application is decommissioned,	NA
Data reflecting impurities of product metal rolled at specified temperatures	ETI & Projects	2	T	Destroy when 2 yrs old	NA
Engineering drawings of routine minor parts.	ETI & Projects	A17	T	Destroy when superseded or after object retired from service	NA
Lot fabrication and inspection records developed in quality activities at material processing plants	ETI & Projects	2	T	Destroy when 1 yr old	NA
Production control files developed in coordinating work programs in the production of components and equipment	ETI & Projects	2	T	Destroy 2 yrs after completion of individual production program	NA
Repetitive engineering drawings showing minor modifications made during R&D, and superseded by final drawings, if readily segregated from a larger file.	ETI & Projects	A17	T	Destroy when superseded or after structure or object has been retired from service	NA
X-Ray film made to determine physical status of products, exclusive of radiographs of equipment and materials used in nuclear systems	ETI & Projects	2	T	Destroy when 1 yr old	NA
Administrative grievance, disciplinary, and adverse action files.	HR	A1	T	Cut off at the close of the case. Destroy 4 yrs after cutoff	NA
Administrative training records include manuals, syllabuses, textbooks, and other training aids	HR	A1	T	Courses on hazardous, materials, radiation, safety or environmental and health, transfer to FRC after last session. Destroy 75 yrs after transfer. All other courses, destroy in 2 yrs	FRC
Alcohol and drug abuse program, planning, coordinating, and directing program records.	HR	A1	T	Destroy when 3 yrs old.	NA

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Americans with Disabilities Act files	HR	A1	T	Cut off at case closure. Destroy 4 yrs after cutoff	NA
Apprenticeship program files	HR	A1	T	Cut off at termination. Destroy 10 yrs after cutoff.	NA
Auxiliary brigade attendance and training records	HR	1	T	Destroy when 1 yr old	NA
Certification/decertification files related to union membership organizing drives.	HR	A1	T	Destroy 10 yrs after expiration of related labor agreement.	NA
Classification appraisals for comparison of salaries paid locally and nationally to established salary percentage increase.	HR	A1	T	Cut off at end of FY. Destroy 3 yrs after cutoff or when superseded or obsolete	NA
Classification survey reports on positions, prepared by classification specialists.	HR	A1	T	Destroy when 3 yrs old.	NA
Contractor job classification manuals describing tasks associated with jobs and the training required to accomplish them.	HR	A1	T	Destroy 75 yrs after date of issuance.	NA
Contractor labor management relations correspondence, meeting minutes, reports, background papers related to labor negotiations and agreements.	HR	A1	T	Destroy 10 yrs after the termination of the contract with the DOE.	NA
Contractor personnel office administrative and correspondence files relating to personnel functions not maintained in individual personnel files.	HR	A1	T	Cut off annually. Destroy 10 yrs After cut off.	NA
Course training aids	HR	A1	T	Destroy when superseded or obsolete.	NA
Denied health benefits requests including applications, court orders, denial letters, appeal letters, and related papers.	HR	A1	T	Destroy 75 yrs after denial.	NA
Drill guides/scenarios	HR	A1	T	Destroy when superseded/obsolete.	NA
Drug test plans, procedures, correspondence, and memoranda, for drug testing program.	HR	A1	T	Destroy when 3 yrs old or when superseded/obsolete, whichever is later	NA
Drug testing employee acknowledgment of notice forms completed by employees acknowledging that they have received notice that they may be tested.	HR	A1	T	Destroy when employee separates from testing-designated position	NA
EEO - compliance records, EEO affirmative action plans and general files	HR	A1	T	Destroy when 7 yrs old	NA
EEO - official discrimination complaint case files.	HR	A1	T	Destroy 4 yrs after resolution of case	NA
Employee awards files	HR	A1	T	Destroy when 2 yrs old.	NA
Employee concerns files for items other than security, environmental, safety, and health-related issues	HR	A1	T	Cut off at end of FY. Destroy 4 yrs after cutoff	NA
Employee concerns files relating to security, environmental, safety, and health-related issues.	HR	A1	T	Cut off at the close of the FY in which the case was closed. Destroy 75 yrs after cutoff	NA
Employee individual training folders	HR	A1	T	Cut off file at separation. Transfer to FRC. Destroy 75 yrs after cutoff	FRC

