

DUKE POWER COMPANY

RECORDS MANAGEMENT STUDY

PHASE I - - - BASIC REPORT

March, 1969

8001310 550

FILES MAINTENANCE - FINDINGS

I. SYSTEM

The Duke Power Company has no uniform system for organizing and maintaining official records. There is no uniform method used at all filing areas for charging out files or for providing continuity on older files which are still active. Furthermore, there is a lack of uniformity in the method of arranging files. This means there may be several ways of filing the same type of record. Each time a new major project is started, a new filing arrangement may be started. Each functional area has different filing methods - numerical, decimal, alphabetical, subjective, or some combinations of these arrangements.

II. ESTIMATED VOLUME OF RECORDS AND FLOOR SPACE IN USE

Records were found in 429 locations, housing approximately 44,500 cu. ft. of records and using in excess of 19,800 sq. ft. of floor space.

These 429 locations are serviced by innumerable staff members on a part-time basis. No attempt has been made to put a dollar figure on the cost of these services. The files at the 429 locations occupy equipment as shown in the attached "filing equipment summary."

III. INDEXING

If all record materials were related to only one subject, one name, or one number, the function of indexing and cross referencing would be unnecessary. However, this situation does not exist. Throughout the company, the use of indexing and cross referencing techniques runs the gauntlet from nothing at all to extremely detailed and complex systems. Occasionally, duplicate and Xerox copies are filed by name, subject, contract number, project name, etc., as cross indexes.

IV. FILING LOCATIONS AND RECORD COPIES

There is no established, enforced policy on location and maintenance of official record copies at designated filing locations. This can produce a filing situation that prevents the collection of all papers on one transaction in one place. There is no official file copy easily identifiable as such, thereby permitting its segregation from informational, courtesy, and other duplicate copies. Seldom did we find a "record copy" marked "record copy."

All of the files which received depth analysis indicated that record copies have been buried among copies of informational materials, work sheets, publication requests, transmittal letters, thank-you letters, and similar less-important transitory documents.

IV. (continued)

A few people have attempted to subdivide bulky files into action phases, types of documents, etc. However, little real effort has been made to segregate temporary papers from those requiring long-term or permanent retention.

V. DUPLICATE FILING

There is no policy regulating the exact number of copies to be made. Permitting the preparation of many extra copies, in addition to regular required file copies, results in wide-spread duplication of files, with the accompanying and unnecessary costly occupation of office space and costly use of equipment and personnel. The magnitude of this duplication is better appreciated when you consider that two to six or more copies may be retained. To further confound the extensive and expensive duplication which this causes, a sizeable percentage of documents fall into the category of highly transient or non-record materials.

By this, we refer to such types of paper as:

1. Thank-you letters
2. Routine requests for and transmittal of catalogs and publications
3. Covering (transmittal) letters which add nothing to the material transmitted
4. Routing slips and requisitions
5. Commendations and criticisms

Most areas where files are maintained keep extra copies of materials that they originate. In addition, reproduced items forwarded for information only inevitably wind up in the files.

Any discussion of duplicate filing would be incomplete without a statement that "it is recognized that there is occasional need for essential duplication of records." However, each copy prepared, duplicated, distributed and/or filed should have a specific purpose. Unessential duplication should be eliminated from the files.

VI. FILING PERIODS

There is no established, enforced policy on date breaks requiring retirement of files out of the office to the wastebasket, or to an interim storage area, or to a permanent storage area. Most areas have some records suitable for immediate retirement to storage or disposition.

iii. EQUIPMENT AND CONTAINERS
Throughout the files surveyed, a lack of consistency was noted in the types of folders, guides and labels used. In some instances, files were fastened to the folders with metal prongs; in some other instances, where the files were very bulky, the folders used were too light. Hence both folders and materials became torn.

Equipment found at the various locations consists of all types, sizes, shapes, conditions, and ages.

