

Rec'd NCI 19 Jun 78

REQUEST FOR AUTHORITY TO DISPOSE OF RECORDS

(See Instructions on Reverse)

LEAVE BLANK	
DATE RECEIVED	JOB NO.
	JUN 19 1978
NC 1 434 78 2	
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "with-drawn" in column 10.	
10-26-78	<i>James B. Rhoads</i>
(Date)	Archivist of the United States

TO: GENERAL SERVICES ADMINISTRATION
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)

U.S. Department of Energy

2. MAJOR SUBDIVISION

DOE Organizations and Cost-Type Contractors

3. MINOR SUBDIVISION

4. NAME OF PERSON WITH WHOM TO CONFER

Robert K. Carpenter

5. TEL. EXT.

353-2904

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 _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

6/13/78 *Loren L. Rademacher*
Date (Signature of Agency Representative)

Chief, Records and Reports Branch

(Title)

7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
1.	DOE and DOE Cost-Type Contractor Records Schedule 22, attached	GRS 22 II-NNA-1542 II-NNA-2822, item 3 NN 163-121 NN 167-70, items 2;3c,d,e NC 430-76-1 item 2	

19 items

sent to NNB, NMF, Agency + All FRCS

10-31-78 MPA

DOE AND DOE COST-TYPE CONTRACTOR RECORDS SCHEDULE 22

Design and Construction Drawings and Related Records

This schedule provides guidelines for the disposition of design and construction drawings and related records that have been created or received by DOE or DOE Cost-Type Contractors in connection with official activities. Drawings refer to those graphic or engineering records that depict conceptual as well as precise measured information essential for the planning, design, and construction of facilities such as buildings, structures, plants, utilities, and other public works projects, as well as miscellaneous engineering and fabrication projects such as machinery and equipment. Related records include engineering studies, design calculations, project performance documentation, indexes and finding aids, specifications, and three-dimensional models. Most design and construction records lose their usefulness after specific periods of time. Generally, drawings pertaining to the conceptual or preliminary design process lose their administrative usefulness after the final construction plans are accepted; these records should be considered inactive after the completion of the construction project. Precise measured drawings which are used and finalized during the construction process have a continuing value during the life of the facility especially for repair and maintenance needs. The finalized ("as-built") construction drawings as well as repair and alteration drawings (or microform copies) should be considered active while the structure is still used, maintained, or owned by the Federal government.

After the design and construction files are no longer useful to DOE or contractors, certain records have continuing historical value, particularly for the architectural historian, historic preservationist, and social historian. Since it is uneconomic and unnecessary to retain a complete set of drawings and related records for each construction project sponsored by the Federal government, it is necessary to make a selection of records for permanent preservation. This selection must take into consideration not only the types of records but also the nature of the individual construction projects. The general intent of any selection should be based on documenting the structures and projects that are architecturally, historically, and technologically significant. Criteria for the selection of the significant records are contained in the notes following the schedule. The selection of individual buildings or projects should be made by personnel with appropriate historical training, subject to the approval of National Archives and Records Service (NARS). However, any records created prior to January 1, 1921, must be offered to NARS before applying the disposition instructions in this schedule.

This schedule relates primarily to records on the design and construction of buildings. However, the principles established here can also be applied to other static structures and miscellaneous engineering projects.

DOE AND DOE COST-TYPE CONTRACTOR RECORDS SCHEDULE 22

Those records which are developed during the design process generally consist of:

Initial Design Planning Records. Drawings and sketches that are conceptual in nature, and architectural renderings, that show the basic design features of the project, including building perspectives, elevations, floor plans, and other general features; order-of-magnitude cost estimates and performance schedules; and may include three-dimensional models prepared for illustration or presentation purposes.

Advanced Planning Records. These cover the pre-Title I design activity documentation, including construction project data sheets of other types of project proposals; conceptual design studies and reports, conceptual safety and environmental impact analyses, cost estimates, performance schedules, methods of project performance, and the design criteria for the project; and development of the project management plan.

Preliminary (Title I) Design Records. Title I design studies, and reports summarizing the design results (including more refined definition of project requirements, cost estimates, performance schedules, methods of project performance, safety and environmental impact analyses) and preparation of preliminary drawings and construction specifications.

Final (Title II) Design Records. Title II (final working) drawings, final construction specifications, performance schedules, methods of project performance, final safety and environmental impact analyses (reports); and final project management plan for construction.

Other Engineering and Design Records. Engineering studies and reports, design calculations, analyses, and other engineering data and information developed during project planning and design which document the engineering and design decisions.

Other Documents and Information. Information, correspondence, and other records developed during the planning and design phases, essential to the performance of the processes but not essential for project record purposes following project completion.