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Type of Record	Respon. Depart.	DOE Sched.	Type	Retention Schedule (see notes at end of attachment)	Transfer to:
Employee performance file system records	HR	A1	T	Destroy 4 yrs after date of appraisal or when no longer needed, whichever is sooner.	NA
Employment patent agreement forms	HR	7	T	Destroy when 56 yrs old	NA
Films acquired from outside sources for personnel and management training.	HR	A21	T	Destroy 1 yr after completion of training program	NA
Housing furnishing inventory files, pertaining to items in furnished units	HR	A15	T	Destroy 3 yrs after FY inventory is superseded	NA
Housing general correspondence files and housing management files	HR	A15	T	Destroy when 2 yrs old	NA
Housing maintenance and repair files	HR	A15	T	Destroy 3 yrs from close of FY in which work is done	NA
Incentive awards program reports	HR	A1	T	Destroy when 3 yrs old	NA
Individual development plans	HR	A1	T	Cut off at end of FY. Destroy when superseded or upon separation	NA
Interview records	HR	A1	T	Destroy 6 months after transfer or separation of employee	NA
Length of service and sick leave files	HR	A1	T	Destroy when 1 yr old	NA
Letters of commendation & appreciation	HR	A1	T	Destroy when 2 yrs old	NA
Merit promotion case files.	HR	A1	T	Destroy 2 yrs after the personnel action is completed,	NA
Mission-related training materials - audiovisual records	HR	A21	P	Transfer to the National Archives in 5 yr blocks when the newest record is 5 yrs old.	NARA
Official personnel files of PPPL employees	HR	A1	T	Cut off at separation. Transfer to FRC. Destroy 75 yrs after cutoff.	FRC
Personal injury files, forms, reports, correspondence, and related medical and investigatory records relating to on-the-job injuries	HR	A1	T	Cut off on termination of compensation or when filing deadline has passed. Destroy 75 yrs after cutoff	NA
Personnel counseling files	HR	A1	T	Destroy 3 yrs after termination of counseling	NA
Position descriptions	HR	A1	T	Destroy 75 yrs after position is abolished or superseded	NA
Pre-employment background investigations.	HR	A18	T	Cut off at the end of the FY. Destroy 5 yrs after cutoff.	NA
Pre-hire test files including written and practical job-skill/proficiency pass/fail tests administered to measure suitability.	HR	A1	T	Destroy 2 yrs after date of test	NA
Privacy Act request and control files	HR	A14	T	Destroy 5 yrs after last reply or entry	NA
Records kept for tracking the impact of educational programs on involved staff.	HR	A1	T	Cut off at end of FY. Destroy 25 yrs after cutoff.	NA
Recruitment package containing promotional material, investigative authorization forms, & general benefits.	HR	A1	T	Cut off at end of FY. Destroy when 3 yrs old or superseded/ canceled, whichever is earlier.	NA
Retirement assistance correspondence, memoranda, annuity estimates, used to assist retiring employees or survivors.	HR	A1	T	Destroy when 1 yr old.	NA
Security personnel training records.	HR	A18	T	Destroy one yr after separation as a member of protective force	NA

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Seniority rosters documenting effective service dates for union employees, to determine seniority.	HR	A1	T	Destroy 10 yrs after expiration of related labor agreement	NA
Standards of conduct files.	HR	A1	T	Destroy when obsolete or superseded	NA
Training films developed by PPPL for non-programmatic training; i.e., security, records training.	HR	A21	T	Destroy one yr after completion of training program	NA
Training films developed by the PPPL for programmatic training that relates to the missions and functions of the Department.	HR	A21	P	Transfer to the National Archives in 5 yr blocks when the newest record is 5 yrs old.	NARA
Tuition reimbursement records	HR	A1	T	Cut off at end of FY. Destroy 6 yrs and 3 months after cutoff.	NA
Unemployment compensation records	HR	A1	T	Cutoff upon termination. Destroy 3 yrs after cutoff.	NA
Vacancy announcements used to notify staff of a particular job opening	HR	A1	T	Cut off at end of FY. Destroy 1 yr after cutoff.	NA
Wage survey reports and data; development and implementation of wage schedules; and request for an authorization of specific rates	HR	A1	T	Destroy after completion of second succeeding wage survey	NA
Information and/or technical data arising from work performed for another government agency, unless provided otherwise by DOE.	Project	O	T	Retain 10 yrs. Destroy upon DOE and respective government agency approval.	NA
Information and/or technical data arising from work performed, under contract, for State agencies, local agencies, or domestic/private corporations.	Project	O	T	Destroy in 10 yrs	NA
Miscellaneous construction records, essential to the performance of the process but not for project completion	Project	14	T	Until project completion	NA
Construction completion reports summarizing the project, from design through construction	Projects	14	T	20 yrs for unique/special projects. Other until facility or when obsolete, whichever is earlier.	NA
Control room logs recording operating conditions and procedures on each shift	Projects	2	T	Destroy when 6 yrs old	NA
CRADA Project Files including, proposal; project planning; reports and correspondence; budget; technical data and studies; meeting minutes; procedures; non-disclosure agreements, and presentation materials.	Projects	O	T	Transfer record set to corporation partner following project completion. Retain copy for 10 yrs, then destroy.	NA
Daily operations summary reports	Projects	2	T	Destroy when 6 yrs old	NA
Decontamination and decommissioning cleanup files documenting dismantlement, disposal, or cleanup of a facility, and equipment that has been exposed to radiation or hazardous chemicals.	Projects	E	T	Cutoff at project completion. Retire to FRC 25 yrs after cutoff. Destroy in 75 yrs.	NA
Facility logbooks listing significant action, daily surveillances and maintenance activities occurring during normal operations of the facility	Projects	E	T	Destroy when 75 yrs old	NA

