

Form AEC-489
(8-61)

U. S. ATOMIC ENERGY COMMISSION
AEC MANUAL

TRANSMITTAL NOTICE

Appendix 0230 RECORDS DISPOSITION

SUPERSEDED:

TRANSMITTED:

Number	Date	Number	Date
TN _____		TN 0200-16	
Chapter _____		Chapter _____	
Page <u>iii, 9, 10, 13, 17, 18</u>	<u>10/3/60</u>	Page <u>iii, 9, 10, 13, 17, 18</u>	<u>12/18/61</u>
<u>Exhibit 5</u>	<u>10/3/60</u>	<u>Exhibits 5, 6, 7</u>	<u>12/18/61</u>
Appendix <u>0230 (handbook)</u>		Appendix <u>0230 (handbook)</u>	

REMARKS:

The attached pages of appendix 0230 have been revised or prepared to reflect the reporting requirements of the records management program and to clarify requirements regarding microfilming. The reporting requirements were formerly contained in chapter 0220 which was cancelled by TN 0200-15 dated December 18, 1961.

The attached pages are being given limited distribution since they are intended for holders of the original handbook, appendix 0230. All holders of part 0200 receive this Transmittal Notice but not necessarily the revised pages.

RECORDS DISPOSITION

Appendix 0230

TABLE OF CONTENTS

	<u>Page</u>
Foreword.....	v
Part I Records Scheduling and Disposal Procedures and Standards.....	1
A. Summary of Procedure.....	1
B. Inventory.....	1
C. Established Retention and Disposal Standards.....	3
D. Guides for Use of Established Standards.....	3
E. Identifying and Evaluating Nonrecord Material.....	5
F. Record Items Not Covered by Established Standards.....	5
G. Retirement Periods and Cut Off Instructions	5
H. Final Preparation, Coordination and Distribution of RIDS	5
J. Restrictions Affecting the Disposal of Records	6
K. Applying Records Disposition Schedules	8
L. Appraisal.....	10
M. Standard Retention Periods	11
N. Statement of Retention Periods	11
O. Obtaining New Disposal Authority.....	12
P. Disposal of Discontinued Files.....	13
Q. Indefinite or Permanent Records.....	13
R. Microfilm Projects.....	13
Part II Standards for Retirement and Storage of Noncurrent Records.....	15
A. Retirement Standards.....	15
B. Establishment of Records Storage Facilities	16
C. Records Centers	17
D. Records Storage Areas.....	20
E. Transfers of Records	21
Annex A Definitions.....	23
Annex B AEC Records Retention and Disposal Schedules	
Annex C Cost-type Contractor Records Retention and Disposal Schedules	
Exhibit 1 Form AEC-384, "Records Inventory and Disposition Schedule"	
Exhibit 2 Form AEC-384a, "Records Inventory and Disposition Schedule (continuation sheet)"	
Exhibit 3 Form AEC-331, "Records Retention and Disposal Authorization"	
Exhibit 4 Cost Comparison-Microfilm vs. Storage	
Exhibit 5 Retirement of Records (suggested form)	
Exhibit 6 Form AEC-317, "Annual Report of Records Holdings"	
Exhibit 7 Standard Form 137, "Agency Records Center Annual Report"	

RECORDS DISPOSITION

APPENDIX 0230

files have been established for several years. After the initial disposals have been made, the remaining records which are eligible for retirement should be removed from the files and retired immediately.

6. Periodic Applications. Subsequent periodic disposals should be made at intervals corresponding to the type of retention period. For example, a retention period of "three fiscal years" should be applied about July 1 of each year. Thus on July 1, 1961, all records of the filing unit from July 1, 1957 to June 30, 1958, would be disposed of, thereby retaining records for three fiscal years (July 1, 1958 through June 30, 1961). On July 1, 1962, records will be on hand for four fiscal years (July 1958 through June 1962). At that time, one year's records would be disposed of (July 1958 through June 1959) and three years records would be retained.

Retention periods stated or implied in calendar years should be applied about January 1 each year, disposing of and retaining records for complete calendar years (January through December).

Retention periods in terms of months, as six months or three months, should be applied each month. Thus for a record with a retention period of six months, the maximum retention would be seven months and the minimum six months.

Retention periods ending or beginning upon the occurrence of an event are applied literally without regard to complete years. Thus a period of "five years after final settlement of contract" means that if the contract was settled or paid off on March 1, 1957, the records are disposable on March 1, 1962, and should be disposed of at that time.

