

United Cleanup Oak Ridge LLC

OWNER: Information, Technical Editing and Records		PROC-OS-1001	REVISION: 9
SUBJECT MATTER AREA: Records and Documents		PREPARER: Debora Newman	Page 1 of 47
PROCEDURE TYPE:	Administrative <input checked="" type="checkbox"/>	CONCURRENCE/DATE: Lindsay C. Armes 1/23/24 [Approval Signature on File]	
Emergency <input type="checkbox"/>	Alarm Response <input type="checkbox"/>		
TITLE: RECORDS MANAGEMENT		APPROVED BY/DATE: Debora H. Newman 1/23/24 [Approval Signature on File]	
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		If an Interim Procedure, Expiration Date:	

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Name/Organization: Leesa Laymance/CICO

Date: 1/9/24

eIRO#: 5947

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REVISION LOG			
Revision	Effective Date	Description of Changes	Pages Affected
9	2/28/24	Intent change. Major rewrite and reorganization to meet DOE O 243.1C requirements. Addresses CAMS IF-2023-0104, action 6; IF-2023-0471, action 1 and 3; IF-2023-0654, action 5; IF-2023-0656, action 2 and 4.	All
8	11/29/22	Non-intent change. Updated company name and logo. Updated to terminology in DIR-UCOR-600 as necessary.	3, 4, 5, 7, 11, 13, 21
7	9/9/21	Intent change. Added the use of NARA GRS Schedules, added language on electronic records destruction (IF-2021-0616), updated Work Package section to current practices, other editorial changes.	3, 5, 6, 8, 11-14, 17-20, 34
6	12/17/20	Intent change. Added requirement to include consulting with SDC staff if unable to locate record. Added Attachment E for requirements on digitizing hard copy records. Updated language in Attachment B to bring in line with current terminology and practices (Issue Numbers IF-2021-0003, IF-2021-0004 and IF-2021-0005).	1, 3, 4, 7, 9, 10, 12, 14, 15, 16, 19, 20, 21, 27, 29, 34, 36
5	1/30/20	Intent change. Removed requirements for Form-162, as is no longer needed - Issue Number IF-2019-0805; Revised reviewer requirement for Engineering Document to align with current Engineering procedures - Issue Number IF-2020-0096; Revised Controlled Copy 6-month check to change to an annual assessment on 10% of individuals to ensure compliance - Issue IF-2020-0113. Other changes to reflect current processes.	4-12, 14-21, 24, 35
4	9/18/17	Intent change. Clarified indexing requirements for small collections. Added requirement to submit Word files for UCOR Numbered and Engineering Document. Updated DMC e-mail address. Deleted no longer needed requirements in section M. Expanded the List in Attachment D to respond to issue IF-2017-0579.	6, 8, 9, 12, 14, 15, 18, 19, 20, 36
3	2/1/17	Intent change. Added additional requirements for contract turnover plan – IF-2016-0511 and mentioned more specific requirements for electronic records, including Web content – IF-2016-509. General other editorial changes to reflect current operations and added section on electronic signatures.	3, 5, 6, 11, 12, 13, 15, 23, 25, 27
2	5/12/16	Intent change. Modified Steps I.6 and I.7 to clarify that USQD exemption criterion does not pertain to all DOE-approved documents, only safety basis documentation as a result of direction by DOE. Updated UCOR document, procedure, and form titles as necessary.	13
1	11/21/13	Intent change. Revised to reflect current operations and add requirements for Electronic Records.	All
0	1/5/11	Initial release. Replaces PROC-OS-1001 (Rev. 6), same title. Non-intent updates per DIR-UCOR-500.	All

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PURPOSE

This procedure describes how United Cleanup Oak Ridge LLC (UCOR) promotes the lifecycle management of U.S. Department of Energy (DOE) records that includes the creation, receipt, maintenance, use and disposition of records regardless of media.

The purpose of the UCOR Records Management Program is to preserve records and information for future use and establish an historical account of DOE for succeeding generations and ensures the authenticity, usability, reliability, and integrity of these records.

The lifecycle of UCOR records is managed in three phases: Phase I – Creation and Receipt; Phase II – Maintenance and Use; and Phase III – Disposition. Records can be in many forms including hard copy, electronic .PDF files (including web content), microfilm, and drawings, etc.

This procedure establishes consistent administrative controls, assigns responsibility, and defines protocols for the creation, identification, control, and management of records throughout their lifecycle.