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Feasibility studies.	Projects	A16	T	Destroy 5 yrs after completion or cancellation of study.	NA
Grant administrative files.	Projects	A3	T	Destroy when 2 yrs old	NA
Initial design planning records	Projects	14	T	Until project completion or termination whichever is earlier.	NA
Laboratory logbooks describing analyses daily activities of the laboratory	Projects	2	T	Destroy when 5 yrs old	NA
Laboratory manuals, procedures	Projects		T	Destroy when superseded	NA
Logbooks documenting equipment testing and development	Projects	E	T	Destroy after 5 yrs or after disposal or clearance of tool/equipment from project	NA
Miscellaneous planning and design records, information and correspondence, essential to the performance of the processes but not for project record purposes.	Projects	14	T	Until project completion or termination, whichever is earlier	NA
Procedures of operating activities covering phases of operation and consisting of calibration books	Projects	2	T	Destroy when superseded	NA
Process work reports pertaining to improvements in handling, operating, processing, and material quality	Projects	2	T	Destroy when 3 yrs old	NA
Project control files, memoranda, reports, progress, and completion of projects	Projects	A16	T	Destroy 1 yr after the yr in which the project was closed.	NA
Recorder charts for temperature, pressure, flow, for testing and operations, exclusive of radiation detection charts	Projects	2	T	Destroy when 1 month old	NA
Records documenting a project activities' technical scope, project schedule, cost, and deviations from the baseline.	Projects	A16	T	Cut off at the end of each FY. Destroy when 10 yrs old.	NA
Records of completed or terminated projects costing $750,000, or less, which do not involve special equipment, systems, or processes.	Projects	14	T	10 yrs after completion of project or 5 yrs after project is terminated	NA
Records of completed or terminated projects costing more than $750,000, or which involve special equipment, systems, or processes.	Projects	14	T	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier.	NA
Records which verify that an activity was performed in accordance with the applicable requirement but need not be retained for the life of the plant or item	Projects	14	T	Retain for 6 yrs after plant or item is put into service.	NA
Records which would be of significant value in demonstrating capability for safe operations; in maintaining, reworking, repairing, replacing or modifying the item; and in determining the cause of an accident or malfunction of the item.	Projects	14	T	Until the item is removed from service	NA
Safe work permits used to designate the approval for employees to work on a potentially hazardous job.	Projects	A18	T	Destroy 75 yrs after the date of the permit.	NA

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Shift supervisors' logbooks recording significant incidents and actions taken	Projects	2	T	Destroy when 6 yrs old	NA
Unsuccessful grant application files	Projects	A3	T	Destroy 3 yrs after rejection or withdrawal.	NA
Work Permit (Work Orders) records (permits, logs, etc.)	Projects	2	T	Destroy 1 yr after completion of work	NA
Working drawings and construction specifications, "as-builts", operating and maintenance manuals, warranty data, final inspection reports, construction costs and schedule data, and other essential information documenting the construction process.	Projects	14	T	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier or 5 yrs after construction is terminated	NA
Records related to travel to foreign countries for programmatic reasons	Projects, BO	A9	T	Cut off at end of FY. Destroy 7 yrs after cutoff	NA
FOIA administrative, request and appeals Files	PU	A14	T	Destroy 6 yrs after requester could file suit, or 3 yrs after adjudication by courts, whichever is later.	NA
Litigation files for personal injuries alleged to have been caused by radiation	PU	7	T	Destroy 75 yrs after close of case	NA
Litigation files which are not significant and do not allege radiation causes.	PU	7	T	Destroy 10 yrs after close of case	NA
Litigation significant case files determined by DOE to have had a significant effect on a statute, regulation, or rule, intense public interest cases that have attracted the interest of a Congressional Committee, the Office of the President, or national media, and cases reviewed by the Supreme Court	PU	7	P	Offer to National Archives 25 yrs after close of case	NARA
Patent contracts and related papers pertaining to negotiation of contract patent provisions, inventions or discoveries conceived under contract, reports and papers reviewed for patent	PU ORPA	7	T	Destroy when 10 yrs old	NA
Patent Licensing Records	PU ORPA	7	T	Destroy 25 yrs after issuance of the patent	NA
CRADA Licensing and Collaborative Agreements/Contracts Official, signed agreement, including cost sharing data.	TT	O	P	Offer to NARA 25 yrs after termination of agreement	NARA
Patent Case files containing record of invention disclosure, record of invention, draft of patent application with inventor's notes, copy of patent application as filed, pertinent correspondence, amendments, reports, and references on issued patents domestic and foreign.	TT	7	T	Destroy when 30 yrs old	NA

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Notes:

1) Records identified as epidemiological must not be destroyed
2) The following DOE Schedules were utilized to develop the PPPL records schedule. Note that the most conservative destruction time frame was chosen to assure compliance with these approved schedules.

No.	Title
1	DOE Records Schedule 1, Medical, Health & Safety Records
2	DOE Records Schedule 2, Industrial Facility Records
3	DOE Records Schedule 3, Nuclear Weapon Records, not applicable to PPPL– no weapons
4	DOE Records Schedule 4, Facility Records
5	DOE Records Schedule 5, Special Materials Accountability Records
6	DOE Records Schedule 6, Equipment Control, Maintenance, and Operations Records
7	DOE Records Schedule 7, Legal Records
8	DOE Records Schedule 8, Procurement, Supply, & Grant Records addendum to the General Records Schedule
9	DOE Records Schedule 9, Property Disposal Records addendum to the General Records Schedule
10	DOE Records Schedule 10, Budget Preparation, Presentation, & Apportionment Records addendum to the General Records Schedule
11	DOE Records Schedule 11, Accountable Officers' Accounts Records addendum to the General Records Schedule
12	DOE Records Schedule 12, Travel & Transportation Records addendum to the General Records Schedule
13	DOE Records Schedule 13, Communications Records addendum to the General Records Schedule
14	DOE Records Schedule 14, Design & Construction Drawings & Related Records a variation of the General Records Schedule
A1	DOE Administrative Records Schedule 1, Personnel Records
A2	DOE Administrative Records Schedule 2, Payroll & Pay Administration Records
A3	DOE Administrative Records Schedule 3, Procurement, Supply & Grant Records
A4	DOE Administrative Records Schedule 4, Property Disposal Records
A5	DOE Administrative Records Schedule 5 Budget Preparation, Presentation, & Apportionment Records
A6	DOE Administrative Records Schedule 6 - (DRAFT) Accountable Officers' Accounts Records
A7	DOE Administrative Records Schedule 7, Expenditure Accounting Records
A8	DOE Administrative Records Schedule 8, Stores, Plant, & Cost Accounting Records
A9	DOE Administrative Records Schedule 9, Travel & Transportation Records
A10	DOE Administrative Records Schedule 10, Motor Vehicle Maintenance & Operation Records
A11	DOE Administrative Records Schedule 11, Space & Maintenance Records
A12	DOE Administrative Records Schedule 12, Communications Records
A13	DOE Administrative Records Schedule 13, Printing, Binding, Duplication, & Distribution Records
A14	DOE Administrative Records Schedule 14, Informational Services Records
A15	DOE Administrative Records Schedule 15, Housing Records
A16	DOE Administrative Records Schedule 16, Administrative Management Records
A17	DOE Administrative Records Schedule 17, Cartographic, Aerial Photographic, Architectural & Engineering Records
A18	DOE Administrative Records Schedule 18, Security, Emergency Planning & Safety Records
A20	DOE Administrative Records Schedule 20, Electronic Records
A21	DOE Administrative Records Schedule 21, Audio Visual Records
A22	DOE Administrative Records Schedule 22 - (DRAFT) Audit/Investigative Records
A23	DOE Administrative Records Schedule 23. Records Common to Most Offices
E	DOE Environmental Records Schedule March 1999
G3	General Records Schedule 3, Procurement, Supply and Grant Records
G4	General Records Schedule 4, Property Disposal Records
G5	General Records Schedule 5, Budget preparation, Presentation, and Appointment Records

