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**DOE-STD-4001-2000
March 2000**

DOE STANDARD

DESIGN CRITERIA STANDARD FOR ELECTRONIC RECORDS MANAGEMENT SOFTWARE APPLICATIONS



**U.S. Department of Energy
Washington, D.C. 20585**

AREA INFT

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FOREWORD

This Department of Energy Standard is approved for use by all DOE Components and their Contractors. The Heads of the DOE Components may issue supplementary instructions when necessary to provide for unique requirements within their organizations

Beneficial comments (i.e., recommendations, additions, deletions) and any pertinent data that may improve this document should be sent to Susan Frey, DOE-HQ, SO312 by letter or by using the self addressed Document Improvement Proposal (DOE F 1300.3) appearing at the end of this document.

This Standard is issued as a recommended method for meeting the requirements and laws pertaining to Records Management. As one of the set of non-mandatory Departmental Information Architecture standards it provides guidance for achieving higher degrees of interoperability within the greater DOE community, business partners, and stakeholders. This Standard sets forth baseline functional requirements for Records Management Application (RMA) software to be used by the Department of Energy (DOE) in the implementation of their records management programs; defines required system interfaces and search criteria to be supported by the RMAs; and describes the minimum records management requirements that must be met, based on current National Archives and Records Administration (NARA) regulations. RMA features are identified in the Standard as “mandatory” when they fulfill required records management requirements and as “non-mandatory” when they provide enhanced features within the RMA.

This Standard is based on the Department of Defense Standard of the same title (DoD 5015.2 STD), dated November 1997. Differences have been limited to this Foreword, deletion of DoD and addition of DOE reference documents and organizations, deletion of references to the Defense Message System, and changes to section C1.2 to clarify the role that testing of RMAs by the DoD can serve in establishing compliance with this Standard. The goal is twofold: First, to replicate the mandatory portions of the DoD Standard so as to allow the DoD’s certification process to have applicability to the use of RMAs within the DOE, and second, to work toward a unified Federal standard for RMAs. As revisions are made to the base Standard, this Standard will be revised to continue to support this goal.

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REFERENCES

1. United States Code (U.S.C.)
 - a) Section 2901 of title 44, U.S.C., "Definitions"
 - b) Section 2902 of title 44, U.S.C., "Objectives of Records Management"
 - c) Section 2909 of title 44, U.S.C., "Retention of Records"
 - d) Section 3103 of title 44, U.S.C., "Transfer of Records to Records Centers"
 - e) Section 3105 of title 44, U.S.C., "Safeguards"
 - f) Section 3301 of title 44, U.S.C., "Definition of Records"
 - g) Section 3303 of title 44, U.S.C., "Lists and Schedules of Records"
 - h) Section 3511 of title 44, U.S.C., "Establishment and Operation of Government Information Locator Service"

2. Code of Federal Regulations (CFR)
 - a) Title 36, CFR, Part 1220.14, "General Definitions," current edition
 - b) Title 36, CFR, Part 1222.10, "Creation and Maintenance of Federal Records," current edition
 - c) Title 36, CFR, Part 1222.32, "General Requirements," current edition
 - d) Title 36, CFR, Part 1222.50 "Records Maintenance," current edition
 - e) Title 36, CFR, Part 1228.24 "Formulation of Agency Records Schedules," current edition
 - f) Title 36, CFR, Part 1228.54, "Temporary Extension of Retention Periods, current edition
 - g) Title 36, CFR, Part 1228.58, "Destruction of Temporary Records," current edition
 - h) Title 36, CFR, Part 1228.188, "Electronic Records," current edition
 - i) Title 36, CFR, Part 1228.194, "Records Subject to the Privacy Act of 1974," current edition
 - j) Title 36, CFR, Part 1234.2, "Definitions," current edition
 - k) Title 36, CFR, Part 1234.22, "Creation and Use of Text Documents," current edition
 - l) Title 36, CFR, Part 1234.24, "Standards for Managing Electronic Mail Messages," current edition
 - m) Title 36, CFR, Part 1234.28, "Security of Electronic Records," current edition
 - n) Title 36, CFR, Part 1234.30, "Selection and Maintenance of Electronic Records Storage Media," current edition
 - o) Title 36, CFR, Part 1234.32, "Retention and Disposition of Electronic Records," current edition
 - p) Title 36, CFR, Part 1234.34, "Destruction of Electronic Records," current edition
 - q) Title 36, CFR, Part 1236.14, "Definitions," current edition
 - r) Title 36, CFR, Part 1236.20, "Vital Records Program Objectives," current edition
 - s) Title 36, CFR, Part 1236.20, "Vital Records Program Objectives," current edition
 - t) Title 41, CFR, Part 201-4, "Definitions," current edition
 - u) Title 41, CFR, Part 201-9, "Creation, Maintenance, and Use of Records," current edition

3. Federal Information Processing Standards (FIPS)
 - a) FIPS Publication 4-2, "Representation for Calendar Date for Information Interchange," November 15, 1998
 - b) FIPS Publication 127-2, "Database Language SQL," June 2, 1993
 - c) FIPS Publication 192-1, "Application Profile for the Government Information Locator Service (GILS)," August 1, 1997

4. Department of Energy Documents
 - a) DOE Order 200.1, "Information Management Program," dated September 30, 1996
 - b) DOE Guide 200.1-1, "Software Engineering Methodology," dated March 1996
 - c) DOE Order 470.1, "Safeguards and Security Program," Change 1, dated June 21, 1996
 - d) DOE Order 471.2A, "Information Security Program," dated March 27, 1997
 - e) DOE Guide 1700.1, "Freedom of Information Act," Change 4, dated August 21, 1992
 - f) DOE Guide 1800.1A, "Privacy Act," Change 1, dated May 18, 1992
 - g) DOE Records Management Program "Roadmap to the Year 2000," Revision 1, August 1995
 - h) DOE Information Architecture
 - i) DOE/HR-0141, "Volume I: The Foundations," dated March 1995
 - j) DOE/HR-0171, "Volume II: Baseline Analysis Summary," dated December 1996
 - k) DOE/HR-0173, "Standards Adoption and Retirements Process Service Action Plan," dated March 1997
 - l) DOE/HR-0175, "Profile of Adopted Standards," dated September 1997
 - m) DOE/HR-0178, "Volume III: Guidance," dated April 1997
 - n) DOE/HR-0190, "Volume IV: Vision," dated March 1998
5. National Archives and Records Administration Documents
 - a) "Draft: "Records Management Requirements for Electronic Recordkeeping Systems," undated
 - b) "Records Management Handbook C Disposition of Federal Records," 1996
 - c) "Managing Electronic Records Instructional Guide, Appendix G, Glossary," 1990