No standards have been established indicating precisely what types, sizes and quality of folders, guides, labels, etc. are to be used to meet specific operating needs.

iiii. RECORDS INVENTORY

A complete detailed inventory of Duke Power Company records was taken. Its volume makes it impractical to duplicate in any quantity. However, sufficient information from the inventory will be available on files conversion sheets for working purposes during the implementation of the program. Records were inventoried in 429 locations for a staggering total volume approximating 44,515 cu. ft.

DUKE POWER COMPANY
A. FILING EQUIPMENT SUMMARY

<u>Department</u>	<u>No. of Filing Locations</u>	<u>No. of Pcs. of Equip.</u>	<u>Estimated Cubic Feet</u>	<u>Estimated Square Feet</u>
President's	6	21	180	115
Legal	24	328	2,845	800
Personnel	11	104	1,045	560
Rate	7	33	280	210
Public Relations	9	49	50	270
Treasurer's	84	6,390	19,630	5,660
Power Operations	183	1,828	13,250	8,410
Retail Operations	<u>105</u>	<u>820</u>	<u>6,735</u>	<u>3,765</u>
Total	<u>429</u>	<u>9,573</u>	<u>44,515</u>	<u>19,790</u>

UNITED STATES OF AMERICA
ATOMIC ENERGY COMMISSION

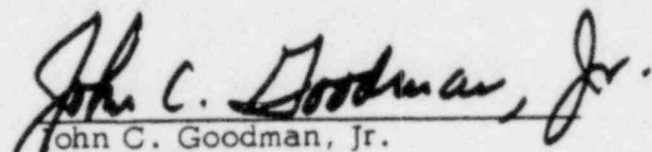
In the Matter of)		
)	Docket Nos.	50-269A
DUKE POWER COMPANY)		50-270A
)		50-287A
(Oconee Units 1, 2 and 3;)		50-369A
McGuire Units 1 and 2))		50-370A
State of North Carolina)		
)	AFFIDAVIT	
County of Mecklenburg)		

I, John C. Goodman, Jr., being first duly sworn hereby depose and say that I am an Assistant Secretary for Duke Power Company and included among my duties is the responsibility for the proper maintenance and retention of the permanent corporate records;

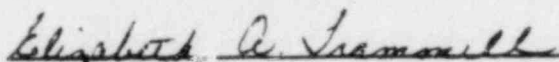
1. That Duke Power Company has no standard procedure concerning the retention of documents other than its permanent corporate records; therefore, I can only speak to the permanent records which I receive. Therefore, if particular documents are retained at the departmental level, I do not have a record of such document.

2. That upon receipt of corporate records, they are reviewed and copies are made and distributed to the department or departments affected by the document. The document is then assigned a file number which, along with the description, is affixed to the folder in which the document is filed. The file number and description are entered into the index system and the document filed.

3. That in connection with audited invoice vouchers, information thereon is placed on a voucher index system combining a straight alphabetical system and, where volume requires, a vendor or type, i.e., legal fees, special services, etc. The vouchers are then filed by year, month, and number. For example, the first voucher in January, 1972 would be numbered 72-A-1. The files containing the vouchers are in order by year to facilitate easy location.


John C. Goodman, Jr.
Assistant Secretary
Duke Power Company

Sworn and subscribed to before me
this 14th day of March,
1973.


Notary Public

My Commission expires
November 21, 1974.

UNITED STATES OF AMERICA

BEFORE THE

ATOMIC ENERGY COMMISSION

In the Matter of)
) Docket Nos. 50-269A, 50-270A,
DUKE POWER COMPANY) 50-287A, 50-369A,
(Oconee Units 1, 2 and 3) 50-370A
McGuire Units 1 and 2))

CERTIFICATE OF SERVICE

I hereby certify that copies of APPLICANT'S OBJECTIONS TO SPECIAL REQUEST FOR INTERROGATORIES, dated March 26, 1973, in the above-captioned matter have been served on the following by deposit in the United States mail, first class or air mail, this 26th day of March, 1973:

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