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G6 General Records Schedule 6, Accountable Officers' Account Records
G9 General Records Schedule9, Travel and Transportation Records
G12 General Records Schedule 12, Communications Records
O Other Approved Records Schedules: Radiographs of Fuel Elements; Safe Work Permits; Visitor Access Control Records to Areas Where Radiation or Other Hazards Could Occur; Contractor Training Records; Contractor Personnel Records; Security Records Addendum to GRS 18, Items 2, 3, & 4; Research and Development Records; Grant Files; Work for Others; Cooperative Research & Development Agreements; Cost-Sharing Agreements; and Personnel Radiation Exposure Dose Records-Film Badges

3. The following definitions apply to this attachment

BO	Business Operations
DO	Directors Office
EA	External Affairs
ESH/IS	Environment, Safety and Health and Infrastructure
ETI	Engineering and Technical Infrastructure
FRC	Federal Records Center
HR	Human Resources
NARA	National Archives and Records Administration
ORPA	Office of Research and Project Administration
P	Permanent
PU	Princeton University
ROD	Record of Decision
T	Temporary
TT	Technology Transfer

4. Criteria for the selection of architecturally, historically and technologically significant files:

Architectural Significance

Original Design. Primary consideration should be given to buildings and facilities, which are essentially original in design. Although it may incorporate standard features, a uniquely designed building or facility is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.

Standard or Repetitive Design. If building or facilities use a standard or repetitive design, it is not necessary to permanently retain a file for each building. However, a file should be retained for the building or facility most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.

Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.

Innovations. Buildings or facilities which include architectural or engineering innovations.

Historical Significance.

Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies.

National Events or Personalities. Buildings or facilities which are associated with events or persons who represent the broad history of the country.

Noted Architect Drawings by noted architects or engineers of both proposed and constructed buildings or facilities.

Controversial. Buildings or facilities which were involved in controversy in regards to their design, construction, or utilization. Projects terminated because of cost overruns, safety hazards, and environmental hazards are included.

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Technological Significance.

This category includes files for such projects as first-of-a-kind energy research, development, or demonstration projects of other unique building or facility projects. Since this is a broad category which covers many different types of technical facilities, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as the National Aeronautics Administration, (NASA)'s spacecraft or Tennessee Valley Authority, (TVA's) hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variation. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard. It should be noted that comprehensive site development plans or master plans are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see Schedule 17), while individual buildings and facilities within the system can be evaluated on the basis of this schedule.

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DOE Research & Development Records Schedule Review Philosophy & Guidelines:

This schedule provides tools and guidelines to complete the review of R&D records and to establish levels for disposition. The records in this schedule shall be reviewed at project closure or file cutoff to determine the appropriate disposition. Each site should establish a review team composed of members who understand the records under evaluation and the records management function of the organization. The team should include the PPPL Records Subject Matter Expert, the principal investigator(s), project researchers, current records holders, and responsible project manager and/or department head. An R&D Checklist should be the starting point for the team. Ideally, the evaluation process would begin with an assessment of records written by the principal investigator(s) during or shortly after the close of a project. This provides a basis for the review team to use in their subsequent evaluation of the project. R&D records must be evaluated and assigned into one of the following three levels, unless otherwise indicated in the schedule. Records retired under this schedule will not be accepted by a Federal Records Center without an appropriate level designation.

Level I: Projects which received national or international awards of distinction; active participation of nationally or internationally prominent investigators; research which resulted in a significant improvement in public health, safety, or other vital national interests; scientific endeavors which were the subject of widespread national or international media attention and/or extensive congressional, DOE or other government agency investigation; show the development of new and nationally or internationally significant techniques which are critical for future scientific endeavors; or made a significant impact on the development of national or international scientific, political, economic, or social priorities.
Level I Disposition Instructions: Permanent. Cutoff after project/program completion, cancellation, or termination, or in 5 year blocks. Retire to Federal Records Center 2 years after termination of project/program. Transfer to National Archives and Records Administration 30 years after termination of project/program.

Level II: Research that leads to the development of a "first of its kind" process or product; improved an existing process, product, or application, or has implications for future research.
Level II Disposition Instructions: Cutoff after project/program completion, cancellation or termination, or in 5 year blocks. Retire to FRC 2 years after termination of project/program. Destroy 25 years after termination of project/program.

