



PROCEDURE 243.2-2B

Title:	RECORDS MANAGEMENT INVENTORY
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FORMS

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

NETL Form 243.1-4, [Record Series Inventory Form](#)

NETL Form 243.1-5, [Electronic System Inventory](#)

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Procedure 243.2-2B, Records Management Inventory

1. **PURPOSE**

- a. To establish a procedure for the National Energy Technology Laboratory (NETL) records inventory.

2. **APPLICABILITY**

- a. This procedure applies to all NETL organizational elements and contractors, and applies to the inventory of all NETL records, including those created or received, used, maintained, and/or disseminated by contractors pursuant to their contracts.

3. **PROCEDURE**

a. Screening and Preparing Records

- (1) **Regularly** inspect all files (including electronic) and gather essential **record-related** information about them.
- (2) Identify required program records and remove reference materials and duplicates from the file system.
- (3) Separate non-record files from official records files.
- (4) Identify the federal record custodians and where the records will be filed/maintained.
- (5) Identify file arrangement (i.e., chronological, numeric, alphabetical, alpha-numeric, subject, etc.).

b. Assigning a Disposition Schedule

- (1) The federal file custodians shall consult NETL Procedure 243.2-7, Records Scheduling and Disposition Procedure, for scheduling guidance on all records.

c. Completing the Appropriate Form

- (1) Use NETL Form 243.1-4, Record Series Inventory Form, for a series. Place in front of the series.
 - (a) Each record not in a series should have a coversheet (NETL Form 243.1-1, Records Retention and Disposal Authorization) with a disposition schedule placed on it once it is created. For records in a series, complete a coversheet and place it in front of the series.

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- (2) Use NETL Form 243.1-5, Electronic System Inventory, for diskettes, databases, and spreadsheets that are located on a shared or common drive, or diskettes, or other media.
- (3) Use NETL Form 243.1-1, Records Retention and Disposal Authorization, for records being sent to the archive for retention, or single records.
- (4) Use NETL Form 243.1-1, Records Retention and Disposal Authorization, for ES&H or EMS records that are being sent to the ES&H records centers.

d. Storage and Transfer

- (1) Records with retention periods of less than 2 years shall be maintained in office areas. It is recommended that inactive or long-term records be transferred to the records archive from office space after 2 years; however, if records are frequently accessed, they may be maintained in the office area for a longer period.
- (2) To package and transfer records to the NETL records archives, refer to the Records Management web page at <http://intranet/IT/Records/Records.htm> or call records management for assistance.

e. Quality Control

- (1) Paper Files — Records held in file cabinets shall be inspected annually by the federal file custodian. The inspection shall include an assessment of the physical condition of the records, as well as the conformance to the appropriate record schedules.
- (2) Electronic Documents — Hard (paper) copies of electronic records shall be inspected as received by the federal file custodian to ensure that all required transmission and receipt data is included with a record copy.
- (3) Retired (Boxed) Paper Documents — Hard copies of retired paper documents kept in boxes shall be reviewed annually by the records personnel to assure they continue to be in acceptable physical condition and to assess conformance with the appropriate record schedules.
- (4) Other Media — Copies of other records, including books, maps, photographs, film, machine-readable materials, magnetic tape, or other documentary materials shall be inspected annually by the federal file custodians, to assure they continue to be in acceptable physical condition and are in conformance with the appropriate record schedules.

4. **RESPONSIBILITIES**

a. NETL Director

- (1) Ensure that the inventory is administered in accordance with the requirements of all federal laws and regulations, executive orders, DOE orders, accepted external standards, and authoritative issuances.

b. Director, Information Technology Division

- (1) Assign authority and responsibilities for the management and operation of NETL's Records Management Program.

c. Records Management Officer

- (1) Promote the inventory.
- (2) Gain support from division directors and upper management.
- (3) Educate and encourage full participation from management and employees.

d. Division Directors

- (1) Appoint federal file custodians and assure that the file custodians have:
 - (a) Access to appropriate filing containers.
 - (b) Knowledge of NETL's file system.
 - (c) Access to resources for identifying, scheduling, and disposition schedules.
 - (d) Access to records management training.

e. Records Management Staff

- (1) Provide assistance to federal file custodians with scheduling NETL records, including:
 - (a) Identifying records and non-record material.
 - (b) Preparing:
 - NETL Form 243.1-4, Record Series Inventory Form, for all record and non-record materials maintained in each office,

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- NETL Form 243.1-5, Electronic System Inventory, to be used for databases and other electronic systems, and
- NETL Form 243.1-1, Records Retention and Disposal Authorization, for records that need to be archived or dispositioned.