Per DOE Order (O) 243.1C, *Records Management Program*, UCOR is required to manage records in electronic format to the fullest extent possible. When records cannot be cost effectively digitized and stored electronically (e.g., paper, photo prints, negatives, film, etc.), records must be stored in facilities that meet the requirements of applicable federal regulations found in 36 CFR, Chapter XII Subchapter B, Records Management.

Classified hard copy documents and records are protected and controlled in accordance with PPD-SE-1405, *Classified Matter Protection and Control (CMPC) Manual* and DOE O 470.4, *Safeguards and Security Program*.

SCOPE

This procedure applies to UCOR employees and subcontractors who create, use maintain, receive, disseminate, transfer, or dispose of DOE records in connection with the performance of DOE-funded tasks or activities. It also applies to subcontractors who maintain contractor-furnished government records as described in Exhibit B of the UCOR Supply Chain standard proforma documents.

The UCOR Records Management Program interfaces with other DOE contractors, e.g., UT-Battelle LLC and Consolidated Nuclear Security LLC (CNS), as needed. However, the UCOR Records Management Program does not direct other DOE contractors' programs, and their programs are not within the scope of the UCOR's Records Management Program.

Subcontractors may work directly to their company-controlled records management procedures provided they have been reviewed and approved as part of the Quality Assurance Program and are compatible with the UCOR program. The program to be used will be defined in Exhibit K, *Quality Assurance* section of the subcontract.

Other UCOR procedures may augment but may not conflict with this procedure. Where augmenting procedures do not exist, the requirements of this procedure shall be followed.

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The augmenting procedures may impose additional requirements for the preparation, review, approval, issuance, and revision control of documents that typically become categorized and retained as records per applicable DOE requirements. Typically, non-administrative functional procedures define the requirements for the creation, approval, and issuance stages during the “in process” lifecycle of a document. Upon approval and issuance, documents become records and custodianship transfers to Records Management.

Augmenting procedures are to be reviewed by the Records Management Subject Matter Expert (SME).

UCOR Records are controlled and maintained through the UCOR Document Management Center (DMC) with supporting Satellite Document Centers (SDCs) that have project-specific or limited scopes.

Record copy material which exists and due to its nature is required to be maintained at a location other than the DMC or an SDC, such as the work site, is categorized as a Field Operating Record (FOR) location. SDCs and FORs are designated only after consultation and approval by the Records Management SME and Information, Technical Editing, and Records Manager.

The legal definition of a “Record” can be found in Attachment A, Definitions and Acronyms. For ease of clarification, personnel should consider any document or data as a record for which there is a regulatory, procedural, legal, or company directive to retain such document or data for any given period of time.

UCOR and subcontractor employees who create or receive records are required to read this procedure and take DOE Records Training Module 31741.

Electronic databases can be used to create and/or maintain electronic records but should be in a format that is easily transferable to the DMC’s Records Management System (RMS) at completion.

OTHER DOCUMENTS NEEDED

- Title 36, CFR, Chapter XII, Subchapter B, Records Management
- DOE O 206.1, Chg. 1 (Min Chg), *Department of Energy Privacy Program*
- DOE O 243.1C, *Records Management Program*
- DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*
- DOE O 475.2B, *Identifying Classified Information*
- UCOR-4000, *UCOR Document Preparation Guide, Oak Ridge, Tennessee*
- UCOR-4040, *United Cleanup Oak Ridge LLC Records Management Program File Guide, Oak Ridge, Tennessee*
- PPD-SE-1405, *Classified Matter Protection and Control (CMPC) Manual*
- PPD-SE-1415, *UCOR Controlled Unclassified Information Manual*
- PROC-FS-1001, *Integrated Work Control Program*

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- PROC-OS-1003, *Administrative Record Program*
- PROC-OS-1004, *Document Numbering and Issuance*
- PROC-OS-1005, *Management of Subcontractor/Vendor Submittals and Subcontractor Request for Information*
- PROC-OS-1007, *Essential Records*
- PROC-RP-4516, *Radioactive Contamination Control and Monitoring*
- PROC-SE-1005, *Classification and Information Control*
- Form-340, Records Request Form
- Form-368, United Cleanup Oak Ridge LLC (UCOR) Classification Review Request Form
- Form-554, Safety Document Worksheet
- Form-589, Material Transfer Form - UCOR Document Management Center
- Form-1057, DMC Controlled Document Worksheet
- DOE Records Disposition Schedules (RDS)
- National Archives and Record Administration (NARA) General Record Schedules (GRS)

RECORD CATEGORIES

UCOR identifies records as either Category I (also known as Quality Assurance Records) that require a rigorous level of protection because of their content or value or Category II (non-lifetime Quality Assurance Records) that have less stringent requirements. Category I records include permanent records. See Attachment B, for examples of Category I and II records.

