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| REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i> | | <small>LEAVE BLANK (NARA use only)</small> | |
| TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408 | | JOB NUMBER <i>N1-43493-2</i> | DATE RECEIVED <i>10-2-92</i> |
| 1. FROM (Agency or establishment) U.S. Department of Energy | | 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10. | |
| 2. MAJOR SUBDIVISION Office of Scientific and Technical Information | | | |
| 3. MINOR SUBDIVISION | | | |
| 4. NAME OF PERSON WITH WHOM TO CONFER J. Lowell Langford | 5. TELEPHONE (615) 576-8518 | DATE <i>8/1/95</i> | ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i> |
| 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, | | | |
| <input type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested. | | | |
| DATE <i>9/25/92</i> <i>9-1-92</i> | SIGNATURE OF AGENCY REPRESENTATIVE <i>J. Lowell Langford</i> | | TITLE <i>Departmental Records Officer</i> OSTI Records Officer |
| 7. ITEM NO. | 8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION | 9. GRS OR SUPERSEDED JOB CITATION | 10. ACTION TAKEN (NARA USE ONLY) |
| | The attached Disposition Schedule covers the Energy Science and Technology Software Center's (ESTSC) software collection. | | |
| <i>Copy sent to agency, NSX 8/30/95</i> | | | |

**U.S. DEPARTMENT OF ENERGY
REQUEST FOR RECORDS DISPOSITION AUTHORIZATION**

1 Control Number

2a. Organizational Unit and Routing Symbol
U.S. Department of Energy
Office of Scientific and Technical Information, AD-21

2b. Departmental Organization
Contractor Organization

3. Volume (Cu. Ft.)
1,250 cubic feet.

4. Record Dates (From/To)
1960-present

5. Identification of Filing Unit (Include type of record, function performed, security classification, and other descriptive facts)
Energy Science and Technology Software Center (ESTSC) Software Packages Collection, Unclassified. See attached Disposition Schedule.

See Continuation Page

6. Appraisal (Include justification for retention period in current files, low cost storage, and final disposition - destruction or transfer to Archives)

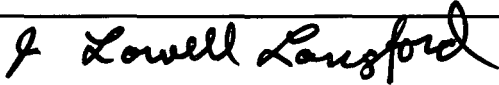
See attached criteria for disposition.

See Continuation Page

7. Recommended Disposition

| 8. Concurrence Signatures* | Title | Organization | Date |
|----------------------------|-------|--------------|------|
| a. | | | |
| b. | | | |
| c. | | | |
| d. | | | |
| e. | | | |

*Program, Legal, Historical Organization, and Others, as required by local policy

9. Name, Signature, and Organization of Requestor
J. Lowell Langford, OSTI, AD-21  Date
9/1/92

10. Records Officer Concurrence HQS Field Date

DRAFT RETENTION SCHEDULE FOR THE ENERGY SCIENCE AND TECHNOLOGY SOFTWARE CENTER'S (ESTSC) SOFTWARE COLLECTION

Description: The collection consists of scientific and technical computer software developed with Department of Energy funds. Exempt from this collection are those software packages listed in DOE 1360.4B Scientific and Technical Computer Software. They are:

- a. Software generated under the auspices of the Energy Information Administration;
- b. Operational systems software, necessary to ensure the fundamental operability of automated data processing equipment, whether supplied by the manufacturer of the system hardware or others and whether or not proprietary, which is not covered under a commercialization of copyright release request; and
- c. Computer software programs developed and/or modified during work carried out for others at DOE facilities specifically excluded in the agreement under which the non-DOE funded work was performed.
- d. The specific software used by Bonneville Power Administration (BPA) for the operation, control, planning and modeling of the Northwest electric power transmission system and the interconnected utilities. However, modifications/ enhancements to portions of this software which are not an integral part of the whole, and have potential application to other DOE programs or outside DOE are not excluded.

Authorized Disposition Instructions: Record. Destroy or delete when superseded or obsolete. The criteria for determining obsolesences is attached.

Attachment

Software Archival Criteria

Review 1: The 'first cut' for identifying software to be removed from the collection should be the amount of time since it was last requested. Any software not requested for a period of five years should be pulled from the active collection and go through Review 3.

Review 2: Another criteria for retention should be based on the operating system on which the software runs, programming language or hardware system for which the software was developed. Older software based on standard operating systems and a commonly used programming language may be valuable for many years whereas software developed more recently for aged hardware and a specialized operating system may not have application beyond a short period of time. Guidelines should be developed as the older collection is reviewed which identify operating systems, programming languages, and hardware systems which are on the decline. It may be possible to identify some which are already obsolete. Periodically (once a year) the operating contractor should compare the software in the collection with the guidelines.