f. Record Custodians

- (1) Work with records management and federal file custodians to ensure proper handling of all material.
- (2) Review all records and non-records annually.
- (3) Review records scheduled for disposition.

g. File Custodians

- (1) Establish a record of accountability that will identify the NETL federal employees and where their records are located.
- (2) Develop and maintain files which adhere to this and other NETL records management procedures, transfer record material to appropriate records storage areas in accordance with this procedure, and screen all non-record material for disposal periodically.
- (3) Physically inspect the organizational element's files.
- (4) Determine if each type of document is an official record by consulting with the records management staff.
- (5) Identify and remove reference materials and duplicates from files.
- (6) Organize division/group/element to clean/organize files so that:
 - (a) Each folder contains what it says (making folders and labels as appropriate), and
 - (b) Copies are discarded and the single original retained.
- (7) Determine what documents are not official records, and
 - (a) Keep only what people need for current and future work, and properly dispose of unofficial material.
 - (b) Record the volume of non-records (which is needed for the inventory).

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- (8) If documents are records:
 - (a) Organize the records in the most useful way for the organizational element to make use of them.
 - (b) Maintain essential information on each record.
 - (c) Ensure each record, or records series, has a disposition schedule attached to it.
 - (d) Make an index of the file organization (keep it with the files and inform file custodians that it is available to help them locate items).
 - (e) Complete NETL Form 243.1-4, Record Series Inventory Form, for each paper series or NETL Form 243.1-5, Electronic System Inventory, for electronic records. Single records should have a completed NETL Form 243.1-1, Records Retention and Disposition Authorization, attached to it.
 - (f) Free up office space by sending inactive records to storage.

5. **TRAINING**

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

6. **RECORD CONTROL**

- a. Results of the inventory will be maintained in the records management inventory database.
- b. NETL Form 243.1-4, Record Series Inventory Form, and NETL Form 243.1-5, Electronic System Inventory, will be maintained by records management and used for reporting purposes, as well as being distributed for reference purposes during future NETL inventories.
- c. All records produced by this procedure will be retained according to DOE Administrative Records Schedule 16, Item 2a. Destroy when related records are destroyed, or transferred to the National Archives, or when no longer needed for administrative or reference purposes. These include:
 - (1) NETL Form 243.1-1, Records Retention and Disposal Authorization.
 - (2) NETL Form 243.1-4, Record Series Inventory Form.
 - (3) NETL Form 243.1-5, Electronic System Inventory.

7. **REQUIREMENTS**

- a. 36 CFR, Chapter 12, Subchapter B, “Records Management.”
- b. DOE Order [200.2](#), [Information Collection Management Program](#).
- c. DOE Order 243.1, [Records Management Program](#).
- d. NETL Order [243.1](#), [Records Management Program](#).

8. **REFERENCES**

- a. NETL Procedure 243.2-5, [Files Operations](#).
- b. NETL Procedure 243.2-7, [Records Scheduling and Disposition Procedure](#).

9. **DEFINITIONS**

- a. Disposition — Action taken when records are no longer needed in current office space. These include transfer to agency storage facilities or federal record centers, transfer from one federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records.
- b. File Custodian — Federal NETL employee responsible for daily maintenance and operation of departmental or division records areas.
- c. Inventory — A multi-step process to gather information on all documents created, received, and existing onsite.
- d. NETL Records Archives — Temporary storage area for NETL records.
- e. Non-record Material — Non-record material consists of information contained on any media having no documentary or evidential value. The term includes stocks of publications, library material, and duplicates copies of file material such as reading files, processed or published materials, catalogues, trade journals, and papers of transitory value such as worksheets, informal notes, and routing slips. Non-record material should be destroyed when its purpose is served.
- f. Office of the Chief Information Officer (OCIO) — The OCIO provides records management guidance to all DOE sites. Also referred to as “CIO,” this office provides online records schedules for DOE records. (<http://cio.energy.gov/>)
- g. Permanent Records — Records appraised as having sufficient historical or other value to warrant continued preservation by the federal Government beyond the time they are needed for administrative, legal, or fiscal purposes.

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- h. Record(s) — Includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by NETL under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by NETL or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.
- i. Record Copy — The only occurrence of a document that is considered the record itself, and must be handled as such. All other occurrences are considered copies and may, for the purpose herein, be destroyed.
- j. Records Custodian — The NETL employee who creates records and through familiarity with the record content, is best suited to schedule his or her records.
- k. Records Disposition Schedule — A document that provides mandatory instructions or authority for the final disposition of records. It provides mandatory instructions for what to do with records (and non-record materials) no longer needed for current Government business.
- l. Records Series — Record series are units of files or documents arranged according to a filing system or kept together because they relate to a particular subject of function, result from the same activity, document a specific kind of transaction, take a particular form or have some other relationship arising out of their creation, receipt, or use (such as restrictions on access or use). Examples include personnel files, time cards, or maintenance logbooks. Records should be organized and maintained by series while they are in the active organizational element.
- m. Temporary Records — Records approved for disposal, either immediately or after a specified retention period.

