

EIA RECORDS SCHEDULE (EIARS)

N1-434-96-002

EXECUTIVE SUMMARY

The establishment of the Energy Information Administration (EIA) as an independent statistical agency within the U.S. Department of Energy in 1977 was a result of enabling legislation that charged the EIA to maintain a comprehensive data and information program relevant to energy resources and reserves, energy production, energy demand, energy technologies, and related financial and statistical information relevant to the adequacy of energy resources to meet the Nation's demands in the near and longer term future. The EIA was also charged to develop and maintain analytical tools and data collecting and processing systems; provide accurate, timely, and objective analysis, and provide information dissemination services.

To fulfill its mission, the EIA conducts survey and data collection operations, produces energy analysis and forecasts, publishes data and analysis reports and disseminates energy information by mail, telephone, facsimile, World Wide Web, and other electronic media. The major audiences of the EIA include Congress, Government, industry, academia, media, and the public.

In concert with information dissemination, the EIA is responsible for managing the massive amounts of information it generates. In 1995, the EIA submitted proposed disposition schedules for records of the EIA that did not have National Archives and Records Administration (NARA) approved dispositions. In January of 1998, NARA approved the schedules, with some changes. The Energy Information Administration Records Schedules contained herein are the result of the approval efforts.

The disposition schedules in this document are the legal authority for the disposition of unique records of the EIA and are for EIA use only. The records schedules are to be used to document the existence of records of EIA offices (and their legal disposition) on the required departmental Records Inventory and Disposition Schedules (RIDS). The acceptance of the schedules by NARA now authorizes and requires the EIA to dispose of expired records, archive longer-term temporary records to the Washington National Records Center (WNRC), and archive permanent records to the National Archives of the United States.

PREFACE

The EIA Records Schedules are arranged in sections for ease of reference. For instance, most records relating to data collection activities are in EIA Section #1, which is the first chapter, and so on. Note that the new number includes the old number, but is preceded by a chapter (or schedule) number. For instance, all file series in Section 1 begin with a 1, then a comma, then the number that was assigned to that particular series (item) when it went to NARA for approval. Hence, EIA 1,09 is the file series item number 09, Survey Processing Records, that was approved by NARA.

Should you have questions regarding this schedule, contact the National Energy Information Center – 202-586-8800.

DATA COLLECTION

EIA 1

Energy Information Administration (EIA) statistical records cover the data collection/survey records used to gather statistics for EIA publications and analyses. The surveys are in electronic and hard copy media and make up the majority of the records in this schedule by volume.

Survey administration records are included in this schedule. The schedule provides disposition instructions for input records, regardless of media, survey development, frame backups, and historical records, in addition to the records created for administering surveys.

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>1,09. <u>Survey Processing Records</u></p> <p>Records created in the process of verification of respondent data. Included are respondent contact records detailing who was spoken with, topic of contact, outcome of the contact, and the reason for the outcome. Other records of significant corrections created to ensure the accuracy and completeness of survey information are also included.</p> <p>a.) Paper records.</p> <p>b.) Electronic records.</p>	<p>a.) Break files by survey year. Destroy when 2 years old.</p> <p>b.) Delete records after 5 cycles of the survey.</p>
<p>1,14. <u>Survey Processing Records - Exception 1</u></p> <p>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, are determined by the division director to have permanent value.</p> <p>a.) Record copy.</p> <p>b.) All other copies.</p>	<p>a.) PERMANENT. Transfer data through 1996 upon approval of schedule. After 1996, cut off annually and transfer to NARA. Transfer will be in accordance with 36 CFR 1228.188.</p> <p>b.) Destroy when no longer needed for reference.</p>
<p>1,16. <u>Documentation for Published Numbers</u></p> <p>Documentation on the source of data published by EIA used to answer queries.</p>	<p>Destroy when 3 years old or when no longer needed, whichever is sooner.</p>

