REQUEST FOR RECORDS DISPOSITION AUTHORITY

JOB NUMBER: N1-434-06-1

To: NATIONAL ARCHIVES & RECORDS ADMINISTRATION
8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001

Date received: 6-19-2006

1. FROM (Agency or establishment)
United States 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request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.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	4. TELEPHONE NUMBER	DATE	ARCHIVIST OF THE UNITED STATES
Madelyn Marie Wilson One Science.gov Way Oak Ridge, TN 37830	(865) 576-8408	4/24/08	Allen Weinstein

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 7 page(s) are not needed now for the business for 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,

☒ is not required ☐ is attached; or ☐ has been requested.

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
6/13/06	Sharon A. Edelin	Records Officer IM-11

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	SEE ATTACHED SHEET(S) FOR: **Record Series Title**: Research and Development (R&D) Technical Report Files (Scientific and Technical Information) **Description:** Official record copy of unclassified, unlimited access; unclassified limited access, and classified scientific and technical information products including reports generated as a result of Research Development and Demonstration funded by the Department of Energy (DOE) and its predecessor agencies. The collection is comprised of paper, microfiche, and electronic records. **See Attachments**	(FAXED) Sent to OSTI (Madelyn Wilson) 5/28/08 MAWallace	

10 5/4/08 Copies sent to agency, NWML, NWMC, NWCC

115-109 PREVIOUS EDITION NOT USABLE

STANDARD FORM 115 (REV. 3-91)
Prescribed by NARA 36 CFR 1228

Request for Records Disposition Authority Standard Form 115

Records Series Title: Research and Development (R&D) Technical Report Files (Scientific and Technical Information)

Description: Official record copy of unclassified unlimited access, unclassified limited access, and classified scientific and technical information products including reports generated as a result of Research Development and Demonstration funded by the Department of Energy (DOE) and its predecessor agencies. The collection is comprised of paper, microfiche, and electronic records.

Office of Scientific and Technical Information
Per 36 CFR Part 1228.28

1. **Records Series Title:** Research and Development (R&D) Technical Report Files (Scientific and Technical Information)

2. **Description:** Official record copy of unclassified unlimited access, unclassified limited access, and classified scientific and technical information products including reports generated as a result of Research Development and Demonstration funded by the Department of Energy (DOE) and its predecessor agencies. The collection is comprised of paper, microfiche, and electronic records.

3. **Inclusive Dates:** 1943 - Present

4. **Arrangement:** Reports are filed alphanumerically by report and bar code identification numbers

5. **Access:** Reports covered under this Request for Records Disposition Authorization are:

   A. **Unlimited Access** - Unclassified publicly available documents.

B. **Limited Access** - Unclassified Controlled Nuclear Information (UCNI) - Section 148 of the Atomic Energy Act of 1979, as amended (42 USC 2168).

C. **Limited Access** - Export Controlled - Nuclear Nonproliferation Act of 1978, Atomic Energy Act of 1954 as amended (42 USC 2077); Arms Export Control Act (22 USC 2751); and Export Administration Act of 1979 as amended (50 USC 2401).

D. **Limited Access** - Commercial Information - Proprietary (48 CFR 952.227) and (5 USC 552) Cooperative Research and Development Agreements (CRADA) National Competitiveness and Technology Act of 1989; Small Business Innovative Research (SBIR), Public Law 97-219; the Small Business Innovation Development Act of 1982 as amended (15 USC 638).

E. **Limited Access** – Translations of copyrighted material.

F. **Limited Access** – Applied Technology – Nuclear Reactor information -10 CFR Part 810, and/or may be subject to Section 127 of the Atomic Energy Act of 1954 as amended (42 USC 2168).

G. **Classified** – From Confidential/National Security Information to Secret/Restricted Data. Various special access documents are included, such as Nuclear Weapons Data and Foreign Intelligence Information. All restrictions on access are outlined by the Department of Energy policy.

OSTI is responsible for the determination of authorized recipients Pursuant to DOE O 470.4 (Order, 08/26/2005, SO) Safeguards and Security Program, OSTI is designated as a Class A facility and complies with Departmental regulations pertaining to the storage, receipt, and dissemination of classified materials.

6. **Annual accumulation:** Hard copy and microfiche approximate annual accumulation is 600 cubic feet prior to 1998.

7. **Volume to date:** Approximately 30,000 cubic feet for hard copy and microfiche.