ABBREVIATIONS AND/OR ACRONYMS

AIS	Automated Information System
CFR	Code of Federal Regulations
CGM	Computer Graphics Metafile
COFF	Cut Off
COTS	Commercial off the Shelf
DBMS	Data Base Management System
E-Mail	Electronic Mail
FIPS	Federal Information Processing Standard
FOIA	Freedom of Information Act
GAO	General Accounting Office
GILS	Government Information Locator Service
GRS	General Records Schedule
ISO	International Standardization Organization
IT	Information Technology
JPEG	Joint Photographic Experts Group
LAN	Local Area Network
NARA	National Archives and Records Administration
NOS	Network Operating System
OCR	Optical Character Recognition
OMB	Office of Management and Budget
OSE	Office of the Secretary of Energy
RM	Records Management
RMA	Records Management Application
SMTP	Simple Mail Transfer Protocol
SQL	Structured Query Language
STD	Standard
TCP/IP	Transmission Control Protocol/Internet Protocol
U.S.C.	United States Code
WAN	Wide Area Network

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C1. CHAPTER 1: GENERAL INFORMATION

C1.1. Purpose

This Standard establishes the recommended method for meeting the functional requirements of the laws and regulations pertaining to managing records using Electronic Records Management Application (RMA) software. This Standard will be used by DOE Components in the implementation of their records management programs. This standard describes the minimum records management requirements that must be met in accordance with **44 U.S.C. 2902, reference 1.a**, and guidance and implementing regulations promulgated by the National Archives and Records Administration (NARA). The Federal statute, regulation or other authoritative source that an RMA requirement is traced back to is referenced in **bold**. In this document, the word "**shall**" identifies mandatory system standards. The word "**should**" identifies design objectives that are desirable, but not mandatory.

C1.2. Limitations

This Standard addresses a minimum set of baseline functional requirements that are applicable to all RMAs regardless of organizational and site-specific implementations. For the RMA to comply with this Standard, these minimum requirements must be met. Certification by the Defense Information Systems Agency's Joint Interoperability Test Command that the RMA is in compliance with the DoD's standard DOD 5015.2 STD also establishes compliance with this Standard. However, additional requirements such as the management and protection of records containing information classified in the interests of national security, the capability to label Privacy Act data and data exempt from release under the Freedom of Information Act (FOIA), and the features described as optional in Chapter 3 of this Standard, may be specified by using organizations to satisfy their site-specific needs. These requirements will be addressed in a later version of this Standard. Additionally, future versions of this Standard will address the incorporation of standard data elements.

C2. CHAPTER 2: MANDATORY REQUIREMENTS

C2.1 GENERAL REQUIREMENTS

C2.1.1. Managing Records. RMAs shall manage records regardless of storage media or other characteristics. **(44 U.S.C. 3103, 41 CFR 201-9, and 36 CFR 1222.10, references 1.d, 2.u, and 2.b)**

C2.1.2. Accommodating Year 2000 and Twenty-First Century Dates. RMAs shall correctly accommodate and process information containing the year 2000 and beyond as well as dates in the current and previous centuries. **(FIPS 4-2, "Representation for Calendar Date for Information Interchange," reference 3.a)** The capability shall include, but not be limited to, date data century recognition, calculations, and logic that accommodate same century and multi-century formulas and date values, and date data interface values that reflect the century. In addition, leap year calculations shall be accommodated (i.e. 1900 is not a leap year, 2000 is a leap year).

C2.1.3. Implementing Standard Data. RMAs shall allow for the implementation of standardized data in accordance with DOE Order 200.1, "Information Management Program" and DOE Guide 200.1-1, "Software Engineering Methodology" **(references 4.a and 4.b)**. When selecting commercial-off-the-shelf (COTS) products to support RMA requirements, selection criteria should include the feasibility and capability of the COTS to implement and maintain DOE data standards.

C2.2. DETAILED REQUIREMENTS

C2.2.1. Implementing File Plans

C2.2.1.1. RMAs shall provide the capability for only authorized individuals to create, add, edit, and delete record categories, files and their codes. Each file or category code shall be linked to its associated file or category and to its higher-level category code(s). **(44 U.S.C. 3303, 36 CFR 1222.50, and 36 CFR 1228.24, references 1.g, 2.d, and 2.e)**

C2.2.1.2. RMAs shall provide the capability for only authorized individuals to create, add, edit, and delete disposition instructions and their associated codes. Each disposition code shall be linked to its associated disposition instruction. **(44 U.S.C. 3303, 41 CFR 201-9, 36 CFR 1222.50, and 36 CFR 1228.24, references 1.g, 2.u, 2.d, and 2.e)**

C2.2.1.3. RMAs shall provide authorized individuals with the capability to assign the following data when generating the file plan:

- C2.2.1.3.1.** Record Category Name.
- C2.2.1.3.2.** Record Category Code.
- C2.2.1.3.3.** Record Category Description.
- C2.2.1.3.4.** Disposition Authority.
- C2.2.1.3.5.** Vital Record Indicator. **(36 CFR 1236.20, reference 2.s)**
- C2.2.1.3.6.** Disposition Instruction Name.
- C2.2.1.3.7.** Disposition Instruction Code.

- C2.2.1.3.8.** Disposition Instruction Type. (see subparagraph C2.2.5.2., below)
- C2.2.1.3.9.** User definable fields.

C2.2.1.4. RMAs shall provide the capability for only authorized individuals to assign a disposition instruction code to a file or record category.

C2.2.1.5. RMAs shall allow for the reschedule of records already in the system when disposition instructions change from the original designations.

C2.2.1.6. RMAs shall provide the capability for only authorized individuals to extend or suspend (freeze) the retention period of individual files or record categories, which are required beyond their scheduled disposition because of special circumstances (such as a court order or an investigation) that altered the normal administrative, legal, or fiscal value of the records or categories. **(44 U.S.C. 2909 and 36 CFR 1228.54, references 1.c and 2.f)**

C2.2.1.7. RMAs shall provide the capability to output for viewing, saving, and printing record categories and files and their associated codes.

C2.2.1.8. RMAs shall provide the capability to output for viewing, saving, and printing the disposition instructions and disposition instruction codes.

C2.2.1.9. RMAs shall provide the capability to output for viewing, saving, and printing the record categories and files and their associated disposition.

C2.2.2. Identifying and Filing Records

C2.2.2.1. RMAs shall provide users with the capability to select and assign a file code to a record. **(36 CFR 1222.50, reference 2.d)**

C2.2.2.2. RMAs shall assign a unique computer-generated record identifier to each record they manage regardless of where the record is stored.

C2.2.2.3. RMAs shall prevent subsequent changes to documents that have been designated as records. The content of the record, once filed, shall be preserved. Changed or revised records shall be designated as new records with different identification data. **(36 CFR 1222.50, reference 2.d)**

C2.2.2.4. RMAs shall not permit modification of the record identifier once assigned.