Level III: Research projects/programs that do not fall into Level I or II.
Level III Disposition Instructions: Cutoff after project/program completion, cancellation or termination, or in 5 year blocks. Retire to FRC 2 years after termination of project/program. Destroy 10 years after termination of project/program.

Research & Development Evaluation Checklist
The following list is intended for PPPL purposes only.

1. Full name of office or unit creating the records.
2. Official name of the project, project number or sub-project identifier, and summarized statement of work.
3. Summary of the project and its significance, including significant milestones (start, finish...).
4. Name(s) of principal researcher(s).

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5. Names of team members.
6. Location of principal researcher(s) and team members.
7. Funding and/or oversight DOE program.
8. Research methodology, procedures, and techniques unique to project.
9. Has a patent(s) been filed?
10. Are the records the subject of pending litigation? (Note: No document should be destroyed if it is related to a complaint or a claim which has been filed or is likely to be filed even if the retention has been reached or exceeded. Approved dispositions may be applied after resolution of the litigation and any subsequent appeals.)
11. Types of records (R&D Data, notebooks and specific information related to the R&D). Administrative files and records are dispositioned via attachment 1 of this procedure.
12. Medium of records (e.g., paper, diskette, microfilm...).
13. Location of records.
14. Evaluation of records for future research and historical use.
15. Suggested retention.

<u>Research & Development Records to be Evaluated</u>

1. Design documentation including experimental set up, schematics, flow charts and logs, test controls and instructions, test records and certifications, measuring and test equipment control listings, and calibration records.
2. Basic data sheets & data logs.
3. Computer code documentation, software/hardware requirements, and data
4. Scientific documents which include: technical papers, final research data, statistical analyses, tables, charts, graphs, computer printouts or analyses of scientific or engineering data, and other accumulated records documenting the progress and completion of R&D projects.
5. Supporting scientific information which includes: preliminary reports, notes and working papers, computer printouts, draft copies of papers used by technical writers and any other preliminary or draft copies.
6. Raw data in various media used to collect and assemble data of a preliminary or intermediate character generated from such processes as experiments or observations used for reference in arriving at determinations in the conduct of research projects or determined to have probable value for secondary evaluations or future experiments.
7. Evaluated or summarized data resulting from study of raw data including memoranda, graphs, tabulations, reports, log books, and related papers after termination of project/program.
8. Researcher notebooks issued to document research results. These notebooks contain technical and scientific data accumulated from the conduct of research and development and are often not duplicated in technical reports or project case files. These notebooks frequently contain data essential in establishing patent or invention rights.
9. Records of boards and committees studying assigned technical research and development problems, including requirements for or the authorization of projects, the scheduling and phasing of projects or programs, and the control and coordination of various R&D project phases or programs. Records consist of agendas, directives, minutes of meetings, papers relating to the establishment, revision, or termination of projects, and other papers reflecting the boards or committees' actions, recommendations and accomplishments.

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SERIES INVENTORY FORM

1. DATE PREPARED

2. OFFICE MAINTAINING THE FILES *(Name and symbol)*

3. PERSON DOING INVENTORY *(Name, office, phone number)*

4. SERIES LOCATION

5. SERIES TITLE

6. INCLUSIVE DATES

7. SERIES DESCRIPTION

8. MEDIUM *(check all that apply)*
- ❑ Paper
- ❑ Microform
- ❑ Electronic *(use information system form)*
- ❑ Audiovisual *(use audiovisual form)*

9. ARRANGEMENT
- ❑ Subject file classification system
- ❑ Alphabetical by name
- ❑ Alphabetical by subject
- ❑ Geographical by *(specify)*
- ❑ Numerical by *(specify)*
- ❑ Chronological
- ❑ Other *(specify)*

10. VOLUME *(in cubic feet)*

11. ANNUAL ACCUMULATION *(in cubic feet or inches)*

12. CUTOFF *(e.g., end of FY)*

13. REFERENCE ACTIVITY *(after cutoff)*
- ❑ Current *(At least once a month per file unit)*
  For how long after cutoff?_____
- ❑ Semicurrent *(Less than once a month per file unit)*
- ❑ Noncurrent *(Not used for current agency business)*

14. VITAL RECORDS STATUS: ❑ Yes ❑ No
(If yes, indicate type here; use entry 15 to show any duplication.)
____ Emergency-operating ____ Rights-and-interests ____ Both

15. DUPLICATION: Are documents in this series available in another place or medium? ❑ Yes ❑ No
(If yes, explain where and in what medium.)

16. FINDING AIDS *(if any)*

17. RESTRICTIONS ON ACCESS AND USE

18. CONDITION OF PERMANENT RECORDS
❑ Good ❑ Fair ❑ Poor
Comment:

19. DISPOSITION AUTHORITY: Does the series have an approved disposition authority?
❑ Yes *(List the schedule and item number, give the current disposition instructions, and justify any proposed change.)*

❑ No *(Propose an appropriate retention period.)*

Figure 3-1a. Series Inventory Form

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INSTRUCTIONS

Complete an inventory form for each record series. A series is defined as file units or other documents arranged according to a filing system or kept together because they relate to a particular 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.

Entries 1-4, 13-15, and 19 are self-explanatory.

5. Give each series a title for brief reference. Examples include property control records and bills of lading.

6. List the earliest and latest dates of the records in each series. If the series is still being created at the time of the inventory, indicate the latest date by the designation "to date" or "to present." NARA requires agencies to give inclusive dates for records proposed for permanent retention and also for nonrecurring records proposed for immediate destruction.

7. Each series description should contain enough information to show the purpose, use, and subject content of the records. Follow these guidelines in describing the series:

(a) Avoid emphasizing form numbers, especially when describing case files.