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>1,18. <u>Survey Sample Documentation</u></p> <p>Documentation on the development of survey samples, including correspondence, lists, analyses, and studies.</p>	<p>Maintain in the agency until no longer needed for current business.</p>
<p>1,25. <u>Source Historical/Statistical Records</u></p> <p>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 reports from State mining offices and other records from predecessor agencies and offices. EXCLUDES Bureau of Mines publications that are scheduled separately.</p>	<p>Retire to WNRC when 5 years old. Destroy when 50 years old.</p>
<p>1,26. <u>Survey Input/Source Electronic Data from Outside EIA</u></p> <p>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, and files from State motor vehicle registrations.</p>	<p>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.</p>
<p>1,32. <u>Survey Frame Backups on Electronic Media</u></p> <p>Frame: the explicit display of the population from which the sample is to be chosen. Frame backups are 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.</p>	<p>Delete when data is final or when backup is 3 years old, whichever is sooner.</p>
<p>1,36. <u>Survey Forms History Files</u></p> <p>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 Databases under items 1,14 and 3,27 of this schedule will be included with the database documentation.</p>	<p>For those databases, models, and other types of electronic records which are considered temporary, maintain in the agency until no longer needed for current business.</p>

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>1,37. <u>Survey Forms With Legal Retention Requirements</u></p> <p>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.</p>	<p>Break files annually. Destroy when 3 years old.</p>
<p>1,38. <u>Quality Control Records</u></p> <p>Records developed to check or test the accuracy, completeness, and reliability of data gathered in surveys and of information prepared for publication.</p>	<p>Break 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.</p>
<p>1,42. <u>Electronic Survey Response System - Registrations</u></p> <p>Registration database of software distributed to respondents. Used to send new versions or revisions to respondents.</p>	<p>Delete data when no longer needed.</p>

PUBLICATIONS

EIA 2

EIA's mission is to provide high quality, policy-independent energy information to meet the requirements of Government, industry, and the public in a manner that promotes sound policy making, efficient markets, and public understanding. As EIA is in the business of disseminating information, the statistical energy publications they produce are considered PERMANENT records to the National Archives, regardless of media.

The records generated to administer the publications are temporary and are dispositioned accordingly. They include editorial drafts, camera-ready and negatives, response records, subscription records, and information product development records.

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>2,01. <u>Editorial Files and Author's Drafts</u></p> <p>Prepublication analysis and drafts of articles, reports, graphs, and tables used for editing and review before publication.</p>	<p>Destroy after publication or electronic release or when no longer needed for reference.</p>
<p>2,07. <u>Negatives and Camera Ready Copies</u></p> <p>Negatives and camera ready retained in the event that corrections or reprints are required.</p>	<p>Destroy when superseded or when no longer needed for reprints, whichever is sooner.</p>
<p>2,11. <u>Energy Emergency Response Records</u></p> <p>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.</p>	<p>Maintain in the agency until no longer needed for current business.</p>
<p>2,23. <u>Electronic Publications</u></p> <p>Official copy of EIA publications cleared and released in electronic form.</p> <p>a.) Record copy.</p> <p>b.) Alternate media copies, such as those reproduced on diskette, tape cartridge, computer output microfiche or CD-ROM and used for reference distribution.</p>	<p>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.</p> <p>b.) Delete or discard when no longer needed.</p>

ITEM NO. DESCRIPTION OF RECORDS**AUTHORIZED DISPOSITION**

<p>2,24. <u>Publications</u></p> <p>a.) Record copy of EIA publications cleared and printed for distribution.</p> <p>b.) Microform or alternate media copies produced for ease of distribution or to serve as a source for duplication.</p> <p>c.) All other copies.</p>	<p>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 EIA 2,23 of this schedule is authorized.</p> <p>b.) Discard when no longer needed for reference or reproduction.</p> <p>c.) Discard when no longer needed.</p>
<p>2,35. <u>Subscription Purge Request</u></p> <p>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.</p>	<p>Destroy or delete when 3 years old.</p>
<p>2,39. <u>Information Product Development Records</u></p> <p>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 nation.</p>	<p>Break files by fiscal year or close at project end. Retire to WNRC when 8 years old or when no longer needed for reference.</p> <p>Destroy when 15 years old.</p>

SYSTEMS

EIA 3

The systems described in this schedule are developed to administer surveys and aggregate the information received in the surveys. The records cover computer models, databases, computer programs, electronic survey systems, and their related documentation.