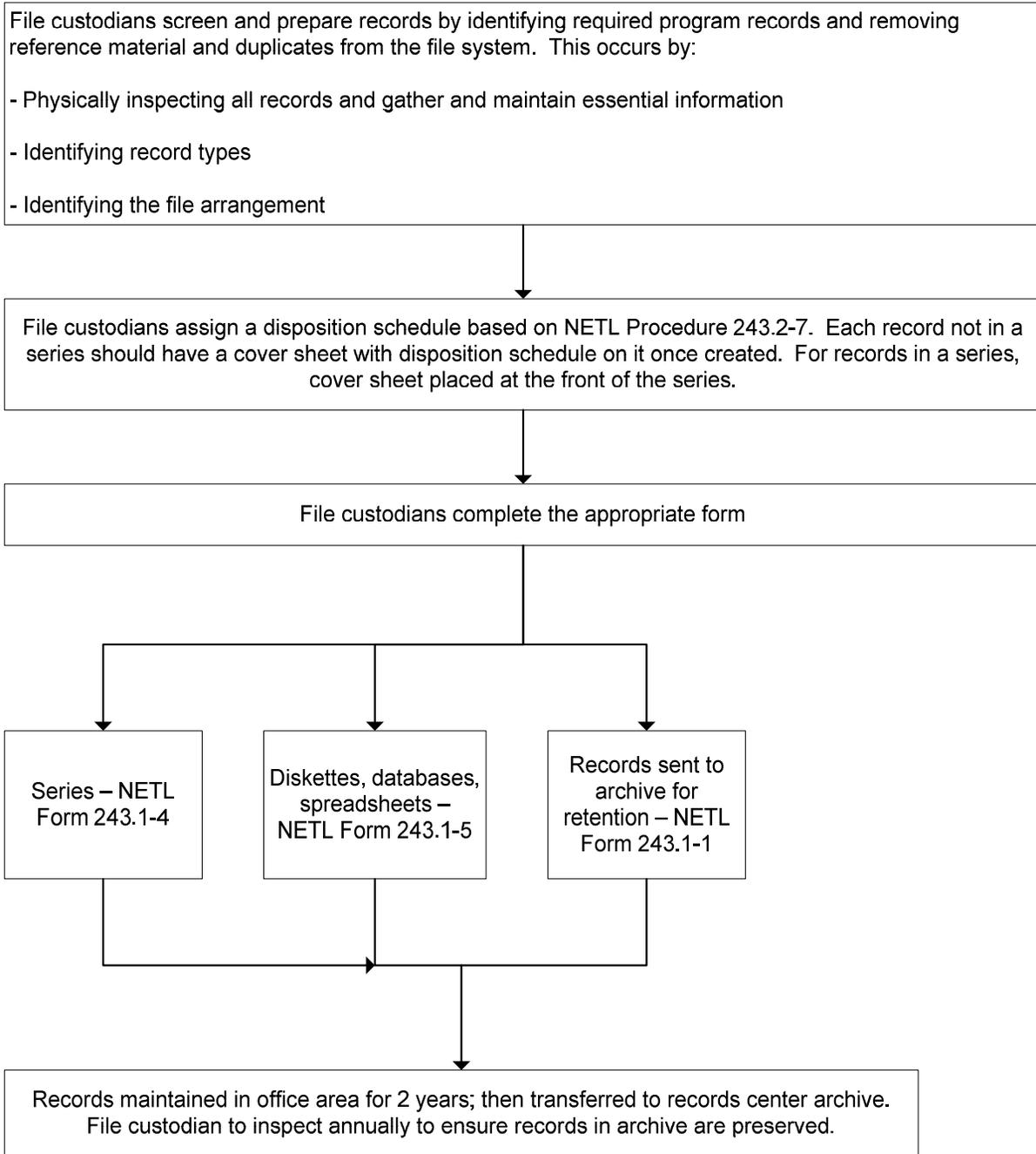
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10. **REVISION HISTORY**

VERSION	DATE	SUMMARY OF CHANGES
Original	2/26/04	To establish procedures for the biennial records inventory at the National Energy Technology Laboratory (NETL).
A	1/18/06	The responsibilities section was updated.
B	12/23/08	Changes were made to put the directive into the new directives format, update the definitions, add vital to identify special markings, and add a flow chart of the process.

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FLOW CHART OF THE PROCEDURE



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