

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO. NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <i>NI-434-96-2</i>	
1. FROM (Agency or establishment) Department of Energy		DATE RECEIVED <i>11-7-95</i>	
2. MAJOR SUBDIVISION Energy Information Administration (EIA)		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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Various offices within EIA		DATE <i>2-18-98</i>	
4. NAME OF PERSON WITH WHOM TO CONFER John H. Weiner		ARCHIVIST OF THE UNITED STATES <i>John W. Carl</i>	
5. TELEPHONE 202-586-6537			
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 <u>13</u> 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 checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <i>11/7/95</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Maybelle Wallace</i>	TITLE <i>Leader, Records Management Team</i>	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	See attached <i>Change to item 14 Disposition instruction agreed to per phone conv MA Wallace / DOE and A. Minnick/NWREA 4/10/97</i>		

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Nonrecord # Nongovernment Records

Nongovernment records such as union records, health club records and records that reflect activities in sanctioned professional organizations which are not government owned records.

Disposition instruction:

Dispose of according to non-government organization's requirements.

Nonrecord Technical Reference

#01

Publications, including copies of EIA publications, books, journals, newsletters, computer application manuals training manuals and course materials, guides, phone books and other administrative references; files composed of reprints, copies of articles, news clippings, industry annual reports, and other references that serve as information resources, examples to follow, or regulations and guidelines to adhere to when performing EIA work. All materials are nonunique, replaceable materials.

Disposition instruction:

Discard when superseded or when no longer needed.

Nonrecord Extra Copies of Publications

#02

Extra copies of publications retained for distribution on a request basis.

Disposition instruction:

Discard when superseded or no longer needed for distribution.

Nonrecord Extra Copy Convenience Files (Chron, Day, Reading)

#03

Extra copies of publications retained for distribution on a request basis. Duplicates of correspondence filed elsewhere but maintained for convenience or rapid access. Usually filed by date.

Disposition instruction:

Destroy when no longer needed for reference.

Nonrecord Proprietary Documentation

#04

Documentation for proprietary models, programs, operating systems, and data

systems.

Disposition instruction:

Delete or discard when superseded or when no longer needed.

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#01 **Editorial Files and Author's Drafts**

Prepublication analysis and drafts of articles, reports, graphs, and tables used for editing and review before publication.

Disposition instruction:

Destroy after publication or electronic release or when no longer needed for reference.

#02 **Frozen Files**

Data files 'frozen' in accordance with the Energy Information Administration Standard for data files at the most disaggregated level used to generate all versions of publicly released data including related updates or revisions:

- a. For weekly, monthly, and quarterly releases or other releases more frequent than annual.
- b. For annual releases.
- c. For special and one-time reports.

Disposition instruction:

- a. Delete tape 1 year after date of publication or release data.
- b. Delete tape 3 years after date of publication or release of data.
- c. Delete tape 3 years after date of publication or release of data.

#03 **Systems Documentation - Record Copy**

Data systems specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or database that has been authorized for destruction by the GRS or a NARA-approved disposition schedule.

Disposition instruction:

Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or data base, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.

~~GRS-20-#11a~~

#04 **International Energy Statistics**

Energy statistics compiled for international energy agencies to comply with treaties and cooperative agreements. Both incoming and outgoing data require conversion to systems of measurements used by recipients for each type of energy source.

Disposition instruction:

Break files by reporting cycle. Destroy when 5 years old or when no longer needed for reference

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#05 Basic Model Documentation - Record Copy

Basic model designated by the Administrator as being sufficiently important to require sustained support and public scrutiny. All models developed under contract are basic models. Basic models documentation will contain the model abstract in an appendix, the computer code with comments, the model overview with process flow diagram, variables, data and parameter listing, technical specifications, and model estimates. Model documentation will be included with the documentation for all models designated as permanent.

Disposition instruction:

Destroy when no longer required.

#06 Contract Technical Monitor Files

Records created for the purpose of monitoring contractors and contracted tasks. Included are copies of contracts and contractor proposals, schedules of deliverables, copies of deliverables (but not deliverables that are the product of the contract), contractor reports on work in progress, copies of internal reports on contract work, and correspondence. Where appropriate to the contract, Data Systems Requests are also included. These records duplicate in part those held at higher EIA levels for contract monitoring and auditing purposes. **Note:** Deliverables that are products of information gathering and/or data processing contracts such as research reports by contractors conducting research or survey data processed by contractors, should be disposed of according to the applicable schedule for the product.