C2.2.2.5. RMAs shall (for all records) capture or provide the user with the capability to assign, as appropriate, the following minimum profile data (metadata) when the record is filed: **(36 CFR 1234.22 and 36 CFR 1222.50, references 2.k and 2.d)**

- C2.2.2.5.1.** Subject. **(36 CFR 1234.22, reference 2.k)**
- C2.2.2.5.2.** Date Filed.
- C2.2.2.5.3.** Addressee(s). **(36 CFR 1234.22, reference 2.k)**
- C2.2.2.5.4.** Media Type.
- C2.2.2.5.5.** Format.

C2.2.2.5.6.	Location of Record.	
C2.2.2.5.7.	Document Creation Date.	(36 CFR 1234.22, reference 2.k)
C2.2.2.5.8.	Author or Originator.	(36 CFR 1234.22, reference 2.k)
C2.2.2.5.9.	Originating Organization.	(36 CFR 1234.22, reference 2.k)
C2.2.2.5.10.	Vital Record Indicator.	(36 CFR 1236.20, reference 2.s)

C2.2.2.6. RMAs shall provide the user with the capability to edit the metadata listed above in subparagraph C2.2.2.5. prior to filing the record except for data captured electronically from e-mail or other automated systems.

C2.2.2.7. RMAs shall provide the capability for authorized individuals (only) to add user defined profile data fields, for site-specific information such as project number, security classification, Privacy Act, etc. **(36 CFR 1234.22, reference 2.k)**

C2.2.2.8. RMAs shall provide the capability to output for viewing, saving, or printing the record profile information (metadata) identified in paragraph C2.2.2.5. above.

C2.2.2.9. RMAs shall provide the capability for only authorized individuals to limit the file codes available to a user or work group. The RMA shall ensure that only current and valid file codes are presented to the user for selection during filing.

C2.2.2.10. RMAs shall allow a record to be assigned to more than one file category when appropriate. **(NARA C RM Requirements for Electronic Recordkeeping System, reference 5.a)**

C2.2.2.11. RMAs shall provide the capability for only authorized individuals to change a file code assigned to a filed record.

C2.2.2.12. RMAs shall provide the capability to designate a record as a vital record. **(36 CFR 1236.20, reference 2.s)**

C2.2.2.13. RMAs shall provide the capability to update and cycle vital records. **(36 CFR 1236.14, reference 2.q)**

C2.2.2.14. RMAs shall provide only authorized individuals the capability to reverse the designation of a vital record once the designation has become obsolete.

C2.2.2.15. RMAs shall link supporting and related records and related information such as notes, marginalia, attachments, and electronic mail return receipts, as well as all profile data, to the record.

C2.2.2.16. RMAs shall provide the capability to link original superseded records to their successor records. If the disposition of the superseded record is to destroy when replaced, the RMA shall identify that the record is eligible for destruction.

C2.2.2.17. RMAs shall manage and preserve any record regardless of its format or structure, so that it can be reproduced and viewed in the same manner as the original.

C2.2.2.18. RMAs shall automatically date a document when it is saved as a record, and preserve the date of receipt on records received. This date shall remain constant, without being changed when accessed, read, copied, or transferred. RMAs shall not permit this data to be edited.

C2.2.2.19. RMAs shall link the record metadata to the record so that it can be displayed when needed and transported with the record when a copy is made and transmitted to another location. **(36 CFR 1234.32, reference 2.o)**

C2.2.2.20. RMAs shall provide the capability for only authorized individuals to modify the metadata (values of the record profile attributes) of stored records that have not been specified as uneditable.

C2.2.3. Filing Electronic Mail Messages (E-Mail)

C2.2.3.1. RMAs shall treat electronic mail messages (including attachments) that have been filed as records, as any other record, and they shall be subject to all requirements of this document. **(36 CFR 1222.32 and 36 CFR 1234.24, references 2.c and 2.I)**

C2.2.3.2. RMAs shall capture and automatically store the transmission and receipt data identified in Table C2.T1. below (if available from the e-mail system) as part of the record profile when an e-mail message is filed as a record. **(36 CFR 1234.24, reference 2.I)** RMAs shall not allow editing of these metadata.

C2.2.3.3. RMAs shall store the attachments to an e-mail record and to associate and link the attachment with the e-mail record. **(36 CFR 1234.24, reference 2.I)**

C2.2.3.4. RMAs shall provide the capability to store distribution lists as required to ensure identification of the sender and recipients of messages that are records. **(36 CFR 1234.24, reference 2.I)**

TABLE C2.T1. Transmission/Receipt Data	
Transmission/Receipt Data	Record Profile Mapping
The e-mail name and address of the sender.	RMA's shall automatically enter this data into the Author or Originator data field. (C2.2.7.1.8., below)
The e-mail name and address of all addressees (or distribution lists).	RMA's shall automatically enter this data into the Addressee data field of the record profile. (C2.2.7.1.3., below)
The e-mail name and address of all other recipients (or distribution lists).	RMA's shall automatically enter this data into the Other Recipients data field. (C2.2.7.1.10., below)
The date and time that the message was sent.	RMA's shall automatically enter this data into the Document Creation Date data field. (C2.2.7.1.7., below)
The subject of the message.	RMA's shall automatically enter this data into the Subject data field of the record profile. (C2.2.7.1.1., below)
For messages received, the date and time that the message was received.	RMA's shall automatically enter this data into the Document Creation Date data field. (C2.2.7.1.7., below)

C2.2.4. Storing Records

C2.2.4.1. RMA's shall provide or interface to a repository for storing electronic records and prevent unauthorized access to the repository. **(44 U.S.C. 3105 and 36 CFR 1222.50, references 1.e and 2.d)** If the repository is contained in an electronic database management system (DBMS), the query interface between the RMA and the DBMS shall comply with **FIPS 127-2, "Database Language SQL," reference 3.b)**.

C2.2.4.2. RMA's shall not alter nor allow alteration of records they store. They shall preserve the format and content of the record as it was filed. **(36 CFR 1222.50 and 36 CFR 1234.22, references 2.d and 2.k)**

C2.2.4.3. RMA's shall automatically date a document when it is saved as a record and preserve the date of receipt on records received. This date shall remain constant, without being changed when accessed, read, copied, or transferred. RMA's shall not permit this data to be edited.

C2.2.4.4. RMAs shall allow only authorized individuals to move/delete records from the repository. **(36 CFR 1234.28 and 36 CFR 1222.50, references 2.m and 2.d)**

C2.2.5. Scheduling Records

C2.2.5.1. RMAs shall provide the capability to automatically track the disposition schedules of records, including those with retention periods of less than one year, as well as those with retention periods of one year or more. **(RM Handbook, reference 5.b)**

C2.2.5.2. RMAs shall, as a minimum, be capable of scheduling each of the following three types of disposition instructions: **(RM Handbook, reference 5.b)**

C2.2.5.2.1. Time Dispositions, where records are eligible for disposition immediately after completion of a fixed period of time.