8. **Annual bibliographic records** – 15-20 MB

9. **Annual full text records** – 15-20 GB

10. **Disposition:** Permanent

Appraisal – The Office of Scientific and Technical Information (OSTI) provides a centralized base of support for DOE and its contractors to assist in scientific and technical

information activities and services the DOE community by providing access to all DOE scientific and technical research reports. In addition, the collection is in support of the Energy Policy Act of 2005 also referred to as Public Law 109-58, Subtitle G-Science, Section 982 - Office of Scientific and Technical Information which states: "The Secretary, through the Office of Scientific and Technical Information, shall maintain within the Department publicly available collections of scientific and technical information resulting from research, development, demonstration, and commercial applications activities supported by the Department." The Collection is used daily for reference, research, duplication, and dissemination to authorized recipients. For example, there were over 38 million accesses to OSTI's unclassified systems in FY 2005. Information is also exchanged with the Department of Defense and to a lesser degree with other agencies via approved mechanisms. Unlimited access documents are made available to the public primarily via DOE Information Bridge, http://www.osti.gov/bridge/, the National Technical Information Service (NTIS), and the Government Printing Office (GPO) Depository Libraries.

Prior to FY 2000, DOE and its Contractors were required to send hard copy of their STI products to OSTI for archiving and preservation purposes. Effective FY 2000, OSTI established a policy for DOE and Contractor Offices to submit scientific and technical information products in an electronic format. Metadata describing the electronic documents are provided via a web form or an XML file. Acceptable formats for electronic records submission are: Adobe Acrobat Portable Document Format (PDF) and Microsoft Word Documents (all MS Word documents are converted to PDF format as part of record processing). In 1998, OSTI began scanning its pre-1995 paper documents. Paper documents received since 1995 have been scanned and converted to PDF format.

Based on OSTI's role within the Department of Energy in support of Departmental research activities, the incorporation of this activity into OSTI's current operations, and per guidelines presented in 36 CFR Part 1220, the following disposition is requested:

Disposition Instructions for Unclassified Publicly Available Records

Description	Requested Disposition	
Item 1. Electronic Copy of each report submitted to OSTI and electronic copy of each paper and microfiche copy scanned or converted to electronic format by OSTI.		
Item 1(a): Paper Unclassified (including declassified) and ~~Limited~~ Unlimited Access Records and/or NARA's expanded transfer guidance products	Permanent: Beginning January 2010, transfer to NARA for pre-accessioning electronic copies of reports reviewed for declassification to date in accordance with 36 CFR 1228.270. Thereafter, biennial transfer for pre-accessioning to occur. Legal transfer to occur when records are 50 years old, at which point, NARA may include these records in its publicly-accessible archives.	per e-mail 8-28-06 M. Wilson
Item 1(b): Paper Classified Records	Include only those records that have been determined to be unclassified based on DOE's declassification activities and requirements. Declassification will be based on all applicable DOE Orders, Manuals, Guides, etc. In addition, declassification will adhere to Executive Order 12958 as amended, and all other applicable Federal rules and regulations. ~~Include declassified records in Item 1(a) that meet the above defined criteria.~~	Instruction per e-mail 8-28-06 M. Wilson
Item 2. ~~Copies of each~~ report retained for business use to fulfill obligations prescribed under Public Law 109-58.	Destroy when no longer needed for ~~business~~ purposes.	non-record
Item 3. Unclassified and Unlimited Paper Copies	OSTI maintains paper copy until it is scanned to electronic media. Destroy when scanned, verified, and no longer needed for business purposes.	
Item 4. Unclassified and Unlimited Microfiche Copies	OSTI maintains microfiche copy until it is scanned to electronic media. Destroy when scanned, verified, and no longer needed for business purposes.	

Item 5. Cumulative Index with approved metadata fields.	Permanent: Transfer 1943 to present unclassified and unlimited records with bibliographic citations for electronic full text records held at OSTI, and the bibliographic citations of the full text records without the PURLS in a Dublin Core XML format upon approval of the schedule. Thereafter, transfer biennially along with related records covered under Item 1. Transfer to be in accordance with 36 CFR 1228.270.

Numerical Code (No Longer In Use)	Previous Name	Current Name
020	Document Type (Distinguishes between reports, books, etc.)	Resource Type
030	Classification (The security classification of the document)	Access Limitation
062	Analytic Author Affiliation (Name of author (s) & association)	Author
110	**Title**	**Title**
112	**Subtitle**	**Title**
116	**Collection Title**	**Title**
118	**Collection Title**	**Title**
130	**Series Title**	**Title**
132	**Series Subtitle**	**Title**
	NOTE: The bolded fields have been combined into one title field.	
150	Report Number (Primary identification number assigned by issuing organization)	Report Number
210	Secondary Report Number (Number used with the Report number to identify a document)	Other Report Number, which may or may not be available in the data field.
220	Patent Number	Patent Number is now included in the report number field.
290	Document Number (Another identification number, but this one is assigned by OSTI available from 1982-)	OSTI Identification Number
300	Patent Assignee Text	Rights
370	Publication Date (May be useful for searching for information generated during a certain time frame)	Publication Date
372	Copyright (A yes/no field stating whether the document is copyrighted—available from 1990-)	Copyright restriction (A flag indicates if there is a copyright restriction.)
390	Pages Bibliographic	Number of Pages
540	EDB Subject Categories	Subject
950	Abstract (Text Summary)	Description/Abstract (text summary)