Disposition instruction:

Break by fiscal year. Destroy 2 years after termination or renewal of contract.

#07 Negatives and Camera Ready Copies

Negatives and camera ready copy retained in the event that corrections or reprints are required.

Disposition instruction:

Destroy when superseded or when no longer needed for reprints, whichever is sooner.

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#08 Computer Programs Used to Access Data

Informal computer programs created to access data for publication, data analysis, or for query purposes. These programs are usually devised by staff as data access tools using Wylber, SAS, FORTRAN and other languages and have limited documentation. Programs may be used once or many times.

Disposition instruction:

Delete program and discard documentation when no longer needed.

#09 Survey Processing Records

Records created in the process of verification of respondent data. Included are respondent contact records detailing who was spoken with, topic of the contact, outcome of the contact, and the reason for that outcome. Other records of significant corrections created to ensure the accuracy and completeness of survey information are also included.

- a. Paper records
- b. Electronic records

Note: When respondent survey forms are used for notation purposes they are to be reclassified as Survey Processing Records.

Disposition instruction:

- a. Break files by survey year. Destroy when 2 years old.
- b. Delete records after 5 cycles of the survey

#10 Data Requests Requiring Compilation or Research

Requests for publications, for data or for information requiring research or compilation for reply EXCLUDING requests made under the FOIA.

Disposition instruction:

Break files by fiscal year. Destroy when 3 years old.

#11 Energy Emergency Response Records

Emergency reports, and related supporting records compiled to provide national energy information during extreme weather, natural disasters, wars and other international events affecting energy supplies.

Disposition instruction:

Destroy when no longer required.

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#12 Long Range Planning

Strategic or long range plans devised periodically to insure the synchronization of program operations, staffing, budgeting, and funding.

Disposition instruction:

Break files by fiscal year. Destroy records 2 reporting cycles old.

#13 Congressional Testimony

Copies of testimony on any available media by the Administrator and other EIA staff to the U.S. Congress. Topics include the budget, energy supplies, energy emergencies, tax incentives, and other matters.

Disposition instruction:

Break by calendar year. Discard or delete when no longer needed for reference or when 15 years old, whichever is sooner.

#14 Survey Processing Records - Exception 1

EIA 23 and EIA 64A survey processing records and survey respondent forms used as processing records reproduced on microfiche or on alternate media such as CD-ROM determined by the Division director to have permanent value. a. Record copy. b. All other copies.

Disposition instruction:

- data through 1996 upon approval of schedule.*
- a. PERMANENT. Transfer to NARA when ~~25~~ *45* years old. Earlier transfer is authorized for microfiche or CD-ROM format. ~~Transfer CD-ROM upon conversion in accordance with 36 CFR 1228.188.~~ *will be*
- b. Destroy when no longer needed for reference.

After 1996, cut off annually and transfer to NARA.

#15 Survey or Model Systems Development Records

Planning and development records including correspondence, reports, meeting minutes, samples, and other background records compiled for the development or revision of survey and model systems EXCLUDING records produced in the contracting phase of development. See also Survey or Model Manager's Files and Contract Technical Monitor's Files.

Disposition instruction:

Destroy records when no longer needed.

#16 Documentation for Published Numbers

Documentation on the source of data published by EIA used to answer queries.

Disposition instruction:

Destroy when 3 years old or when no longer needed, whichever is sooner.

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#17

Survey or Model Manager's Files

Memoranda, reports, and other records documenting assignments, progress, and completion of projects.

- a. Projects performed by contractors.
- b. Internal projects.

Disposition instruction:

Break files by fiscal year.

- a. Destroy 3 years after the year in which the contract is closed or renewed.
- b. Destroy when 3 years old.

#18

Survey Sample Documentation

Documentation on the development of survey samples, including correspondence, lists, analysis, and studies.

Disposition instruction:

Break files by survey year. Destroy when 3 years old or when no longer needed for reference, whichever is longer.

#19

Policy Agreements

Interagency agreements and EIA internal agreements concerning program operation policies.

- a. Record copy
- b. All other copies.