C2.2.5.2.2. Event Dispositions, where records are eligible for disposition immediately after a specified event takes place.

C2.2.5.2.3. Time-Event Dispositions, where the retention periods of records are triggered after a specified event takes place.

C2.2.5.3. RMAs shall be capable of implementing cutoff instructions for scheduled and unscheduled records. **(RM Handbook, reference 5.b)**

C2.2.6. Screening Records

C2.2.6.1. RMAs shall provide for viewing, saving, and printing list(s) of records (regardless of media) within record categories based on disposition instruction code; record category or file code; and/or disposition event to identify records due for disposition processing. The information contained in the list(s) shall be user definable record profile attributes.

C2.2.6.2. RMAs shall provide the capability to identify records with event driven dispositions and provide authorized individuals with the capability to indicate when the specified event has occurred.

C2.2.6.3. RMAs shall provide the capability to identify records with time-event dispositions and provide authorized individuals with the capability to indicate when the specified event has occurred and when to activate applicable cutoff and retention instructions.

C2.2.6.4. RMAs shall identify files scheduled for cutoff, and present them only to the authorized individual for approval. RMAs shall not allow any additions or other alterations to files that have reached cutoff.

C2.2.6.5. RMAs shall identify records that have been frozen and provide authorized individuals with the capability to reactivate or change their assigned dispositions.

C2.2.6.6. RMAs shall provide for viewing, saving, and printing lists of records (regardless of media or location) that have no assigned disposition.

C2.2.7. Retrieving Records

C2.2.7.1. RMAs shall allow searches using any combination of the following record profile data elements.

C2.2.7.1.1.	Subject.	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.2.	Date Filed.	
C2.2.7.1.3.	Addressee(s).	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.4.	Media Type.	
C2.2.7.1.5.	Format.	
C2.2.7.1.6.	Location of Record.	
C2.2.7.1.7.	Document Creation Date.	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.8.	Author or Originator.	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.9.	Originating Organization.	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.10.	Other Recipients (E-mail).	(36 CFR 1234.24, reference 2.l)
C2.2.7.1.11.	File Code.	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.12.	Disposition Instruction Code.	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.13.	Disposition Cutoff Date.	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.14.	Disposition Action Date.	(36 CFR 1234.22, reference 2.k)
C2.2.7.1.15.	Disposition Action Code.	(Transfer, Destroy, or Freeze)
C2.2.7.1.16.	Disposition Instruction Type.	(Time, Event, Time-Event)
C2.2.7.1.17.	Vital Record Indicator.	(36 CFR 1236.20, reference 2.s)
C2.2.7.1.18.	Record Identifier.	
C2.2.7.1.19.	User Defined Fields.	(36 CFR 1234.22, reference 2.k)

C2.2.7.2. RMAs shall allow the user to specify whether or not an exact match of case is part of the search criteria.

C2.2.7.3. RMAs shall also allow for specifying partial matches for multiple word fields such as subject and date and shall allow designation of "wild card" fields or characters.

C2.2.7.4. RMAs shall allow searches using Boolean logic: and, or, greater than (>), less than (<), equal to (=), and not equal to (/=).

C2.2.7.5. RMAs shall present the user a list of records meeting retrieval criteria, or notify the user if there are no records meeting the retrieval criteria. The information contained in the list shall be user definable from the set of record profile attributes.

C2.2.7.6. RMAs shall provide to the user's workspace (filename, location, or path name specified by the user), copies of electronic records, selected from the list of records meeting the retrieval criteria, in the format in which they were provided to the RMA for filing.

C2.2.8. Transferring Records

C2.2.8.1. RMAs shall, using the disposition instruction for the record category, identify and present those records eligible for transfer. **(44 U.S.C. 3103, reference 1.d)**

C2.2.8.2. RMAs shall, for records approved for transfer that are stored in the RMA, copy the pertinent records and associated profiles to a user-specified filename, path, or device. **(36 CFR 1228.188 and 36 CFR 1234.32, references 2.h and 2.o)**

C2.2.8.3. RMAs shall, for records approved for transfer and that are not stored in the RMA, copy the associated profiles to a user-specified filename, path, or device.

C2.2.8.4. RMAs shall, for records approved for transfer, provide the capability for only authorized individuals to suspend the deletion of records and related profile until successful transfer has been confirmed. **(44 U.S.C. 3105 and 36 CFR 1228.54, references 1.e, and 2.f)**

C2.2.9. Destroying Records

C2.2.9.1. RMAs shall, using the disposition instruction for the record category, identify and present records that are eligible for destruction. **(36 CFR 1228.58 and 36 CFR 1234.32, references 2.g and 2.o)**

C2.2.9.2. RMAs shall, for records approved for destruction and for records that have been transferred, present a second confirmation, within a dialog box, requiring authorized individuals to confirm the delete command, before the destruction operation of the records and/or profiles are executed. **(44 U.S.C. 3105, reference 1.e)**

NOTE: Backup or redundant copies of records and metadata shall be provided with disposition instructions or reviewed regularly to ensure that records are not retained past their retention period. Destruction of data on backup tapes will comply with paragraph C2.2.9.3.

C2.2.9.3. RMAs shall delete records and/or profiles that are stored in its repository and have been approved for destruction, in a manner such that the records cannot be physically reconstructed. **(36 CFR 1234.34, reference 2.p)**

C2.2.9.4. RMAs shall restrict execution of the records destruction commands to authorized individuals. **(44 U.S.C. 3105 and 36 CFR 1222.50, references 1.e, and 2.d)**

C2.2.10. Access Control

C2.2.10.1. RMAs shall provide the capability to define different groups of users and access criteria. RMAs shall control access to records based on groups as well as individuals meeting the access criterion/criteria. **(36 CFR 1234.28, reference 2.m)**

C2.2.10.2. RMAs shall support multiple-user access.

C2.2.10.3. RMAs shall control access to transfer and destroy functions based upon user account information. **(36 CFR 1234.28, references 2.m)**

C2.2.10.4. RMAs shall control access to audit functions based upon user account information.

C2.2.11. System Audits

C2.2.11.1. RMA audit utilities shall provide an account of records capture, retrieval, and preservation activities to assure the reliability and authenticity of a record.

C2.2.11.2. RMA audit utilities shall provide a record of transfer and destruction activities to facilitate reconstruction, review, and examination of the events surrounding or leading to mishandling of records, possible compromise of sensitive information, or denial of service.