Some of the records generated from the systems provide significant information about the entire energy system of the United States and about international energy markets. The electronic records, according to NARA, may be the only or best source of information in the records. Only or best source records are considered permanent by the National Archives, and cover some of the systems described in the Survey/Model/Database Master Files. The remainder of the dispositions in this schedule are temporary.

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>3,03. <u>Systems Documentation -Record Copy</u></p> <p>Data systems specifications, file specifications, code-books, 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.</p>	<p>Destroy or delete when superseded or obsolete, or upon authorized deletion of the related master file or database, or upon the destruction of the output of the system if the output is needed to protect legal rights, whichever is latest.</p>
<p>3,05. <u>Basic Model Documentation - Record Copy</u></p> <p>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 model 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.</p>	<p>Destroy when no longer required.</p>
<p>3,08. <u>Computer Programs Used to Access Data</u></p> <p>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.</p>	<p>Delete program and discard documentation when no longer needed.</p>

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>3,15. <u>Survey or Model Systems Development Records</u></p> <p>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.</p>	<p>Maintain in the agency until no longer needed for current business.</p>
<p>3,27. <u>Survey/Model/Database Master Files</u></p> <p>Master data files created, processed, and accessed according to ADPS procedures and EIA standards, comprising the data portions of EIA survey databases. Also includes data in the databases used for analysis or publication.</p> <p>a.) Active.</p> <p>b.) Standby or periodic.</p> <p>c.) Discontinued or obsolete.</p>	<p>a.) Maintain active survey records in accordance with ADPS procedures and instructions in the current Energy Information Administration Standards Manual.</p> <p>b.) Archive periodic and standby surveys in accordance with ADPS procedures and EIA standards.</p> <p>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 EIA 1,36 of this schedule.</p>
<p>3,29. <u>Developing Model Documentation - Record Copy</u></p> <p>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.</p>	<p>Destroy when no longer required.</p>
<p>3,30. <u>Auxiliary Model Documentation - Record Copy</u></p> <p>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 codes with comments.</p>	<p>Destroy when no longer needed.</p>

ITEM NO. DESCRIPTION OF RECORDS**AUTHORIZED DISPOSITION**

<p>3,31. <u>Documentation</u></p> <p>Documentation to ensure the 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.</p>	<p>Destroy when superseded or no longer required.</p>
<p>3,33. <u>Data or Model Systems</u></p> <p>Computer programs written in support of all data and modeling systems. Both source code and executable programs are included.</p>	<p>Maintain in agency until no longer needed for current business.</p>

OTHER ELECTRONIC MEDIA

EIA 4

The electronic media schedule provides dispositions for electronic media not described in other schedules of the EIA Records Schedule. They include Frozen Files and International Energy Statistics Files.

ITEM NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

<p>4,02. <u>Frozen Files</u></p> <p>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.</p> <p>a.) For weekly, monthly, and quarterly releases or other releases more frequent than annual.</p> <p>b.) For annual releases.</p> <p>c.) For special and one-time reports.</p>	<p>a.) Maintain in agency until no longer needed for current business.</p> <p>b.) Maintain in agency until no longer needed for current business.</p> <p>c.) Maintain in agency until no longer needed for current business.</p>
<p>4,04. <u>International Energy Statistics</u></p> <p>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.</p>	<p>Maintain in agency until no longer needed for current business.</p>

ADMINISTRATIVE RECORDS

EIA 5

This schedule provides for disposition of certain records common to most offices in the EIA. It covers administrative records, such as Contracting Officers' Technical Monitor Files, planning, Congressional testimony, EEO, calendars, program correspondence, and other temporary records used to carry out the EIA's mission.