Category I (Quality Assurance) – Examples of Category I Records are as follows:

1. *Essential Records*: Records essential for maintaining the continuity of government and corporate activities during a national emergency. The Essential Records Program includes two basic categories: emergency operating records, and legal and financial rights records. Also included are selected product/program engineers' folders and notebooks, etc. Essential records must be retrievable in a timely manner since individuals unfamiliar with the records must be able to use them in an emergency or on demand. See also the UCOR procedure on Essential Records, PROC-OS-1007, *Essential Records*.

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Emergency Operating Records describe essential functions of the Government for the duration of an emergency resulting from an attack on the country. These records include those necessary for the military effort; the mobilization and protection of material and human resources, services, and systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. This includes any policy, procedural, or reference records that provide guidance or information necessary for conducting an emergency response and resuming normal operations after an emergency.

Legal and Financial Rights Records are records essential to the preservation of the legal rights and interests of individual employees and the government.

2. *Epidemiology Records*: Documents that provide information about people who worked at a DOE or contractor site, when they worked there and what they did, what health hazards they were exposed to (such as radiation, chemicals, and metals), and what kinds of health problems they may have had during their employment. Other site records useful for measuring any potential health effects upon surrounding communities also may be included. Epidemiological records are covered under a moratorium and may not be disposed of at this time.
3. *Historically Significant Records*: These include selected drawings of special facilities or equipment, selected records associated with significant events having intense public interest, etc.
4. *Environmental Data*: Any measurement or information that describes environmental processes or conditions or the performance of environmental technology (ANSI/ASQC E4-1994). Environmental data consists of quality assured and non-quality assured environmental management (EM) project data. This definition encompasses all measurement, monitoring, and analytical data that is generated by or for the EM Program and includes supporting information, such as all associated geospatial information, monitoring locations, sample dates, depths, units, standardized parameter names and codes, and data quality assessment flags.
5. *Administrative Record*: The official body of documents that forms the basis of the selection of a particular response action (i.e., documents considered or relied upon in selecting a remedy) for an operable unit as required by the Comprehensive, Environmental Response, Compensation, and Liability Act (CERCLA) of 1980. For the management of the Administrative Records see PROC-OS-1003, *Administrative Record Program*.
6. *Permanent Records*: These are selected files on occurrences of widespread public interest, medical or health research project case files, etc. Permanent records will eventually be considered for transfer to National Archives and Record Administration (NARA). Records that are not yet scheduled must be handled as if they were permanent. Permanent records account for only 5-10% of UCOR records.

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7. *Lifetime Quality Assurance (QA) Records*: The subset of QA records which have been determined to require the most rigorous protection and retention.
- a. Records of design, construction, operation, maintenance, and modification of engineered safety systems or structures and records that meet one or more of these criteria:
 - Provide significant value in demonstrating capability for safe operation; or in maintaining, repairing, replacing, or modifying an item; or in determining the cause of an accident or malfunction of an item.
 - Provide required baseline data for in-service inspections.
 - QA records pertaining to environmental, hazardous systems, or material disposal.
 - b. Records that document the following:
 - QA programs that are DOE or other sponsor imposed.
 - Consequence of failure that includes the possible loss of use of a unique UCOR facility.
 - Failure that could result in a significant risk of inadvertent environmental, public, or personnel exposure to biological, chemical, or radiological hazards.
 - Failure that could result in significant adverse publicity which could damage company's reputation.
 - c. Any items other than the above which have been identified in other requirements documents.

Category II Records (non-lifetime Quality Assurance) – All other records are defined as Category II records. Some examples are general administrative records, routine budget records, transportation records, non-lifetime QA records, etc.

Non-lifetime QA records (also called nonpermanent records/temporary) are records that are required as evidence that an activity was performed in accordance with applicable requirements but need not be retained for the life of an item because they do not meet the criteria for lifetime records.

These records are also referred to as temporary records and must have a defined retention period. Some of these retention periods may be very long, but the record is still considered temporary.

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WHAT TO DO

A. Identifying, Creating, and Receiving Records

NOTE 1: It is the responsibility of all personnel to create records electronically to the fullest extent possible and submit those records to the DMC.

NOTE 2: Attachments C and D provide guidance on record determination.

NOTE 3: Non-record material is not managed by the DMC. For more information, see Section D, Managing Non-Record Material.