(b) Consider combining into a single inventory item a number of very small series of temporary records if they serve the same function and are proposed for the same retention period.

(c) Avoid terms, such as "miscellaneous" or "various," that add nothing to the description.

(d) Give special attention to describing potentially permanent records, because NARA requires more detailed information on them.

8. Indicate whether the record medium is paper, microfilm, electronic, audiovisual, or some combination of these. If it includes electronic or audiovisual records, use special inventory forms, such as those in NARA publications.

9. Indicate the arrangement, or filing system, used. Examples include a subject classification system and arrangements that are alphabetical by subject, alphabetical by name of claimant, geographical by state, numerical by contract number, and chronological by date of report. NARA requires agencies to indicate the arrangement of records proposed for permanent retention but not those proposed for disposal.

10. Express the volume of records in cubic feet by using the conversion table provided. NARA requires agencies to give volume figures for records proposed for permanent retention and also for nonrecurring records proposed for immediate destruction. For microform and cartographic records, also give an item count.

One letter-size file drawer holds *1.5 cubic feet* of records.

One legal-size file drawer holds *2 cubic feet* of records.

Seven reels of standard digital computer tape (2400 feet long, 1/2 inch wide) equal *1 cubic foot.*

One standard records center carton holds *1 cubic foot.*

Fifty 100-foot 35 mm microfilm reels equal *1 cubic foot.*

One hundred 100-foot 16 mm microfilm reels equal *1 cubic foot.*

One letter-size National Archives box holds *0.35 cubic feet* of records.

One legal-size National Archives box holds *0.43 cubic feet* of records.

Cubic Footage Conversion Table

11. Estimate the annual rate of accumulation for each series if the records are current and continuing. NARA requires agencies to furnish the rate of accumulation of such records proposed for permanent retention but not those proposed for disposal. If the records no longer accumulate, indicate "none."

12. Indicate how often the series is cut off and when the last cutoff occurred. If it is not cut off, explain how inactive records are separated from active ones.

16. Describe any finding aids, such as indexes, document lists, lists of file headings or containers, and classification or filing manuals. If they cover more than one series, note that fact. If they are not in the same office or area as the related series, indicate their location.

17. Note any restrictions on access to, and use of, the particular series, such as restrictions relating to personal privacy or national security. NARA requires agencies to indicate any Privacy Act restrictions on records proposed for eventual destruction and any Freedom of Information Act restrictions on records proposed for immediate transfer to the National Archives.

18. Note the physical condition of records that are actually or potentially permanent, especially those stored offsite. Identify any threats, such as overhead water pipes, electrical equipment, excessive heat and/or humidity, vermin, and inadequate security.

Figure 3-1b. Series Inventory Form—Back

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AUDIOVISUAL RECORDS SERIES INVENTORY FORM

1a. PREPARED BY	1b. ORGANIZATION	1c. PHONE NUMBER

2. SERIES LOCATION	3. CREATING OFFICE

4. SERIES DESCRIPTION

5. DATES	6. ARRANGEMENT	7. VOLUME/ITEMS

8. RESTRICTIONS	9. ANNUAL ACCUMULATION
	❑ Cubic Feet ❑ Items

10. NATURE AND FREQUENCY OF USE

11. CUTOFF INSTRUCTIONS	12. RETIRE REGULARLY?
	❑ Yes ❑ No

13. PRESENT DISPOSITION

14. RECOMMENDATIONS FOR DISPOSITION

15. COMMENTS

Figure 3-2a. Audiovisual Records Series Inventory Form

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INSTRUCTIONS

1. Enter your name, organizational unit, and telephone number.

2. Include building and room number. If original material (e.g., motion picture preprint, master tapes, or still negatives) is not in the same place, where is it?

3. Which unit created these records?

4. Include the following in the description:
   a. Specific type including still pictures (negatives and prints), motion pictures, video recordings, sound recordings, or a combination of these.
   b. Format (4 × 5, 16 mm, and ½-inch) and generation.
   c. Subject matter covered in the series.
   d. Purpose served by the series.
   e. Finding aids such as data sheets, shot lists, continuities, review sheets, catalogs, indices, and caption lists. Location of such aids.
   f. Related documentation. Do files exist elsewhere that include production contracts, scripts, or other documents concerning these records? Where?

5. What is the date span of the series?

6. What is the arrangement of the series (e.g., alphabetical by subject, chronological, or numerical)?

7. What is the volume of the series and what is the item count? (See conversion table.)

8. Are there restrictions on access to or release of items in the series? If so, what statute, exemption to the FOIA, or regulation authorizes this restriction? Are any items copyrighted?

9. How many cubic feet (or, if negligible, items) were added to this series last year?

10. How many requests for copies does your unit handle in a month? Who requests the copies and why?

11. What is the basis for cutting off a series so earlier parts can be retired without disturbing the remainder of the series? (End of calendar year, every 5 years, etc.)

12. Have parts of the series been retired to agency storage areas or to a Federal records center (FRC)? How often? If parts of the series have been retired to an FRC, attach copies of the SF 135's.

13. Which item of your agency's records schedule applies to this series? If none applies, what happens to the records your unit no longer needs?

14. How long does your unit intend to keep those items added to the series last year in order to respond to internal agency requests?