A retention period stated in terms of years but which is contingent upon the occurrence of an event is applied at the end of the time interval if the event has occurred; otherwise it is applied when the event occurs. For example, an accounting record has a retention period "three years, provided notice of completion of GAO audit has been received." On July 1, 1961, the records for the period July 1957 through June 1958 would be disposable under a three-year period. However, if the last GAO notice of audit completion covered the period through June 1957, the three-year period cannot

be applied. If the GAO notice is received in November 1961 covering the period through June 1958, the records for the fiscal year July 1957 through June 1958 should be destroyed immediately.

7. Follow-up Actions. Unless responsibility for applying schedules is centralized for an operations office or contractor organization, local procedures should be established providing for annual or semiannual follow-ups to assure that files custodians dispose of records periodically in accordance with approved schedules. One of several methods as described below may be effective depending upon local circumstances and preferences.

- a. The Records Officer reviews the files of each organizational unit and checks the retained records against RIDS. He reconciles any discrepancies by assisting the files custodian in disposing of any over age records or by reporting such discrepancies as appropriate.

This method of follow-up is generally the best since the Records Officer can, at the same time, review files for other purposes. For example, he may find that the most appropriate kind of filing equipment is not being used or that the filing system should be changed. Also he can gather data on records holdings and disposals as required by subsection 0230-046 (see exhibit 6).

- b. Each organizational unit is required to submit an annual report on records disposals making references to the items on its RIDS and giving volume and inclusive dates for each item disposed of.

This method requires considerable paperwork but it may be desirable for installations committed by policy and experience to decentralized operations.

- c. Internal audit groups check the application of RIDS in connection with their periodic financial and functional audits.

This method is effective only if audits are made of the entire installation once a year.

As a corollary or supplement to any follow-up method, a central review

APPENDIX 0230

RECORDS DISPOSITION

should be made of all requisitions or requests for filing equipment to assure that disposable or retireable records are not being retained in office space and equipment.

8. Reviews of Schedules. The schedules shall be reviewed at least once annually to effect any changes necessary to maintain their current status. Such changes may include:
 - a. shortening of retention periods as a result of re-evaluation of long term or indefinite records or to conform with changes in AEC retention and disposal standards.
 - b. occasional lengthening of retention periods when necessary to meet local requirements, or to conform with changes in AEC retention and disposal standards.
 - c. addition of new items to the schedule consisting of filing units created since original schedule was prepared, or of items overlooked in original inventory.
 - d. removal or deletion of items from the schedule consisting of discontinued files which have been disposed of in their entirety.
 - e. changes in retirement periods to meet reference needs of the organization.

L. Appraisal

As indicated in section F above, record items on the inventory not covered by existing retention and disposal standards are appraised or evaluated to determine appropriate retention periods. These items should have been identified on the inventory with "to be developed" posted in column 7 of the RIDS form. The recommended retention periods, when finally approved, will become AEC-wide standards unless the records involved are unique to the installation. In appraising records for retention and disposal, consideration is given to existing standards and to administrative, legal, scientific, research and historic values.

1. Existing Standards. AEC and contractor records schedules, containing approved retention and disposal standards, provide practical guidance in developing retention periods for related or similar records. They should be used for this

purpose during the appraisal process in order to maintain consistency in the establishment of retention periods.

2. Administrative Values. A records administrative value is its usefulness in carrying on the activities of the organizational unit, the over-all organization, or the AEC as a whole. Past and present reference requirements normally indicate administrative value and, for most records, provide sufficient appraisal data for establishing retention periods. However, some records possess continuing administrative values and should be preserved for long or indefinite periods even though normal references are limited to a short period of time. In this group are those which document the development and establishment of programs, policies and procedures and those reflecting the organization of AEC and its components. For example, record copies of organization charts with functional statements, record copies of local supplements to AEC manual chapters and local issuances not based on AEC Manual chapters, together with supporting case files of comments and concurrences, are retained indefinitely even though there may be no reference to the completed files.
3. Legal Values. Records have legal value if they contain evidence of legally enforceable rights or obligations of the Government. Among the obligations are the legal rights of persons, both employees and nonemployees, to make claims against the Government. Records having legal value include those showing the basis for action, such as legal decisions and opinions; and documents representing legal authority or agreements, such as title, leases, and contracts.