Disposition instruction:

- a. Retire superseded agreements to WNRC when 5 years old or when volume is 1 cubic foot, whichever is later. Destroy when 50 years old.
- b. Destroy when superseded.

#20

Equal Employment Opportunity Files

Records maintained for recruitment and administration purposes only. See GRS 1(25) for EEO Complaints.

Disposition instruction:

Break files by fiscal year. Destroy when 3 years old.

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#21 **Program Correspondence and Report Files - Record Copy**

Record copies of program correspondence and reports concerning the administration of the program and other related responsibilities or assignments, EXCLUDING routine administrative files described under Office Administrative Files.

Disposition instruction:

Break files at end of fiscal year. Retire to WNRC when 7 years old. Destroy when 15 years old.

#22 **Briefing Records**

Records maintained at each management level detailing operations. Used to brief new managers and as a record for reference during emergencies.

Disposition instruction:

Update with new information. Destroy when superseded.

#23 **Electronic Publications - Record Copy**

Official copy of EIA publications cleared and released in electronic form.

- a. Record electronic copy.
- b. Alternate media copies such as those reproduced on diskette, tape cartridge, computer output microfiche or CD-ROM and used for reference or distribution.

Disposition instruction:

- a. PERMANENT. Compile electronic publications annually and archive to tape or alternate media. Recopy tape or alternate media at intervals recommended by manufacturer for optimal reliability. Transfer to NARA immediately after annual compilation. Transfer CD ROM in accordance with 36 CFR 1228.188.
- b. Delete or discard when no longer needed.

#24 **Publications - Record Copy**

- a. Record copy of EIA publications cleared and printed for distribution.
- b. Microform or alternate media copies produced for ease of distribution or to serve as a source for duplication.
- c. All other copies.

Disposition instruction:

- a. PERMANENT. Compile EIA publications quarterly and retire to WNRC. Transfer to NARA when 25 years old. Earlier transfer of publications in CD ROM format under item 23 of this schedule is authorized.
- b. Discard when no longer needed for reference or reproduction.
- c. Discard when no longer needed.

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#25 Source Historical/Statistical Records

Source records that document earlier research and statistics from predecessor agencies and other sources. Records include both internal reports and publications from predecessor agencies. Examples include ~~Bureau of Mines publications~~, reports from state mining offices, and other records from predecessor agencies and offices. *Exclude Bureau of Mines Publications that will be scheduled separately*

Disposition instruction:

Retire to WNRC when 5 years old. Destroy when 50 years old.

#26 Survey Input/Source Electronic Data From Outside EIA

Electronic records used as input source records which were produced by States or by another agency under the terms of an interagency agreement, or in response to the specific information needs of EIA, or electronic records purchased from the private sector. Examples are records from the Census Bureau, Dun and Bradstreet, NOM, and files from State motor vehicle registrations.

Disposition instruction:

Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of or serve as back-up to, the master file or database, whichever is later.

#27 Survey/Model/Database Master Files

- (1) Master data files created, processed, and accessed according to ADPS procedures and EIA standards, comprising the data portions of EIA survey databases.
- (2) Data in databases used for analysis or publication.
 - a. Active.
 - b. Standby or periodic.
 - c. Discontinued or obsolete.

Disposition instruction:

- a. Maintain active survey records in accordance with ADPS procedures and instructions in the current Energy Information Administration Standards Manual.
- b. Archive periodic and standby surveys in accordance with ADPS procedures and EIA standards.
- c. Provide to NARA on an annual basis the title and abstract of discontinued or obsolete survey/model/database master files. Transfer annually those items selected by NARA as permanently valuable. Destroy non-selected records. See item 36 of this schedule.

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#28

Schedules of Daily Activities - EIA Administrator's

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities by the EIA Administrator while serving in an official capacity, created and maintained in hard copy or electronic form, EXCLUDING materials determined to be personal. a. Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files. b. Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.

Disposition instruction:

a. Destroy or delete when 10 years old. b. Destroy or delete when no longer needed.

#29

Developing Model Documentation - Record Copy

Developing EIA model is designated by the Administrator as being under development and yet of sufficient interest to require a level of documentation for a basic model at a future date. Developing models documentation will contain the model abstract in an appendix, the computer code with comments, and the model overview with process flow diagram.

Disposition instruction:

Destroy when no longer required.

