

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK	
TO GENERAL SERVICES ADMINISTRATION NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408		JOB NO NI-434-89-8	DATE RECEIVED 1/31/89
1 FROM (Agency or establishment) Department of Energy		NOTIFICATION TO AGENCY	
2 MAJOR SUBDIVISION		In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. If no records are proposed for disposal, the signature of the Archivist is not required.	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER Edward J. Nugent	5 TELEPHONE EXT 586-3288		
6 CERTIFICATE OF AGENCY REPRESENTATIVE			

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of 113 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, if required under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, is attached.

A GAO concurrence is attached, or is unnecessary

B DATE 1/27/89	C SIGNATURE OF AGENCY REPRESENTATIVE 	D TITLE Departmental Records Officer
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7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARS USE ONLY)
	Research and Development records as described in the attachment.		

Copies sent to agency, NNA, NN-W, NNS, NNT, NNX, NCF
4/25/91

Introduction. This schedule does **not** cover all of the research and development (r&d) records that DOE and its contractors produce. The schedule covers historically valuable records maintained by organizations that use a **project filing** method for their r&d records. If another form of recordkeeping is used--such as one that mixes together records of multiple projects--separate schedules (SF 115s) are required. Separate SF 115s are also required for records that do not have permanent value.

Provide a written description for each project covered under this schedule. The description should be understandable to the lay person. It must include the full name of the office or unit creating the records, the official name of the project, and a narrative summary of the project and its significance. For each project, provide information about the names of principal researchers; relationship to the mission of the facility and DOE in general; significant milestones, such as large increases or decreases in resources, or changes in emphasis; research methodology, procedures, and techniques; controversial aspects, if any; and potential value to historians or other researchers. Include details also about the location of any other records relating to the project. NARA will review this information when records are sent to the Federal Records Center, as well as when records are transferred to archival custody.

1. Permanent Research and Development Project Records. These records cover various phases of a project from initiation to termination. The records consist of, but are not strictly limited to, reports and correspondence relating to project feasibility, justification, initiation, and execution; budget documentation; project planning and approval documents, including research proposals (funded and unfunded); project design and change records, including specifications and drawings; technical program plans; invention, patent, and copyright information; peer, committee, and board reviews; experimental set up and methodology records; test controls, instructions, and results; schematics, flow charts, and equipment control listings; observational and experimental data; and data calibration, processing, and analysis documentation.

Each facility applying this schedule to its records must determine which of its project records have adequate historical and technical significance to merit transfer to the National Archives for permanent retention (see selection criteria listed below). Such determinations must be made by knowledgeable scientists, engineers, and other researchers in consultation with other appropriate facility staff, such as archivists, historians, and records managers. Permanent project records are those that:

- *show development of new and significant techniques;
- *relate to new and significant methodology and material;
- *were the subject of Congressional investigation or came under intensive public scrutiny;
- *result in judicial decisions or legislative activities concerning the functions and activities of DOE;
- *result in significant changes in the functions of DOE;
- *relate to critical environmental, health, and safety issues

a1. Records (exclusive of electronic, audiovisual, and cartographic media) deemed by appropriate personnel within the originating organization to have permanent value according to the criteria noted above.

Disposition: Permanent. Cut off files after termination of the project. Send to FRC 2 years after termination of the project. Transfer to the National Archives when 30 years old. Note: attach a description of each project to SF 135. Description must cover the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.

a2. Electronic records, including raw data, on magnetic tape deemed to have permanent value according to the criteria noted above.

Disposition: Permanent. Transfer **along with systems documentation** to the National Archives immediately after termination of project. Tape must meet NARA technical formatting standards. Note: attach a description of project to SF 258 before sending to NARA. Description must cover the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.

a3. Motion picture and videotape records, including raw data, deemed to have permanent value according to the criteria noted above.

Disposition: Permanent. Send to FRC 2 years after cut off. Transfer to the National Archives 5 years after termination of project. Note: attach a description of project to SF 135. Description must cover the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.

a4. Photographic records, including raw data, deemed to have permanent value according to the criteria noted above.

Disposition: Permanent. Send to FRC 2 years after cut off. Transfer to the National Archives 5 years after termination of project. Note: attach a description of project to SF 135. Description must cover the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.

a5. Drawings, maps, and charts deemed to have permanent value according to the same criteria noted above.

Disposition: Permanent. Send to FRC 2 years after termination of the project. Transfer to the National Archives when 30 years old. Note: attach a description of each project to SF 135. Description must cover the name of the office creating the records; project name or title; and a narrative summary of the project and its significance.

2. Nonpermanent R&D Project Records. These records include documentation similar to that described for item 1, but that relates to projects (or parts of projects) that do not have historical value.

Disposition: Not authorized. Separate schedules are required.

3. R&D Records Not Kept According to the Project Filing Method. Included here are all R&D records that are not maintained according to specific projects.

Disposition: Not authorized. Separate schedules are required.