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>5,06. <u>Contract Technical Monitor Files</u></p> <p>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 a 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.</p>	<p>Break by fiscal year. Destroy 2 years after termination or renewal of contract.</p>
<p>5,10. <u>Data Request Requiring Compilation or Research</u></p> <p>Requests for publications, for data or for information requiring research, or compilation for reply EXCLUDING requests made under the FOIA.</p>	<p>Break files by fiscal year. Destroy when 3 years old.</p>
<p>5,12. <u>Long Range Planning</u></p> <p>Strategic or long-range plans devised periodically to insure the synchronization of program operations, staffing, budgeting, and funding.</p>	<p>Break files by fiscal year. Destroy records 2 reporting cycles old.</p>
<p>5,13. <u>Congressional Testimony</u></p> <p>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 related matters.</p>	<p>Break by calendar year. Discard or delete when no longer needed for reference or when 15 years old, whichever is sooner.</p>

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>5,17. <u>Survey or Model Manager's Files</u></p> <p>Memoranda, reports, and other records documenting assignments, progress, and completion of projects.</p> <p>a.) Projects performed by contractors.</p> <p>b.) Internal projects.</p>	<p>a.) Destroy 3 years after the year in which the contract is closed or renewed.</p> <p>b.) Destroy when 3 years old.</p>
<p>5,19. <u>Policy Agreements</u></p> <p>Interagency agreements and EIA internal agreements concerning program operation policies.</p> <p>a.) Record copy.</p> <p>b.) All other copies.</p>	<p>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.</p> <p>b.) Destroy when superseded.</p>
<p>5,21. <u>Program Correspondence and Report Files - Record Copy</u></p> <p>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 GRS 23,1, Office Administrative Files.</p>	<p>Break files at end of fiscal year. Retire to WNRC when 7 years old. Destroy when 15 years old.</p>
<p>5,22. <u>Briefing Records</u></p> <p>Records maintained at each management level detailing operations. Used to brief new managers and as a record for reference during emergencies.</p>	<p>Update with new information. Destroy when superseded.</p>
<p>5,28. <u>Schedules of Daily Activities -EIA Administrator</u></p> <p>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.</p> <p>a.) Records containing substantive information relating to official activities, the substance of which has not been incorporated into official files.</p> <p>b.) Records documenting routine activities containing no substantive information and records containing substantive information, the substance of which has been incorporated into organized files.</p>	<p>a.) Destroy or delete when 10 years old.</p> <p>b.) Destroy or delete when no longer needed.</p>

ITEM NO. DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

5,34. 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.

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

SPECIAL PROJECTS

EIA 6

This schedule provides disposition for special and one-time studies and research and analysis files.

ITEM NO. DESCRIPTION OF RECORDS	AUTHORIZED DISPOSITION
<p>6,40. <u>Reserve Studies and Unique Research/Project Records</u></p> <p>Research projects on reserves and projects done only once to gather base information or to test assumptions.</p>	<p>Retire to WNRC when 5 years old. Destroy when 50 years old.</p>
<p>6,41. <u>Research and Analysis Records</u></p> <p>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.</p>	<p>Retire to WNRC when 5 years old or when no longer needed for reference, whichever is longer. Destroy when 15 years old.</p>

NONRECORD

EIA 7

This schedule provides disposition for EIA records that do not fit the legal definition of a record and are, therefore, called non-record material.

DESCRIPTION OF RECORDS

AUTHORIZED DISPOSITION

<p><u>Non-government Records</u></p> <p>Non-government records, such as union records, health club records, and records that reflect activities in sanctioned organizations which are not government-owned records.</p>	<p>Review periodically and destroy material of no further reference.</p>
<p><u>Technical Reference</u></p> <p>Publications, including copies of EIA publications, books, journals, newsletters, computer application manuals, training manuals and course materials, guides, phone books and other administrative reference; 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 non-unique, replaceable materials.</p>	<p>Review periodically and destroy material of no further reference.</p>
<p><u>Extra Copies of Publications</u></p> <p>Extra copies of publications retained for distribution on a request basis.</p>	<p>Review periodically and destroy material of no further reference.</p>
<p><u>Extra Copy Convenience Files (Chron, Day, Reading)</u></p> <p>Duplicates of correspondence filed elsewhere in an official file but maintained for convenience or rapid access. Usually filed chronologically.</p>	<p>Review periodically and destroy material of no further reference.</p>
<p><u>Proprietary Systems Documentation</u></p> <p>Documentation for proprietary models, programs, operating systems, and data systems.</p>	<p>Review periodically and destroy material of no further reference.</p>