DOE R&D Records Schedule Summary

Overview

[For full text of schedule, go to
http://cio.doe.gov/RBManagement/Records/PDF/ResearchDev.PDF]

R&D records consist of information generated by scientific and technical activities and collaborations that result in new or modified concepts, techniques, equipment, and materials. Such activities may include:

a) administering technical projects
b) establishing research priorities
c) developing theories and models
d) planning and designing experiments
e) conducting experiments
f) compiling, reviewing, and disseminating technical reports, presentations and published articles.

R&D records can document:

a) program direction, review, appraisal or analysis
b) the research activity's overall organization, functions, procedures and operations, and
c) the research activity's results and conclusions which may have value for future researchers.

Types of R&D Records

1. Research & Development Project Records

   A. R&D Project Case Files (includes all records related to the project -- almost never happens at LBNL)

   B. R&D Record Series.
      1. Administrative records (correspondence on project justification, staffing, initiation or execution; project management plans, periodic status reports.)
      2. Financial documents
      3. Contractual and procurement documents (funded proposals, sponsor contracts, subcontracts, contract specifications, statements of work, letters of instruction, related service agreements and accompanying instructions and technical procedures and study protocols; procurement specifications and purchase orders and any subsequent revisions).
      4. Quality assurance documents (quality assurance plans, and related reports of QA audits, project assessments, nonconformance and corrective action reports, deficiency reports, and certificates of conformance).
      5. Reports of inventions, disclosures/patents and copyrights.
      6. Design documentation.
      7. Basic data sheets and data logs.
      8. Computer code documentation and software/hardware requirements

9. Technical documents (technical papers, significant technical correspondence, engineering plans and drawings, final reports, photographs and negatives related to the project; test schedules, specifications, final approved standards, final research data, statistical analyses, tables, charts, graphs, computer printouts or analyses of scientific or engineering data, and other accumulated records documenting the progress and completion of R&D projects).
10. Supporting technical information (preliminary reports, notes and working papers, computer printouts, draft copies of papers used by technical writers and any other preliminary or draft copies).
11. Preliminary sketches, drawings, specifications, and photographs.
12. Raw data in various media (punch cards, computer printouts, magnetic tapes, videotapes, photographs used to collect and assemble data for experiments or observations).
13. Evaluated or summarized data (resulting from study of raw data including memoranda, graphs, tabulations, reports, log books, and related papers).
14. Controlled notebooks (issued to researchers to document research results).
15. Technical Progress Reports.

2. Research & Development Program Management Records **(**document research and development program management decisions, direction, policies and responsibilities, and the planning and status of research projects within a program)

   A. R&D Program Planning Records
      1. Records maintained by DOE Headquarters Program Manager.
      2. Records maintained by each Laboratory, Director or equivalent.
      3. Records maintained by other contractor organizations.

3. Medical Research Records (records of ongoing clinical research programs and clinically-based experimental treatment programs including research activities that involve human subjects)

   A. Patient Case Files (records of patients treated by physicians as a part of ongoing clinical- research programs and clinically-based experimental treatment programs).
   B. Medical Research Case Files (document the history of research projects on human subjects from initiation to completion, and include records relating to the prospective evaluation of the safety and efficiency of proposed diagnostic, therapeutic, or preventative treatments as well as research, development, design and test results).
   C. Medical Equipment Data Records.

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Records Retention

The length of time that R&D records will be kept is determined by the significance of the project. Based on the significance of the project, R&D records are assigned one of three levels of retention:

Level I: Permanent
Level II: Destroy 25 years after termination of the project/program
Level III: Destroy 10 years after termination of project/program

Records Review

R&D records should be reviewed by a Lab Archivist /Records Manager along with the principal investigator(s), project researchers, current records holders, and subject matter experts at project closure to determine how long the records will be kept.

Upon evaluation of the records, the Lab Archivist/Records Manager will ask that certain information be provided, including summary of the project, official name of the project, names of the principal researchers, and a general statement regarding historical value of materials.

Please contact Special Projects Archivist Beret Ranelletti (BARanelletti@lbl.gov or ext. 4685) for assistance in archiving research and development records. There is no charge for this service.