Conversion Table

All of these equal **1 cubic foot:**

STILL PICTURES

- Negatives
  - **2,300** 35mm 6-exposure strips
  - **8,640** 2 × 2-inch mounted slides
  - **2,184** 4 × 5-inch file sheets
  - **5,960** 2¼ × 3¼-inch file sheets
- Prints
  - **2,350** 8 × 10-inch glossies
  - **9,400** 4 × 5-inch glossies

MOTION PICTURES

- **6** 35mm reels (1,000 feet)
- **11** 16mm reels (1,200 feet)
- **15** 16mm reels (800 feet)
- **32** 16mm reels (400 feet)

VIDEO RECORDINGS

- **15** ¾-inch cassettes
- **3** 2-inch reels
- **9** 1-inch reels
- **43** ½-inch reels

SOUND RECORDINGS

- **76** 16-inch disc recordings
- **144** 12-inch disc recordings
- **48** 7-inch audiotape reels
- **16** 10-inch audiotape reels

Figure 3-2b. Audiovisual Records Series Inventory Form—Back

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INFORMATION SYSTEM DESCRIPTION

1. SYSTEM TITLE	2. SYSTEM CONTROL NUMBER
3. AGENCY PROGRAM SUPPORTED BY SYSTEM	4. PROGRAM AUTHORITY

5. SYSTEM DESCRIPTION

5A. PURPOSE/FUNCTION OF SYSTEM

5B. SOURCE(S) OF DATA *(Include inputs from other systems)*

5C. INFORMATION CONTENT

5D. SYSTEM OUTPUTS *(Include outputs to other systems)*

6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM *(Include room numbers)*

7. AGENCY CONTACTS *(Names, addresses, and phone numbers of system and program personnel who can provide additional information about the system and the program it supports.)*

8. PREVIOUS DISPOSITION JOBS

9A. PREPARER'S NAME	9B. OFFICE NAME AND ADDRESS
9C. PHONE NUMBER	
SIGNATURE	DATE

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION NA FORM 14028 (9-86)

Figure 3-3a. Information System Description Form

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Definition

An *Information System* is the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. NARA's concern is with the government information in the system, that is, with information created, collected, processed, transmitted, disseminated, used, stored, and disposed of by the Federal Government. An electronic information system includes the inputs and outputs that are generated, as well as the information on electronic media. The system may contain budgetary, fiscal, social, economic, scientific-technical or program-related data and information, operated in support of agency programs and management responsibilities.

Explanations

1. The commonly used name and acronym of the system [*e.g.*, Budget System, Grain Monitoring System (GMS)]

2. The internal control number assigned to the system for reference, control, or cataloging purposes [*e.g.*, Information System Inventory Number, ADP Plan control number]

3. What agency programs or missions does the system support?

4. What laws, directives, *etc.*, authorize these programs?

5. Description has the following sections:

   a) *Purpose/Function:* The reasons for and the requirements met by the system.

   b) *Sources of Data:* The primary sources or providers of data to the system [*e.g.*, broadcast license holders, corporations doing business in the U.S.]. Does this system receive information from other systems, either from within or outside your agency?

   c) *Information content:* The principal subject matter, data coverage, time span, geographic coverage, update cycle, whether the system saves superseded information, major characteristics of the system, and whether the system contains microdata or summary data.

   d) *Outputs:* The principal products of the system [*e.g.*, reports, tables, charts, graphic displays, catalogs, correspondence], and an indication of the frequency of preparation. Is information from this system transferred to other systems?

6. and 7. Self-explanatory.

8. Citations of previous NARA disposition jobs approving disposition of components [*e.g.*, input forms, printouts, COM, output reports] of the system.

9. Self-explanatory.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NA FORM 14028 BACK (9-86)

Figure 3-3b. Information System Description Form—Back

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REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

1. FROM (Agency or establishment)

2. MAJOR SUBDIVISION

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER | 5. TELEPHONE

LEAVE BLANK (NARA use only)

JOB NUMBER

DATE RECEIVED

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE | ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☐ is not required; ☐ is attached; or ☐ has been requested.

DATE | SIGNATURE OF AGENCY REPRESENTATIVE | TITLE

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)

115-109 NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91) Prescribed by NARA 36 CFR 1228

Figure 5-2a. Standard Form 115

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INSTRUCTIONS

GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIR), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

SPECIFIC

Entry 1 should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

Entries 2 and 3 should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

Entries 4 and 5 should provide the name and telephone number of the person to be contacted for information.

Entry 6 must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

Entry 7 should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

Entry 8 should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

Entry 9 must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

Entry 10 is for NARA use only and should be left blank.

STANDARD FORM 115 BACK (REV. 3-91)

Figure 5-2b. Standard Form 115–Back

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RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE 1 OF PAGES

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150)

Federal Records Center

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

2. AGENCY TRANSFER AUTHORIZATION — TRANSFERRING AGENCY OFFICIAL (Signature and title) — DATE

3. AGENCY CONTACT — TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)

4. RECORDS CENTER RECEIPT — RECORDS RECEIVED BY (Signature and title) — DATE

Fold Line

6. **RECORDS DATA**

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTIONS	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)

NSN 7540-00-634-4083 — 35-107 — Standard Form 135 (Rev. 7-85) Prescribed by NARA 36 CFR 1228.152

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INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

(*a*) The NARA record group number assigned to the records of the agency making the transfer;

(*b*) The last two digits of the current fiscal year; and

(*c*) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)

(*d*) *Volume.* Enter the volume in cubic feet of each series of records being transferred.

(*e*) *Agency Box Numbers.* Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.

(*f*) *Series Description.* Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.

(*g*) *Restriction.* Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

Code	*Restriction*
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use—witnessed disposal *not required* (specify in column (f))
W	Restricted use—witnessed disposal *required* (specify in column (f))
N	No restrictions

(*h*) *Disposal Authority.* For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.