Those records which pertain to or are developed during the construction process usually consist of:

Final Working Drawings. (Developed during Title II Design) Architectural and engineering drawings which consist of the master tracings and acceptable reproductions. These drawings provide information about various aspects of the construction of the building or facility including architectural (floor plans, interior and exterior elevations, and sections), ornamental, structural, mechanical, electrical, heating, ventilating, and air-conditioning details, as well as site and landscaping plans. These are important records because they provide not only detailed instructions for the erection of the building, but also present a comprehensive and detailed picture of its design.

DOE AND DOE COST-TYPE CONTRACTOR RECORDS SCHEDULE 22

Final Construction Specifications. (Developed during Title II Design) Detailed requirements for the project which identify materials and workmanship requirements, and explain the materials and equipment items depicted on the related working drawings.

Project Management Plans for Construction. (Developed during project planning and design.) Details of the project work breakdown structure; authorities and responsibilities of participants; performance diagram; and technical, cost, and schedule control systems for the project.

"As Built" Drawings. Annotated copies of final working drawings or additional drawings which show changes in the construction from the original design.

Shop Drawings. Detailed drawings prepared by construction contractors or subcontractors of particular parts of the building which they are to supply or by manufacturers of products to be fabricated or assembled in their shops. These drawings which include plans for architectural features and interior design such as tile and marble work, special cabinet work, elevators, or heating, ventilating, and air-conditioning systems, not only provide instructions for assembling the products on the job site, but may also be necessary for future operation and maintenance.

Repair and Alteration Drawings. Original drawings which depict repairs and alterations to the building as it was originally constructed.

Standard Drawings. Final drawings for standard details and other documents created in their preparation.

Reports and other Documentation. Progress reports, construction completion reports, equipment specifications, operating and maintenance instructions (manuals), warranty data, final inspection and acceptance reports, and other information documenting the construction process.

Other Documentation and Information. Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion (such as interim process reports and other interim project activity information).

ITEM

<u>NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
1.	<u>Project Planning and Design Files</u>	
	a. <u>Initial Design Planning Records</u>	Until project completion (see c., below, for exception); or upon project termination, whichever is earlier.

DOE AND DCE COST-TYPE CONTRACTOR RECORDS SCHEDULE 22

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
✓	<u>Other Planning and Design Records</u> (Advanced planning, preliminary and final design, and engineering/design studies, calculations, analyses, and other engineering/design data documenting design decisions made.)	
	(1) Records of completed projects costing more than \$750,000, or which involve special equipment, systems, or processes.	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier. (See c., below, for exception.)
	(2) Records of completed projects costing \$750,000, or less, which do not involve special equipment, systems, or processes.	10 years after completion of project.
	(3) Records of terminated projects (projects not authorized for design, construction, or fabrication; or terminated prior to completion of any of these activities) costing more than \$750,000, or which involve special equipment, systems, or process projects.	10 years after project is terminated.
	(4) Records of terminated projects (projects not authorized for design, construction, or fabrication, or terminated prior to completion of any of these activities) costing \$750,000, or less, which do not involve special equipment, systems, or process projects.	5 years after project is terminated.
	(5) Miscellaneous planning and design records, information, correspondence, etc., essential to performance of the processes but not essential for project record purposes (such as interim progress reports, preliminary drawings and specifications, and other in-process documentation or information).	Until project completion or termination, whichever is earlier.

DOE AND DOE COST-TYPE CONTRACTOR RECORDS SCHEDULE 22

ITEM NO.	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
b	Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	Permanent. Offer to NARS when file is inactive. (See first paragraph of introduction to this schedule.)
	(1) Project description, location, engineering/design costs and performance schedule.	
	(2) Architectural renderings and final architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).	
	(3) Special engineering/design reports, studies, and data (for projects of technological or architectural significance).	
	(4) Construction Completion Reports.	
	(5) Models.	
2.	<u>Project Construction Files</u>	
	a. Working drawings and construction specifications, "as-built" drawings, shop drawings, standard drawings, repair and alteration drawings, equipment specifications, operating and maintenance manuals, equipment warrantee data, final inspection and acceptance reports, construction cost and schedule data, space assignment plans, and other essential information to document the construction process.	
	(1) For completed projects.	Until dismantlement or disposal of facility, equipment, system, or process; or when superseded or obsolete, whichever is earlier (see d., below, for exceptions).
	(2) For projects terminated prior to construction completion.	5 years after construction is terminated.