In imputing legal value to records, the probability of the records in question being needed as evidence should be considered. Statutes of limitations are not necessarily controlling factors in the establishment of retention periods. For example, contractors paid payroll checks are disposable after three years even though in most jurisdictions the applicable statute of limitations is six years. In this instance experience shows that controversies and claims over the payment of wages and salaries arise in a matter of hours or days--not of years.
4. Audit Values. The value of the records for audit purposes should be taken into

Approved: December 18, 1961

10

RECORDS DISPOSITION

APPENDIX 0230

2. Headquarters Actions, Forms AEC-331 are examined at Headquarters for conformance with established policies, regulations and statutes; coordinated with interested divisions and offices; and reviewed by the Office of the General Counsel. Unless the record is unique to the submitting office or installation, the request for congressional or other disposal authority is written to cover similar records wherever located. When the authorities are obtained, they are posted to the forms AEC-331, and the originals and samples are returned to the submitting operations office. If the authorities are applicable to all AEC offices and/or all cost-type contractors, other operations offices, as well as the submitting office, are so advised. Action is taken to publish the newly obtained disposal authorizations in annexes B and C of this handbook. However, pending publication, the authorities may be used wherever applicable.

P. Disposal of Discontinued Files

While part I is concerned primarily with the periodic disposal of records through the establishment and application of retention periods, it is recognized that many records of AEC and its contractors do not lend themselves to the scheduling process. These records consist of discontinued files which have no further retention values. Records which have ceased to accumulate and which possess insufficient values to warrant further retention are disposed of in their entirety as soon as authority is obtained. Form AEC-331 is utilized for requesting authority for the immediate disposal of discontinued files in the same manner as it is used for the establishment of retention standards.

Q. Indefinite or Permanent Records

Form AEC-331 is also prepared for filing units on RIDS scheduled for indefinite or permanent retention unless the records are designated for such retention in the applicable retention and disposal standards.

While Headquarters and congressional approvals are not required for indefinite retention periods, a copy of the form AEC-331 is sent to Headquarters for use in establishing retention standards as appropriate.

R. Microfilm Projects

Microphotography, to be followed by the destruction of the original papers, may be considered as a means of reducing the bulk of records material. However, microfilming is not always an economic solution to records retention and storage problems. Records which are disposable in 15 years or less can usually be stored during the entire period for less than the cost of the microfilming operations. A chart illustrating a comparison of average costs is provided in exhibit 4.

Form AEC-331 is utilized to request authority to microfilm records when the object is to destroy the paper materials. Proposals for the arrangement, identification, indexing, and a cost comparison should be included with the form AEC-331. Microfilming operations shall not be initiated until Congressional approval is obtained. Several AEC-wide authorities have been obtained for microfilming specific records of AEC and contractor activities as indicated in the retention and disposal schedules published in Annexes B and C. These and other AEC or contractor records for which authorities are obtained may be microfilmed upon the approval of the appropriate field office.

All microfilm projects shall be accomplished in accordance with the standards prescribed in GSA Regulations, Title 3, Federal Records, Section 105.00, Reproduction of Permanently Valuable Records, and with applicable security regulations.

Offices desiring guidance in the technical aspects of microfilming should refer to Technical Manual TM 12-257, "Microfilming of Records," issued by the Department of the Army.

RECORDS DISPOSITION

APPENDIX 0230

A few AEC field offices operate records centers and submit annual reports on their activities as required by subsection 0230-046 (see exhibit 7). Other field offices and several area offices maintain records storage areas to house noncurrent records.

Several of the larger contractors operate records centers. Many others maintain records storage areas for non-current records.

C. Records Centers

1. Purpose. A records center is a facility especially equipped for the storage of large collections of noncurrent records and staffed to perform necessary and appropriate records services. Such facilities are designed to:

- a. Preserve records in economical space and equipment.

Storage space costs less than office space. Steel shelving and cardboard boxes cost much less per cubic foot of capacity than filing cabinets and card files.

- b. Release filing equipment for reuse in housing current records.

This prevents the purchase of additional filing equipment.

- c. Reduce the requirements for expensive office space by transferring records from existing office space.

- d. Provide reference service by furnishing the records or the information therefrom.

Many records centers furnish faster reference service than is provided by the current files organization.

- e. Protect records of permanent, indefinite or long-term values.