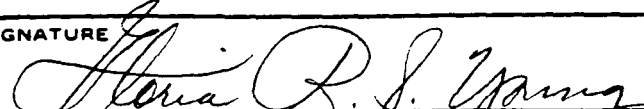
Review 3: The software which has been recommended to be purged from the collection by Review 1 or 2 should then be reviewed by the Office of Scientific and Technical Information (OSTI) Program Management, with input from Headquarters, for program content and future applicability to the Department. The reason for this review is that there are types of software which could be reutilized by the Department at some time in the future. An example of this would be software developed for use in a nuclear reactor, construction on which has subsequently been stopped. It is possible that the political climate could change in the future and construction could resume on the reactor. In that case, it may be prudent to retain the software for possible use in the future. The form of the retained packages will be determined on a case by case basis depending on the size of the package. The form (electronic or paper) utilized will be the most practical for individual packages. In the future, it may be possible to retain the software on a CD storage medium. OSTI will review the retention options as more experience is gained in this process.

Software recommended to be purged from the collection following the three reviews as listed above will be removed from the collection and not retained in any format by the ESTSC, and ~~forwarded to the National Archives.~~

The bibliographic citations on the databases, both the internal customer service database and the ITIS announcement database, will be updated to reflect that the software is no longer available. Announcement will be made to customers, through the guideline books as well as in the announcement bulletin, that software will be reviewed annually and some packages removed from the collection based on our policy as stated above.

*DBE
per emails to/from
OSTI on 7/9/2003 and
7/10/2003.*

INFORMATION SYSTEM DESCRIPTION

| | | | |
|--|--|---|--|
| 1. SYSTEM TITLE Software Management Access Control System (SMACS) | 2. SYSTEM CONTROL NUMBER | | |
| 3. AGENCY PROGRAM SUPPORTED BY SYSTEM Centralized depository of scientific and technical computer software | 4. PROGRAM AUTHORITY DOE 1360.4B | | |
| 5. SYSTEM DESCRIPTION | | | |
| 5A. PURPOSE/FUNCTION OF SYSTEM The SMACS system records all information about software submittals and requests for software. SMACS is an interactive software system that enables users to access and browse existing required data while interacting with software center customers so as to record all information about the transaction. Reports and displays inform system users and monitors on the numbers and types of transactions occurring. The system tracks all new software submittals so as to insure a constant controlled environment and detects any problems or bottlenecks in the flow of packages through the process. | | | |
| 5B. SOURCE(S) OF DATA (Include Inputs from Other Systems) DOE Contract Deliverables NRC Contract Deliverables Public Submittals Where A DOE OR NRC Package Has Been Purchased and NEA Sponsored Data | | | |
| 5C. INFORMATION CONTENT SMACS Contains: 1. All abstract and control information related to a computer software program 2. All information related to computer software request such as a) general information, b) requests for quotes, c) purchases 3. All information related to sensitive country requests 4. All authority information necessary to validate user inputs | | | |
| 5D. SYSTEM OUTPUTS (Include Outputs to Other Systems) 1. Reports (Control, Information, Data Verification, Abstracts) 2. Letters (Request Responses, Quotes) 3. All Reports Required By NRC 4. Screen Displays for Required Inquiries 5. File of Financial Data to OSTI Financial System 6. Selected Data to OSTI Online Systems (ESTS, EDB) | | | |
| 6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers) OSTI P.O. Box 62 Oak Ridge, TN 37831 | | | |
| 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.) <table style="width:100%; border:none;"> <tr> <td style="width:50%; vertical-align:top;"> Judith Wilson Program Management P.O. Box 62 Oak Ridge, TN 37831 576-1166 </td> <td style="width:50%; vertical-align:top;"> Gloria R.S. Young Technology Systems Management P.O. Box 62 Oak Ridge, TN 37831 576-1136 </td> </tr> </table> | | Judith Wilson Program Management P.O. Box 62 Oak Ridge, TN 37831 576-1166 | Gloria R.S. Young Technology Systems Management P.O. Box 62 Oak Ridge, TN 37831 576-1136 |
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| 8. PREVIOUS DISPOSITION JOBS. | | | |
| 9A. PREPARER'S NAME Gloria R.S. Young | 9B. OFFICE NAME AND ADDRESS Technology System Management Information Systems Division P.O. Box 62 Oak Ridge, TN 37831 | | |
| 9C. PHONE NUMBER 576-1136 | Signature:  | | |
| Date: 5/26/92 | | | |