C2.2.11.3. RMAs shall provide the capability to store audit data as a record.

C2.2.11.4. The following audit information shall be reported on demand:

- C2.2.11.4.1.** Total Number of Records.
- C2.2.11.4.2.** Number of Records by Record File Code.
- C2.2.11.4.3.** Number of Accesses by File Code.

C2.2.11.5. The following audit information shall be logged for each delete operation:

- C2.2.11.5.1.** Record Identifier.
- C2.2.11.5.2.** File Code.
- C2.2.11.5.3.** User Account Identifier.
- C2.2.11.5.4.** Date/Time.
- C2.2.11.5.5.** Authorizing Individual Identifier (if different from user Account Identifier).

C2.2.11.6. RMAs shall allow only authorized individuals to enable/disable the audit functions and to backup and remove audit files from the system.

C2.2.12. System Management Requirements

The following are functions typically provided by the operating system or a DBMS: (They are also considered requirements to ensure the integrity and protection of organizational records. They shall be implemented as part of the overall records management system even though they may be performed externally to an RMA.)

C2.2.12.1. Backup of Stored Records. The RMA system shall provide the capability, as determined by the Agency, to automatically create backup or redundant copies of the records as well as their metadata. **(36 CFR 1234.28, reference 2.m)**

C2.2.12.2. Storage of Backup Copies. The method used to backup RMA data base files shall provide copies of the data that can be stored off-line and at separate location(s) to safeguard against loss of records, record profiles, and other records management information due to system failure, operator error, disaster, or willful destruction. **(36 CFR 1234.30, reference 2.n)**

C2.2.12.3. Recovery/Rollback Capability. Following any system failure, the backup and recovery procedures provided by the system shall provide the capability to complete updates (records, record profiles, and any other information required to access the records) to RMAs, ensure that these updates are reflected in RMA files, and ensure that any partial updates to RMA files are backed out. Also, any user whose updates are incompletely recovered, shall, upon next use of the application, be notified that a recovery has been executed. RMAs shall also provide the option to continue processing using all in-progress data not reflected in RMA files (**36 CFR 1234.28, reference 2.m**)

C2.2.12.4. Rebuild Capability. The system shall provide the capability to rebuild forward from any backup copy, using the backup copy and all subsequent audit trails. This capability is typically used to recover from storage media contamination or failures.

C2.2.12.5. Storage Availability and Monitoring. The system shall provide for the monitoring of available storage space. The storage statistics shall provide a detailed accounting of the amount of storage consumed by RMA processes, data, and records. The system shall notify only authorized individuals of the need for corrective action in the event of critically low storage space.

C2.2.13. Additional Baseline Requirements

The following are records management requirements that shall be implemented by the organization, but not necessarily by the RMAs:

C2.2.13.1. Electronic Calendars and Task Lists. Some electronic systems provide calendars and task lists for users. These may meet NARA's definition of a record (**44 U.S.C. 3301, reference 1.f**). Calendars and task lists that meet the definition of records are to be managed as any other record. If the RMA being acquired does not have the capability to extract them from the software application that generates them, the user organization shall implement processes or procedures to enable those records to be managed by the RMA.

C2.2.13.2. External E-mail. Some organizations use separate E-mail systems for Internet E-mail or other wide area network E-mail. These records shall be handled as any other E-mail records. If the RMA being acquired does not provide the capabilities specified in paragraph C2.2.3. above, the user organization shall implement processes or procedures to enable these records to be managed by the RMA. (**36 CFR 1234.24, reference 2.I**)

C2.2.13.3. Ability to Read and Process Records. Since RMAs are prohibited (paragraph C2.2.4.2., above) from altering the format of stored records, the organization shall ensure that it has the ability to view, copy, print, and if appropriate, process any record stored in RMAs for as long as that record must be retained. The organization may meet this requirement by maintaining the hardware and/or software used to create or capture the record; by maintaining hardware and/or software capable of viewing the record in its native format; by ensuring downward compatibility when hardware and/or software is updated, or by migrating the record to a new format before the old format becomes obsolete. Any migration shall be controlled to ensure continued reliability of the record. (**36 CFR 1234.30, reference 2.n**)

C2.2.13.4. Classified and Other Sensitive Records. If required, the acquisition/using activity shall specify requirements and/or acquire additional capabilities for the management of records containing information classified in the interests of national security (see **DOE Orders 200.1, 470.1, and 471.2A, references 4.a, 4.c, and 4.d**); records that contain Privacy Act information (see **DOE Order 200.1 and DOE Guide 1800.1A Change 1, references 4.a and 4.f**); records exempt from release under the FOIA (see **DOE Order 200.1 and DOE Guide 1700.1 Change 4, references 4.a and 4.e**); or any other records that require special access control or handling. The using organization shall implement special procedures to comply with legal and regulatory requirements for those records. (**36 CFR 1228.194, reference 2.l**)

C3. CHAPTER 3: NON-MANDATORY REQUIREMENTS

C3.1 REQUIREMENTS DEFINED BY THE ACQUISITION/USING ACTIVITY

In addition to the baseline requirements defined by this Standard, the acquisition and/or using activity should identify the following Agency site/installation unique requirements. These requirements are not mandatory for DOE certification.

C3.1.1. Data Base Management System (DBMS). The acquisition and/or using activity should determine if RMAs would interface with a user provided DBMS or a DBMS to be supplied by RMA vendors. If the DBMS is to be acquired separately, it should comply with **FIPS 127-2, "Database Language SQL," reference 3.b).**

C3.1.2. User Interface. The acquisition and/or using activity should define an industry standard graphical user interface for RMAs, such as Windows, Macintosh, X-Windows.

C3.1.3. Storage Availability. The acquisition and/or using activity should define the size of the storage space required for its organizational records with the related record profiles and associated audit files.

C3.1.4. Documentation. The acquisition and/or using activity should determine the type and format of desired documentation, such as user guide, technical manual, and installation procedures, to be provided by the vendor.

C3.1.5. System Performance. The acquisition and/or using activity should specify what is acceptable RMA system availability, reliability, response times, and down times that will satisfy the user's business requirements.

C3.1.6. Hardware Environment. The acquisition and/or using activity should define the hardware environment (for example: mainframe, client-server, or personal computer) and identify the platforms (servers and workstations) on which the RMA is to be executed.

C3.1.7. Operating System Environment. The acquisition and/or using activity should define the operating system environment (for example: UNIX, MS DOS, Windows 3.x, Windows 95, Windows NT, IBM OS/2, VMS, Macintosh) on which the RMA is to be executed.

C3.1.8. Network Environment. The acquisition and/or using activity should define the LAN, WAN or other network topology (e.g., Ethernet bus, star, or token-ring) and the Network Operating System (NOS) (e.g., Novell, Banyan Vines, Windows NT Server) on which the RMA is to be executed.