(*i*) *Disposal Date.* Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

(*j*) *Location.* The records center annotates the shelf location of the first carton for each series of records.

(*k*) *Shelving Plan.* The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.

(*l*) *Container Type.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.

(*m*) *Automatic Disposal.* The records center enters either *Y* (yes) to indicate automatic disposal applies or *N* (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

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Type of Record*	Owner of Record	Custodian of Record	DOE Schedule*	Type* (Perm. or Temp.)	Quality/ Vital Record?	Retention Period*	Storage Location	Media (paper/ electr…)	Transfer to:*

*See Attachment 1

NOTE: Individual Departments may choose provide additional information on this form (information on this form is required).

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Records Coordinators have the responsibility to create a records disposition schedule which identifies a Department's records and how long they will be kept. As part of this disposition schedule, two smaller subsets of these documents must be identified: *quality records*, and *vital records* This attachment provides additional guidance in this process and addresses issues that have come up during the records identification process. Specifically, some of the retention schedules do not include all of the records that exist in a department

Inventory and Disposition Schedule

This procedure requires that Laboratory documents (hard copy and electronic) be inventoried and scheduled for disposition according to approved records schedules (Attachment 1):

1. All records must be identified, even temporary records (usually by category, e.g. procurement files vs. separate specific file folders). You need to be able to have an auditor go into an office and know whether there are any records in that particular room. For instance, a supervisor's copies of employee evaluations are defined in the US Government schedules as "temporary records" (the "record" is maintained in Human Resources as defined by our procedure). These temporary records need to be identified on your disposition schedule (if they are in fact within the supervisors office/files).
2. There are several ways to identify these types of records. Two possible approaches are:
   a. Assure that there are no "records" in an office. Include a note on the records disposition schedule that identifies all of the documents in a particular office (e.g. B352) as "temporary" and subject to removal and destruction by the owner (basically, these are an individual's convenience copies of records maintained in other locations).
   b. Maintain separate file cabinets or separate drawers for the "records" vs. an individual's personal copies of documents. Label the cabinet, drawer, or files as such. For example, a "project report" is a record; any copies maintained in other files are temporary records, which can be destroyed when no longer needed (in essence, a convenience copy). If the "record" is maintained in an individual's office, then it must be identified as the record in some way.
3. Correspondence can be considered a "record" if, for example, it contains facility safety issues, project history information, accounting information, etc. This correspondence can either be hard copy or electronic. If there is "correspondence" that needs to be saved for a period of time (say for one or more years), you need to capture that information in the records disposition schedule and the individual should maintain that correspondence or transfer it to the project files where it can be maintained. You should also note that the retention schedule allows you to destroy routine correspondence when no longer needed for reference.

Quality Records

Quality records are a subset of the records management system. Quality records are required on a graded approach – the more complex, dangerous, important, or costly a project, the greater the need for certain records to be controlled and defined. A quality record is a document or media that provides objective evidence that an item, service or process meets the design requirements and is retained for its expected future value. Typically, a project will define what documents will be considered as a quality record. A small subset of these quality records should be maintained for the lifetime of a project. These might include records that: document the capability of an item to be safely operated; how an item is maintained, reworked, repaired or modified; document significant details as to the cause of an accident or malfunction; or provide a baseline for future inspections.

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Vital Records

Vital records are another smaller subset of the records management system. Vital Records are essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). These records are limited in that only Business Operation, Human Resources and Environment, Safety and Health and Infrastructure Support Groups would have such records. The Vital Records Protection Program is managed by the Site Protection Division, who can provide additional guidance.

Summary:

How do you know if you have met the intent of the law? One test is to imagine that you are an auditor, walking into a particular area or office. Would it be clear what documents are "records" vs. convenience or personal copies? Would you be able to distinguish the subset quality and vital records? If you can answer these questions for all of the areas under your control, then you have successfully fulfilled the records management requirements.

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Quality records (specified in 10CFR830, Subpart A and DOE O 414.1A) are a subset of the records management system. Quality records are required on a graded approach – the more complex, dangerous, important, or costly a project, the greater the need for certain records to be controlled and defined.

Projects specify the requirements that are imposed on quality records, including definitions of quality records; processes for the preparation, review, approval, revision, and distribution of quality records; traceability and accountability; and methods for storage including retrievability, protection from damage, loss, and deterioration. A small subset of these quality records should be maintained for the lifetime of a project. These might include records that: document the capability of an item to be safely operated; document how an item is maintained, reworked, repaired or modified; document significant details as to the cause of an accident or malfunction; or provide a baseline for future inspections.

Typical quality records include, but are not limited to:

- Human resources records relating to personnel education, training, skills, and experience.
- Design records, such as applicable codes and standards, computer or mathematical models used in designs, drawings, calculations and their checks, design review results, design specifications. If the work is associated with a Work Planning form, most of this information should be in the Operations Center with the drawings in Drafting.
- Procurement related records, including statements of work, specifications, drawings, and verification that a product or service meets the requirements
- Installation and fabrication records including inspection and test results, welding details (types of welds, filler materials used, etc.), as-built drawings, pressure test results.
- Calibration records including records that contain the results of calibrations, the basis used for calibration and the corrective actions taken when the equipment is found to be out of calibration.
- Preoperational and Start-Up Test Records documenting test procedures and results.
- Maintenance records, such as inspections, repairs, replacements.
- Operational records, such as records of system set-up.
- Records documenting non-conformances and their resolution.
- Records associated with assessments, such as management assessments, audits, lessons learned reviews, and accident investigations, including associated corrective actions.
- Any record that demonstrates that your process is working, such as formal plans or procedures, MOUs, permits, official forms, etc.

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