Good records centers usually afford better facilities for the protection and preservation of concentrated collections of records than is practical for the individual offices served by the center.

- f. Identify and dispose of useless records in accordance with approved disposition schedules.

Records center personnel are skilled in the use of disposition schedules. They know how to apply retention periods and have access to facilities for burning or otherwise disposing of records.

2. Cost standards. Since the main purpose of a records center is to preserve and service records economically, careful consideration should be given to costs before deciding to establish a records center instead of a records storage area. Initial costs and annual operating costs are both pertinent cost factors. Initial costs include construction of a building or renovation of an existing structure, and procurement of equipment such as steel shelving and cardboard boxes.

For the purpose of making cost estimates on an annual basis, all building costs are prorated (amortized) over 20 years and equipment costs over 10 years. These annual amounts are added to regular annual operating expenses (salaries, space maintenance, etc.) to arrive at the total annual cost. If the total annual cost is more than \$3.00 per cubic foot of records to be housed in the facility, the records center is not economically sound. A cost of less than \$2.00 per cubic foot is more to be desired.

An example is given below to illustrate the application of the cost principles stated in the above paragraph. Most of the figures are taken from an actual records center in the AEC program; the remainder are based on averages.

APPENDIX 0230

RECORDS DISPOSITION

	<u>Initial Costs</u>	<u>Annual Costs</u>
Cost of building - new construction	\$26,000.00	
Cost per year (prorated over 20 years)		\$1,300.00
Cost of equipment		
Steel shelving	4,000.00	
Cardboard boxes	1,000.00	
Other equipment	100.00	
	<u>5,100.00</u>	
Cost per year (prorated over 10 years)		<u>510.00</u>
Total building and equipment cost	31,100.00	1,810.00
Personnel cost per year (one person)		6,000.00
Other annual expenses		200.00
		<u>8,010.00</u>
Cubic feet of records to be housed		(5,000)
Annual cost per cubic foot		\$1.60

Since the annual cost is much less than \$2.00 per cubic foot, the records center is economically sound.

3. Staffing standards. The number of employees needed to operate a records center is dependent upon several factors which affect the workload. These are:
- the volume of records in the custody of the center.
 - the degree of activity in the records, or the frequency of reference.
 - the quantity and variety of records received by the center periodically.
 - the proportion of records subject to periodic disposal.
 - the amount of security classified records received, stored, serviced and disposed of.
- A study of several AEC and contractor records centers indicates that the volume of records on hand (3a. above) is the most logical single factor on which to base staffing estimates. Thus it is apparent that one employee is needed for each 3500 to 4500 cubic feet of records in the custody of the center. This figure may, therefore, be used as a guide in planning new facilities and in evaluating established ones.
- An average AEC-contractor records center (according to the study referred to above) would have 12,000 cubic feet of records on hand. Five to ten percent of these would be security classified thereby requiring special handling in receipt, charge-out, and disposal. Three employees would man the facility.
- About 8000 reference services would be furnished annually. Approximately 1200 cubic feet of records would be received by the center each year and a comparable amount disposed of.
4. Space standards. Records centers should be established in accordance with the space and layout standards set forth below:
- Centers should be established in existing low cost structures instead of in newly constructed buildings. Warehouse-type buildings of masonry or brick construction are preferred with large undivided floor areas and a ceiling height of at least 12 feet. Such buildings normally are not suitable for office space but are well adapted to records center use.
 - Adequate fire protection should be available. An automatic sprinkler system with hourly guard inspection at night is usually sufficient for this purpose.
 - If classified records are to be stored, adequate security safeguards should be established in accordance with local requirements. Minimum safeguards consist of vault-type doors with combination locks and protected windows.
 - Whenever practical and economical, consideration should be given to the joint use of one building by AEC and on-site contractors.