DOE AND DCE COST-TYPE CONTRACTOR RECORDS SCHEDULE 22

ITEM NO.	DESCRIPTION OF RECORDS	RETENTION PERIOD
b.	<u>Construction Completion Reports</u> (Documented summary of the project, from design through construction completion.)	20 years, unless covered by exception in d., below.
	(1) For unique or special-interest projects.	
	(2) For other projects.	Until dismantlement or disposal of the facility, equipment, or process; or when superseded or obsolete, whichever is earlier.
c.	<u>Miscellaneous Construction Records.</u> Information, correspondence, and other records developed during the construction process, essential to performance of the process but not essential for project record purposes following project completion.	Until project completion.
d.	Records selected for architectural, historical, and technological significance (see notes at end of schedule for selection criteria).	Permanent. Offer to NARS when file is inactive. (See first paragraph of introduction to this schedule.)
	(1) Project description, location, construction costs and performance schedules.	
	(2) "As-built" architectural and engineering drawings (selected to adequately depict the principal architectural and engineering features).	
	(3) Photographs of completed project.	
	(4) Construction Completion Reports.	
3.	(Reserved)	
4.	(Reserved)	
5.	<u>Finding Aids</u>	
	Indexes and other finding aids to design and construction files.	Destroy in accordance with instructions covering the related design and construction records.

DOE AND DCE COST-TYPE CONTRACTOR RECORDS SCHEDULE 22

<u>ITEM NO.</u>	<u>DESCRIPTION OF RECORDS</u>	<u>RETENTION PERIOD</u>
6.	Quality Assurance Records prepared, received and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems. (Reference for nuclear facilities: American National Standards Institute (ANSI) standard N45.2.9-1974.)	
	a. Records which would be of significant value in demonstrating capability for safe operation; in maintaining, reworking, repairing, replacing or modifying the item; in determining the cause of an accident or malfunction of the item; and those which provide baseline data for inservice inspection.	Until the item is removed from service.
	b. Records which verify that an activity was performed in accordance with the applicable requirements but need not be retained for the life of the plant or item.	
	(1) Records maintained in compliance with regulatory requirements.	Retain in accordance with current regulatory requirements or for nuclear facilities, 6 years after plant or item is put into operation.
	(2) Records for nuclear facilities which are useful through first overhaul or reload.	2 years after plant or item is put into operation or after first overhaul or reload, whichever is later.
	(3) Records which are needed to process and support claims made under the warranty.	1 year after plant or item is put into operation or upon expiration of warranty, whichever is later.
	(4) Records which have no value after plant or item is put into operation.	Until day after plant or item is put into operation.

EXPLANATORY NOTES

Items 1^b and 2^a

Criteria for the selection of architecturally, historically, and technologically significant files:

Architectural Significance

Original Design. Primary consideration should be given to those buildings and facilities which are essentially original in design. Although it may incorporate standard features, a uniquely designed building or facility is one that was designed to meet specific needs or functions, and whose basic design is not repeated in another building.

Standard or Repetitive Design. If buildings or facilities use a standard or repetitive design, it is not necessary to permanently retain a file for each building. However, a file should be retained for the building or facility most representative of the basic design, for each variant of standard designs, and for each repetitive but slightly different design.

Architectural Style. Buildings which embody the distinguishing characteristics of either a period or a regional architectural style.

Innovations. Buildings or facilities which include architectural or engineering innovations.

Historical Significance

Administrative Functions and Activities. Buildings which are associated with the major functions of the Federal government (executive departments, agencies, and bureaus) and the major activities of the various Federal agencies.

National Events or Personalities. Buildings or facilities which are associated with events or persons who represent the broad history of the country.

Noted Architect. Drawings by noted architects or engineers of both proposed and constructed buildings or facilities.

Controversial. Buildings or facilities which were involved in controversy in regard to their design, construction, or utilization.

Technological Significance

This category includes files for such projects as first-of-a-kind energy research, development, or demonstration projects or other unique building or facility projects. Since this is a broad category which covers many different types of technical facilities, specific details have not been attempted. However, permanent records relating to these objects can be chosen more selectively than records relating to buildings. In general, files which show how the project was designed, constructed, and altered, should be retained for a selection of the most unique structures and for a representative sample of repetitive and similar structures.

A selection which is to be based on engineering and historical significance should consider projects which include engineering innovations or prototypes, projects which have achieved national acclaim or controversy, or projects which represent the major product of an agency (such as NASA's spacecraft or TVA's hydroelectric projects). Representative samples should be based on the type of structure or project, cost, and regional variations. Structures and criteria used by the Historic American Engineering Record and similar comprehensive lists can serve as a guideline and minimum standard.

It should be noted that comprehensive site development plans or master plans are closely related to maps. These comprehensive plans can be evaluated in terms of cartographic records (see Schedule 17), while individual buildings and facilities within the system can be evaluated on the basis of this schedule.