#30

Auxiliary Model Documentation - Record Copy

Auxiliary EIA model designated by the Administrator as being used only occasionally in analysis and therefore requiring minimal levels of documentation. Auxiliary model documentation will contain a model abstract in an appendix and include computer code with comments.

Disposition instruction:

Destroy when no longer required.

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#31

Documentation

Documentation to ensure that data systems can be understood, operated, and/or modified by knowledgeable users or programmers. Applies to all data systems, whether new, ongoing, or revised. Data systems that support models are included, but this item does not apply to models themselves which are covered separately. Specific documentation types included are Users Manuals, Operations Manuals, and Program Maintenance Manuals in hard copy, microform, or electronic media.

Disposition instruction:

Destroy when superseded or no longer required.

#32

Survey Frame Backups on Electronic Media

Frame: the explicit display of the population from which the sample is to be chosen. Frame backups created prior to major frame updates to protect data from unexpected loss. Major updates are created when systematic searches result in the addition of new information sources and the deactivation of out-of-scope respondents which result in changes to a substantial number of records. Backups must be formatted according to standards in the current Energy Information Administration Standards Manual.

Disposition instruction:

Delete when data is final or when backup is 3 years old whichever is sooner.

#33

Data or Model Systems

Computer Programs written in support of all data and modeling systems. Both source code and executable programs are included.

Disposition instruction:

Destroy when related master file or data base has been deleted.

~~GRS-20 #10~~

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#34

Public information Files

Records created to inform interested parties and the general public on events or facts concerning energy. Included are press releases, notices, distribution facsimiles, and electronic releases to bulletin boards and the internet.

Disposition instruction:

Break files by fiscal year. Destroy or delete annually, or when no longer needed for reference.

#35

Subscription Purge Request

Records maintained to retain eligibility for 2nd class mail rates as required in the United States Postal Service Domestic Mail Manual, section 423.41 Eligibility.

Disposition instruction:

Destroy or delete records older than 3 years.

#36

Survey Forms History Files

Blank survey forms and copies of electronic formats organized by survey number and by year used as a reference to verify and compare data items collected from respondents on previous editions of the survey form. This record is related to the survey data and therefore has the same retention. The blank survey forms are primarily on paper medium but may be saved on CD-ROM or an alternate media which can accommodate both electronic and paper survey forms more efficiently. Survey forms for designated Permanent data bases under items 14 and 27 of this schedule will be included with the data base documentation.

Disposition instruction:

Destroy when 25 years old. Records are eligible for retirement into a Federal Records Center.

#37

Survey Forms With Legal Retention Requirements

Survey forms that have been determined by the Administrator to have regulatory or other legal reasons to be retained by EIA. Note: EIA copies of regulatory survey forms are not included under this definition. Transfer primary copies of FERC or other regulatory survey forms to the originating regulatory office for disposition as soon as data has been verified.

Disposition instruction:

Break files annually. Destroy when 3 years old.

#38

Quality Control Records

Records developed to check or to test the accuracy, completeness and reliability of data gathered in surveys and of information prepared for publication.

Disposition instruction:

Break files by fiscal year or close files at end of project. Retire to WNRC when 8 years old or sooner if no longer needed for reference. Destroy when 15 years old.

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#39 Information Product Development Records

Publication scoping papers, studies, and usage tracking conducted to determine what kind of information should be collected in order to serve the interests of the public and the needs of industry and the nation.

Disposition instruction:

Break files by fiscal year or close at project end. Retire to WNRC when 8 years old or when no longer needed for reference. Destroy when 15 years old.

#40 Reserves Studies and Unique Research/Project Records

Research projects on reserves and projects done only once to gather base information or to test assumptions.

Disposition instruction:

Retire to WNRC when 5 years old. Destroy when 50 years old.

#41 Research and Analysis Records

Research and analysis records determined by the Division director to warrant retention for 15 years but not longer. File arrangement may vary depending upon the nature of the records. Records consist of compilations of primarily unpublished material that does not fit the definition for technical Reference nor the definition for Reserves and Unique Research/Project Records and do not warrant permanent retention.

Disposition instruction:

Retire to WNRC when 5 years old or when no longer needed for reference, whichever is longer. Destroy when 15 years old.

#42 Electronic Survey Response System - Registrations

Registration database of software distributed to respondents. Used to send new versions or revisions to respondents.

Disposition instruction:

Delete data when no longer needed.