NOTE 4: As a good practice, organizations should consider capturing native files of issued documents that are subject to revision for the purpose of data re-use. Access to the files should be restricted to ensure their integrity if needed for future revisions. Electronic files retained for the purpose of data re-use are not considered a record and are not subject to the requirements of this procedure. Native files for UCOR documents and Performance Documents are maintained by the Information, Technical Editing, and Records organization.

NOTE 5: Some records are maintained in other electronic databases, not managed by the Records Management organization, but will be migrated out when the system is retired and added to the RMS electronic data system.

Records Management
SME/Information,
Technical Editing and
Records Manager

1. Ensure annual records management training is provided to UCOR and subcontractor employees who create or receive federal records.
2. Report annually to DOE the percentage of completed training.

Record Generator

3. Identify records created through the performance of UCOR performance documents or other governing documents (records are to be identified in the performance document Records section per PROC-OS-1107, *Performance Document Process*).
4. Create records (see Attachment A for definition of record) and ensure they are:

NOTE: Per UCOR contract and DOE O 243.1C, *Records Management Program* records are to be managed electronically to the fullest extent possible. Records created in hard copy are required to be digitized (scanned) prior to submission to the DMC per Section E and Attachment E of this procedure.

- Created electronically to the fullest extent possible. Hard copy records are to be digitized in accordance with Section E and Attachment E.
- Created in accordance with applicable procedures (for example, engineering, nuclear safety, information classification procedures, etc.).
- Accurate, legible, reproducible, retrievable, and complete.
- Traceable to systems, components, or activities involved.
- Developed according to appropriate performance documents, guidelines, or other governing documents.

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- Record Generator
- Validated by appropriate personnel, as required.
 - Protected until submission in Step A.5.
 - Signed appropriately. Records are to be signed either in “wet” signature (handwritten) or digitally (HSPD-12 badge). If electronic digital signatures (HSPD-12 badge) are included, conform to the requirements of Digital Signatures - How to on the UCOR intranet.
 - If electronic files are created from hard copy records (scanned) and are considered a permanent record, forward the hard copy to the DMC for retention. **Destruction of permanent paper copy records is not authorized**, per direction from the DOE Headquarters Records Management Organization. Any questions on permanent records, contact the Records Management SME.

NOTE: Email, instant messages, text messages and chat messages may be considered records.

- Records Generator
- a. **IF** creating or receiving an email that is considered to contain record information, **THEN**
 - Forward the email to the DMC at ETTPDMC@orcc.doe.gov.
 - Include the meta-data (i.e., To, From, Subject, Date, and time of receipt if available).
 - **IF** the email is part of chain, **THEN** send the last email in the sequence to capture the entire content.
 - b. **IF** a record is business sensitive, **THEN** mark in accordance with applicable operating instructions, internal procedures, and best management practices and mark accordingly.
 - c. **IF** a record has the potential to be classified or controlled unclassified information, **THEN** contact the Classification and Information Control (CICO) office and mark in accordance with PPD-SE-1405, PROC-SE-1005, Classification and Information Control, and in PPD-SE-1415.
 - d. **IF** the record contains information from a potentially classified subject area, **THEN**
 - Submit to the CICO via the electronic Information Release Office (eIRO), or completed Form-368, United Cleanup Oak Ridge LLC (UCOR) Classification Review Request Form (whichever is appropriate).
 - Provide the completed eIRO form or completed Form-368 to the DMC (Step A.5.d) with the record as evidence that the CICO review has been completed in accordance with PROC-SE-1005.

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- Record Generator
- e. Ensure records that create or reiterate design data, technical data, or process at a minimum contain printed names/signatures (wet signature or digital HSPD-12 signature) of the Preparer, Checker, and Approver, etc.
 - f. **IF** the record requires a specific document number, **THEN** follow PROC-OS-1004, *Document Numbering and Issuance*, to obtain a document number.
 - **IF** the document is not identified in PROC-OS-1004 (i.e., correspondence, electronic media, presentations), **THEN** see the UCOR Administrative Professional Contact webpage on the intranet.
 - g. **IF** the record is a formal UCOR document, **THEN** process in accordance with PROC-OS-1110, *UCOR Document Process*, and UCOR-4000, *UCOR Document Preparation Guide*.
 - h. Ensure revisions to a document receive the appropriate level of review and approval.
 - i. **IF** the record contains various pages of documentation (e.g., work packages, review packages, procedure history files), **THEN** compile as a record package in logical order (e.g., chronologically, alphabetically) and ensure the cover page or top page contains the overall description of the material it contains.
 - j. **IF** a change to data contained in a hard copy record is necessary **prior** to scanning for submittal to the DMC or SDC, **THEN** perform the following:
 - Do not use correction fluid, erasures, or correction tape.
 - Use blue or black ink only.
 - Draw a single line through the incorrect information without obliterating the original error.
 - Enter the correct information legibly and in close proximity to the information being changed.
 - Date and initial or sign the correct information.
 - k. **IF** a change to data contained in an electronic born record (see Definitions) is necessary **prior** to submittal to the DMC or SDC, **THEN** process a revision.