Approved: December 18, 1961

RECORDS DISPOSITION

EXHIBIT 5

APPENDIX 0230

RETIREMENT OF RECORDS					Page ____ of ____
Shipment Number	Retiring Office	Location	Custodian	Volume of Records	Access (authorized to use) <input type="checkbox"/> Not Restricted <input type="checkbox"/> Restricted (Furnish Names or Titles)
Box No.	Description of Records	Inclusive Dates		Highest Security Class.	Retention Period and Schedule Reference
		From	To		

The above described records have been received in the Records Center

Signature

Date

Approved: December 18, 1961

APPENDIX 0230

RECORDS DISPOSITION

EXHIBIT 6

Form AEC-317
(12-61)

ATOMIC ENERGY COMMISSION
ANNUAL REPORT OF
RECORDS HOLDINGS

1. To:			
2. From (Installation reporting):			
3. Fiscal year ending:			
4. Volume of records (cu. ft.):	AEC	Contractor	Total
(a) At beginning of reporting period.....			
(b) Destroyed.....			
(c) Transferred outside custody of reporting office. (Indicate below organizations receiving records.).....			
(d) Received by transfer from outside reporting office. (Indicate below organizations transferring records.).....			
(e) At end of reporting period.....			
5. Cubic feet of records included in 4(e) above, located in records center or other facility established and equipped for economical storage and servicing of noncurrent records.....			
6. Percentage of records by volume inventoried and scheduled for retention or disposal.....			

7. This space for additional information, if necessary

8. Name and title of person signing report	9. Signature
	10. Date

INSTRUCTIONS FOR PREPARING REPORT

Letter of transmittal is unnecessary in submitting this report.

Include nonrecord material except library books and bulk files of publications and processed documents.

Custody rather than ownership is the determining factor in reporting records in the AEC or Contractor column.

Volume of records at the beginning of the reporting period (Item 4(a)), should be the same as reported at the end of the reporting period (Item 4(e)), on the previous year's report. Necessary adjustments should be reflected in Items 4(b), (c), or (e) of the current report and explained in Item 7 of the report form.

Records inventoried and scheduled for retention or disposal (Item 6), refers to those records covered by approved Records

Inventory and Disposition Schedule, Form AEC-384, or equivalent.

Cubic feet may be calculated as follows:

Filing cabinets (letter or legal size)..... 1 1/4 cu. ft. per drawer
Bookcases..... 2 cu. ft. per section
Transfer case..... 1 1/4 cu. ft.

Card files:

3 x 5..... 1/10 cu. ft. in 12 linear inches
4 x 6..... 1/6 cu. ft. in 12 linear inches
5 x 8..... 1/4 cu. ft. in 12 linear inches
Tabulating cards..... 10,000 per cu. ft.

Map cases and other outsized equipment—inside cubic measurement of containers.

Approved: December 18, 1961

RECORDS DISPOSITION

APPENDIX 0230

EXHIBIT 7

STANDARD FORM 137 APRIL 1953 GENERAL SERVICES ADMINISTRATION REGULATION NO. 3-IV-401.00		AGENCY RECORDS CENTER ANNUAL REPORT		1. REPORT FOR FISCAL YEAR ENDING	
				2. DEPARTMENT OR AGENCY	
<i>INSTRUCTIONS:</i> This form (original only) is to be submitted within 60 days after the close of each fiscal year to the National Archives and Records Service, General Services Administration, Washington 25, D. C., for each Agency Records Center.				3. LOCATION OF RECORDS CENTER (<i>Street, city, and State</i>)	
				4. Volume of records on hand at the beginning of the fiscal year (<i>cubic feet</i>)	
5. Volume of records accessioned during the fiscal year (<i>cubic feet</i>)				10. Average amount of space occupied by the center during the fiscal year (<i>sq. ft.</i>)	
6. Volume of records disposed of during the fiscal year (<i>cubic feet</i>)				11. Number of 4- and 5-drawer units of steel filing equipment utilized at the end of the fiscal year	
7. Volume of records transferred from the center during the fiscal year (<i>cubic feet</i>)				12. Number of steel transfer cases (drawers) utilized at the end of the fiscal year	
8. Volume of records on hand at the end of the fiscal year (<i>cubic feet</i>)				13. Total number of reference services during the fiscal year*	
14. DATE				16. SIGNATURE	
15. TITLE OF PERSON SIGNING REPORT					

NOTE: Nonrecord material is to be included in the volume totals.

*Reference services comprise (1) each file item furnished on loan or for reproduction or for reference use in the center and (2) each occasion on which information is furnished from the records (orally or written). A file item may be a single document, a folder, a bound volume, etc., depending upon the physical manner in which the records are stored, removed and furnished to the inquirer. If the request is for one document or several documents filed separately, each document constitutes a file item. If the request is for certain folders, each folder constitutes an item, etc.

Approved: December 18, 1961

GPO 922880