C3.1.9. Protocols. The acquisition and/or using activity should identify the protocols, such as Transmission Control Protocol/Internet Protocol (TCP/IP), Simple Mail Transfer Protocol (SMTP), and X.400, that the RMA is to support.

C3.1.10. Electronic Mail Interface. The acquisition and/or using activity should specify the e-mail application(s) that the RMA is to interface with.

C3.1.11. Internet Interface. The acquisition and/or using activity should determine if and in what manner the RMA is to interface with the Internet.

C3.1.12. File Code Selection/Search Capability. The acquisition and/or using activity should specify the desired methods for assisting the user in the selection of the file code to be assigned to a record such as priority ordered lists or directed searches.

C3.1.13. End-User Orientation and Training. The acquisition and/or using activity should specify record manager and end-user training requirements.

C3.1.14. Government Information Locator Service. An organization may determine that RMAs should have the capability to implement the requirements of the Government Information Locator Service (GILS). (**FIPS 192-1, reference 3.c**) GILS was established to identify public information resources throughout the Federal Government, describe the information available in those resources, and provide assistance in obtaining the information. GILS may also serve as a tool to improve Agency electronic records management practices.

C3.2. OTHER USEFUL RMA FEATURES

Many RMA products provide the following time and labor saving functions either as standard or optional features to enhance the utility of the system: (The acquisition/using activity should determine local requirements for any of the following RMA features.)

C3.2.1. Making Global Changes. RMAs should provide the capability for authorized individuals to make global changes to the record categories, record category codes, disposition instructions, and disposition instruction codes. In addition, RMAs should provide the capability to detach part of the file schema, re-attach to any specified file; move files from one location to another within the schema; and delete a file and all of its sub-files.

C3.2.2. Bulk Loading Capability. RMAs should provide the capability for authorized individuals to bulk load, as a minimum:

- C3.2.2.1.** An Agency's pre-existing file plan.
- C3.2.2.2.** Disposition instructions and codes.
- C3.2.2.3.** Electronic records.
- C3.2.2.4.** Record profiles.

C3.2.3. Record Version. RMAs should provide the capability to store version(s) of a record in a RMA repository. These should be associated and linked.

C3.2.4. Retrieval of Latest Version. When the user selects a record for retrieval, RMAs should check for the latest version of the record and prompt the user that it is a later version, but allow the user the flexibility to retrieve any version.

C3.2.5. Interfaces to Other Software Applications. RMAs should interface to various office automation packages such as electronic mail, word processors, spreadsheets, databases, desktop publishers, and electronic data interchange systems as specified by the using activity.

C3.2.6. Report Writer Capability. RMAs should provide the capability to generate reports on the information held within the RMAs repository based upon user-developed report templates or user query.

C3.2.7. On-Line Help. RMAs should have an on-line help capability for easy access to user operational information.

C3.2.8. Document Imaging Tools. RMAs should be capable of interfacing with document imaging and workflow software/hardware in order to be consistent with the DOE Information Architecture documents.

C3.2.9. Fax Integration Tools. An organization may determine that there is a requirement for RMAs to interface with desktop or server-based fax products to capture fax records in their electronic format.

C3.2.10. Bar Code Systems. An organization may determine that there is a requirement to use a bar code system with RMAs. Bar code technology can be used to support the following records management tasks:

- C3.2.10.1.** File and correspondence tracking to positions, sections, or staff members.
- C3.2.10.2.** Creating, printing, and reading of labels for non-electronic records.
- C3.2.10.3.** Boxing of records for transfer.
- C3.2.10.4.** Box tracking for records holding facility operations.
- C3.2.10.5.** Workflow tracking.
- C3.2.10.6.** Posting changes in disposition.
- C3.2.10.7.** Record audit and census functions.

C3.2.11. Thesaurus. Many RMAs provide vocabulary control to group related records together through the use of an organizational thesaurus.

C3.2.12. Retrieval Assistance. RMAs should have additional search and retrieval features, such as full text search or other method(s) to assist the user in locating records.

C3.2.13. Workflow Features. An organization may determine that RMAs should have the capability to manage working and draft versions of documents and other potential record material as they are being developed.

C3.2.14. Records Management Forms. An organization may determine that RMAs should have the capability to generate completed standard records management forms such as:

- C3.2.14.1.** Standard Form 115 and 115-A, "Request for Records Disposition Authority."
- C3.2.14.2.** Standard Form 135 and 135A, "Records Transmittal and Receipt."
- C3.2.14.3.** Standard Form 258, "Request to Transfer, Approval, and Receipt of Records to the National Archives of the United States."
- C3.2.14.4.** National Archives Form 14012, "Database Record Layout."
- C3.2.14.5.** National Archives Form 14097, "Technical Description for Transfer of Electronic Records to the National Archives."

C3.2.15. Printed Labels. RMAs should provide the capability to produce hard copy codes or identifiers in the form of labels or other products as required.

C3.2.16. Logic Checks. RMAs should conduct logic checks to ensure consistency and assist with error checking for all required metadata elements.

C3.2.17. Viewer. RMAs should provide the capability to view each file in its stored format or its equivalent.

C3.2.18. Access Log. RMAs shall log the following audit information for each access:

C3.2.18.1. Record identifier.

C3.2.18.2. File code.

C3.2.18.3. User account identifier.

Appendix 1: Definitions

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AP1. APPENDIX 1: DEFINITIONS

AP1.1. Access. The ability or opportunity to gain knowledge of stored information.

AP1.2. Addressee. The name of the organization or individual to whom a record is addressed.

AP1.3. Attachment. A document is associated with another document as an attachment when it is attached to the other document and filed in the RMA or transmitted between two persons. Both documents are required to form the record in the RMA.

AP1.4. Audit Trail. An electronic means of auditing the interactions with records within an electronic system so that any access to the system can be documented as it occurs for identifying unauthorized actions in relation to the records, e.g., modification, deletion, or addition.

AP1.5. Authenticity. A condition that proves that a record is authentic and/or genuine based on its mode (i.e., method by which a record is communicated over space or time), form (i.e., format and/or media that a record has when it is received), state of transmission (i.e., the primitiveness, completeness, and effectiveness of a record when it is initially set aside after being made or received), and manner of preservation and custody.

AP1.6. Authorized Individual. A Records Manager and/or other persons specifically designated by the Records Manager as responsible for managing various aspects of an organization's records.

AP1.7. Author or Originator. The author of a document is the physical person or the office and/or position responsible for the creation or issuance of the document. The author is usually indicated by the letterhead and/or signature. For RMA purposes, the author and/or originator may be a personal name, official title, office symbol, or code.

AP1.8. Copy. In electronic records, the action or result of reading data from a source (RMAs repository), leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source (user workspace or other device. **(RM Handbook, reference 5.b)**)

AP1.9. Cutoff. To cutoff records in a file means to break, or end, them at regular intervals to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Cutoffs are needed before disposition instructions can be applied because retention periods usually begin with the cutoff, not with the creation or receipt, of the records. In other words, the retention period normally does not start until the records have been cutoff. Cutoffs involve ending the old files and starting new ones at regular intervals. **(RM Handbook, reference 5.b)**

AP1.9.1. For records with retention periods of less than 1 year:

Cutoff at an interval equal to the retention period. For example, if a record series has a 1-month retention period, cut the file off at the end of each month and then apply the retention period (that is, hold the file 1 more month before destroying).

AP1.9.2. For records with retention periods of 1 year or more:

Cutoff at the end of each fiscal (or calendar) year. For example, if the disposition for a correspondence file is "destroy when 3 years old," then destroy it 3 years after the annual cutoff.

AP1.9.3. For records with retention periods based on an event or action:

Cutoff on the date the event occurs or the action is completed and then apply the retention period. For example, if the disposition for case working papers is "destroy when related case file is closed," then cutoff and destroy the working papers when closing the related file.

AP1.9.4. For records with retention periods based on a specified time period after an event or action:

Place in an inactive file on the date the event occurs or the action is completed and cutoff the inactive file at the end of each fiscal (or calendar) year; then apply the retention period. For example, if the disposition for a case file is "destroy 6 years after case is closed," then destroy 6 years after the annual cutoff along with other case files closed during that year.

Cutoff is sometimes abbreviated as COFF and is also called file cutoff or file break

AP1.10. Cycle. The periodic removal of obsolete copies of vital records and their replacement with copies of current vital records. This may occur daily, weekly, quarterly, annually, or at other designated intervals. **(36 CFR 1236.14, reference 2.q)**

AP1.11. Database. In electronic records, a set of data, consisting of at least one file or of a group of integrated files, usually stored in one location and made available to several users at the same time for various applications. **(36 CFR 1234.2, reference 2.j)**

AP1.12. Data Base Management System (DBMS). A software system used to access and retrieve data stored in a database. **(36 CFR 1234.2, reference 2.j)**

AP1.13. Data Element. A combination of characters or bytes referring to one separate item of information, such as name, address, or age. **(Instructional Guide, reference 5.c)**

AP1.14. Document Creation Date. The date and time that the author and/or originator completed the development of and/or signed the document. For electronic documents, this date and time should be established by the author or from the time attribute assigned to the document by the application used to create the document. This is not necessarily the date and/or time that the document was filed in the RMA and thus became a record.

AP1.15. Date Filed. The date and time that an electronic document was filed in the RMA, and thus, became a record. This date and time will normally be assigned by the computer at the time the record is filed in the RMA.

AP1.16. Delete. The process of permanently removing, erasing, or obliterating recorded information from a medium, especially a magnetic disk or tape, which then may be reused. **(Instructional Guide, reference 5.c)**

AP1.17. Destruction. In records management, the major type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding with other waste materials. **(RM Handbook, reference 5.b)**

AP1.18. Disposition. Disposition means those actions taken regarding Federal records after they are no longer in office space to conduct current Agency business. These action include: **(41 CFR 201-4 and RM Handbook, references 2.t and 5.b)**

- AP1.18.1.** Transfer to records to Agency storage facilities or Federal Record Center (FRCs).
- AP1.18.2.** Transfer of records from one Federal Agency to another.
- AP1.18.3.** Transfer of permanent records to the National Archives.
- AP1.18.4.** Disposal of temporary records no longer needed to conduct agency business, usually by destruction or occasionally by donation.

AP1.19. Disposition Action Code. Code that indicates the action to be taken when a disposition date occurs (e.g., freeze, transfer, or destroy).

AP1.20. Disposition Action Date. The fixed date on which the records in a file become due for final disposition.

AP1.21. Disposition Authority. Legal approval empowering an Agency to transfer permanent records to the National Archives or carry out the disposal of temporary records. Must be obtained from NARA and also, for certain records proposed as temporary, from the General Accounting Office (GAO). **(RM Handbook, reference 5.b)**

AP1.22. Disposition Instruction. Directions for cutting off records and carrying out their disposition (transfer, retirement, or destruction) in compliance with NARA's regulations and General Records Schedule (GRS). The instructions include retention-related fields such as authority, transfer location, active/dormant chronological retention periods, and conditional retention periods. **(RM Handbook, reference 5.b)**

AP1.23. Disposition Instruction Code. An Agency's alphanumeric or numeric code indicating a unique disposition instruction that can be assigned to one or more files.

API.24. Disposition Instruction Type. One of three ways of scheduling a disposition instruction. The schedule may be based upon a time, an event, or a combination of both time and event. See AP1.30, AP1.54, and AP1.55, below. **(RM Handbook, reference 5.b)**

AP1.25. Document. Recorded information regardless of physical form or characteristics. A document may meet the definition of a record, or it may not and therefore be a non-record.

AP1.26. Electronic Mail Message. A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message. **(36 CFR 1234.2, reference 2.j)**

AP1.27. Electronic Mail System. A computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmit files between users but does not retain any transmission data), data systems used to collect and process data that have been organized into data files or data bases on either personal computers or mainframe computers, and word processing documents not transmitted on an e-mail system. **(36 CFR 1234.2, reference 2.j)**

AP1.28. Electronic Record. Electronic record means any information that is recorded in a form that requires a computer or other machine to process it and that satisfies the legal definition of a record in **44 U.S.C. 3301, reference 1.f).** **(36 CFR 1234.2, reference 2.j)**

AP1.29. Event Disposition. A disposition instruction, in which a record is eligible for the specified disposition (transfer or destroy) upon or immediately after the specified event occurs. No retention is applied and there is no fixed waiting period as with the "timed" or combination "timed-event" dispositions. Example: "Destroy when no longer needed for current operations". **(RM Handbook, reference 5.b)**

AP1.30. File

AP1.30.1. An arrangement of records. The term is used to denote papers, photographs, photographic copies, maps, machine-readable information, or other recorded information regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or machine-readable media, or on shelves, and occupying office or storage space. (Noun) **(41 CFR 201-4 and 36 CFR 1220.14, references 2.t) and 2.a)**

AP1.30.2. The act of assigning and storing records in their appropriate file categories. (Verb) **(RM Handbook, reference 5.b)**

AP1.31. File Code. Numbers or symbols used to represent lengthy file titles. It identifies information for filing, reference, and disposition. **(RM Handbook, reference 5.b)**

AP1.32. File Plan. A document containing the identifying number, title, description, and disposition authority of files held in an office. **(RM Handbook, reference 5.b)**

AP1.33. Format. For electronic records, the format refers to the computer file format described by a formal or vender standard or specification, such as ISO/ISEC 8632-1 (Information Technology - Computer Graphics - Metafile for the Storage and Transfer of Picture Description Information (CGM)); ISO/ISEC 10918 (Joint Photographic Experts Group (JPEG)); WordPerfect 6.1 for Windows; and Microsoft Word 7.0 for Windows. For non-electronic records, the format refers to its physical form: e.g., paper, microfilm, video, etc.

AP1.34. Freeze. The suspension or extension of the disposition of temporary records that cannot be destroyed on schedule because of special circumstances, such as a court order or an investigation, that requires a temporary extension of the approved retention period. **(RM Handbook, reference 5.b)**

AP1.35. Government Information Locator Service (GILS). GILS is a Federal Government service to help the general public locate and access information throughout the Federal Government **(44 U.S.C. 3511, reference 1.h)**. It describes the information available in those resources, and provides assistance in obtaining the information. GILS uses network technology and international standards for information search and retrieval. These standards are described in the Federal Information Processing Standard (FIPS) Publication 192, "Application Profile for the Government Information Locator Service." **(FIPS 192-1, reference 3.c)**

AP1.36. Location of Record. A pointer to the location of a record. Examples: an operating system path and filename, the location of a file cabinet, or the location of a magnetic tape rack.

AP1.37. Media Type. The material and/or environment on which information is inscribed (e.g., microform, electronic, paper).

AP1.38. Metadata. Data describing stored data: that is, data describing the structure, data elements, interrelationships, and other characteristics of electronic records. Record profile data.

AP1.39. Office Applications. Software packages that perform a variety of office support functions, such as word processing, desktop publishing, spreadsheet calculations, electronic mail, facsimile transmission and receipt, document imaging, optical character recognition (OCR), work flow, and data management. These applications are generally those used to generate, convert, transmit, or receive business documents.

AP1.40. Originating Organization. Official name or code that reflects the office responsible for the creation of a document.

AP1.41. Permanent Record. Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for a particular Agency's administrative, legal, or fiscal purposes. **(RM Handbook, reference 5.b)**

AP1.42. Receipt Data. Information in electronic mail systems regarding dates and time of receipt of a message, and/or acknowledgment of receipt or access by addressee(s). It is not the date and time of delivery to the agency. If this data is provided by the computer system, it is required for documents that are received through electronic mail. **(36 CFR 1234.2, reference 2.j)**

AP1.43. Record. A record consists of information, regardless of medium, detailing the transaction of business. Records include all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that

Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the value of data in the record. **(44 U.S.C. 3301, reference 1.f)**

AP1.44. Record Category. A description of a particular set of records (file or groups of files) within a file plan. Each category has retention and disposition data associated with it, applied to all records within the category.

AP1.45. Record Category Code. An Agency's alphanumeric or numeric code indicating a unique record category which can be assigned to one or more files.

AP1.46. Record Identifier. A data element whose value is system-generated and that uniquely identifies a particular record.

AP1.47. Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involving the life cycle of information, including creation, maintenance (use, storage, retrieval), and disposal, regardless of media. Record management procedures are used to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of Agency/organizational operations. **(44 U.S.C. 2901, reference 1.a)**

AP1.48. Records Management Application (RMA). Software used by an organization to manage its records. Its primary management functions are categorizing and locating records and identifying records that are due for disposition. RMA software also stores, retrieves, and disposes of the electronic records that are stored in its repository.

AP1.49. Record Profile. Information (metadata) about a record that is used by the RMA to file and retrieve the record. It includes information fields such as To, From, Date, Subject, Document Type, Format, Location, Record Number, Version Number, File Category, and Originating Organization. The data fields may also be used by the RMA as search criteria.

AP1.50. Repository for Electronic Records. A direct access device on which the electronic records and profiles are stored.

AP1.51. Retention Period. The length of time that a record must be kept before it is destroyed. Records not authorized for destruction have a retention period of permanent. Retention periods for temporary records may be expressed in two ways **(RM Handbook, reference 5.b)**

AP1.51.1. A fixed period after records in the series or system is created. Normally a fixed period after their regular cutoff. For example, the phrase "destroy when 2 years old" provides continuing authority to destroy records in a given series 2 years after their creation (normally 2 years after their regular cutoff).

AP1.51.2. A fixed period after a predictable event. Normally a fixed period after the systematic cutoff following that event. The wording in this case depends on the kind of action involved. Note the following examples:

- AP1.51.2.1. "After completion" (as of a study, project, audit).
- AP1.51.2.2. "After sale or transfer" (as of personal or real property).
- AP1.51.2.3. "After publication" (as of monthly reports).
- AP1.51.2.4. "After superseded" (as of an administrative directive).
- AP1.51.2.5. "After revision or cancellation" (as of a form).
- AP1.51.2.6. "After acceptance or rejection" (as of an application).

AP1.52. Subject. A principal topic addressed in a record.

AP1.53. Time Disposition. A disposition instruction that specifies when a record shall be cutoff and when the fixed retention period is applied. The retention period does not begin until after the records have been cutoff. Example: "Destroy after two years C cutoff at the end of the calendar (or fiscal) year; hold for two years; then destroy". **(RM Handbook, reference 5.b)**

AP1.54. Time-Event Disposition. A disposition instruction that specifies that a record shall be disposed of a fixed period of time after a predictable or specified event. Once the specified event has occurred, then the retention period is applied. Example: "Destroy three years after close of case". The record remains unscheduled until after the case is closed C at that time the record is cutoff and the retention period (destroy after three years) is applied. **(RM Handbook, reference 5.b)**

AP1.55. Transfer. The act or process of moving records from one location to another, especially from office space to Agency storage facilities or Federal Record Centers, from one Federal Agency to another, or from office or storage space to the National Archives for permanent preservation. **(RM Handbook, reference 5.b)**

AP1.56. Transmission Data. Information in electronic mail systems regarding the date and time messages were sent or forwarded by the author. If this data is provided by the electronic mail system, it is required for documents that are transmitted and received via electronic mail. **(36 CFR 1234.2, reference 2.j)**

AP1.57. Version. One of a sequence of documents having the same general form and specific subject and purpose. The sequence often reflects successive changes to a document.

AP1.58. Vital Records. 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). Emergency operating records are the type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical Agency operations, as well as related policy or procedural records that assist Agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency. Legal and financial rights records are the type of vital records essential to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, and insurance records. These records were formerly defined as "rights-and-interests" records. **(36 CFR 1236.14, reference 2.q)**

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CONCLUDING MATERIAL

Review Activity:

DOE HQ

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Operations Offices

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Preparing Activity:

DOE-HQ SO-312

Project Number:

INFT-0001

National Laboratories

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