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NOTE 1: All records submitted to the DMC are to be created electronically (electronic born) or scanned/digitized to the fullest extent possible in accordance with Section E.

NOTE 2: Records are to be submitted to the DMC within 30 days of completion, unless a FOR or SDC (see Section F). Exceptions to this requirement exist for Legacy Electronic systems that house electronic records. Those projects will send them to the DMC in one large package when the system is retired by coordinating with the Records Management SME.

NOTE 3: The DMC no longer accepts paper, except for permanent records.

Record Generator

5. Submit the completed record to the DMC or SDC within 30 days of completion as an electronic pdf (created electronically or scanned).
 - a. **IF** an error is noted once submitted to the DMC, **THEN** process a revision.
 - b. **IF** the record is a formal UCOR document, safety document, or engineering document, **THEN** include the native file for configuration control purposes.
 - c. **IF** the record has a special retrieval or storage requirements, **THEN** include Form-589, Material Transfer Form - UCOR Document Management Center, in submission to the DMC.
 - d. **IF** the record was sent to the CICO for review, **THEN** include either a completed eIRO Information Release Form, or completed Form-368, (whichever is appropriate) as evidence that the classification and release review has been completed by the CICO in accordance with procedure requirements in PROC-SE-1005.
 - e. **IF** the record requires controlled copy distribution, **THEN GO TO** Section C.
6. **IF** a record has been produced by a subcontractor on behalf of UCOR, **THEN GO TO** Section B.

Records Generator/Project Point of Contact (POC)

7. To submit several records or record sets electronically at one time, contact the Records Management SME to determine if an electronic deposit is appropriate.

Project POC

- a. Identify a single POC and one back-up.
- b. Contact the DMC to register as an electronic record contributor.

DMC

- c. Create deposit folder on the designated electronic drive.
- d. Grant access to the POC and back-up to deposit folder.

Project POC

- e. Ensure electronic files are in pdf. Only pdf files will be accepted without written approval from the Records Management SME.

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Project POC **f.** If not electronically born, then digitize per Section E and Attachment E.

NOTE: Large deposits could also delay the entry of electronic files in a timely manner.

Project POC **g.** Place .PDF files into deposit folder created by the DMC in reasonable quantities (i.e., weekly or monthly).

h. Send email notification to ETTPDMC@orcc.doe.gov stating electronic records have been deposited.

DMC **i.** Move electronic records out of deposit folder and upload into the RMS.

NOTE: Records once under the custodianship of the DMC or a SDC are controlled and may not be altered. Changes to a record shall be through procedurally approved revision processes.

DMC **8.** Receive records and process by entering in RMS. Document receipt by entering the date the record was received by the DMC/SDC in the RMS date_received field.

a. File active records in accordance with this procedure and UCOR-4040, *United Cleanup Oak Ridge LLC Records Management Program File Guide, Oak Ridge, Tennessee.*

b. Store and protect records in accordance with Section H.

c. **IF** the record involves a commitment or action that requires tracking, **THEN GO TO** Section K.

d. **IF** the record is a UCOR-XXXX numbered document, **THEN** add the UCOR document cover page to the document and ensure the document is issued to the controlled document site on the UCOR internet by the next business day.

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B. Managing Records Received from Organizations Outside UCOR

NOTE: Per UCOR contract and DOE O 243.1C, records are to be managed electronically to the fullest extent possible. Records created in hard copy, should follow all guidance in accordance with PPD-SE-1405, PROC-SE-1005, and in PPD-SE-1415, and are required to be digitized (scanned) prior to submission to the DMC per Section E and Attachment E of this procedure.

Official Recipient

1. **IF** in possession of documentation from an organization outside of UCOR, **THEN**
 - a. **IF** the DMC is on the distribution list, **THEN** consider the DMC the record copy and all other copies are non-record, including emails and other electronic records. These are not required to be submitted to the DMC.
 - b. **IF** there is no indication that a record copy has been provided to the DMC, **THEN** forward the electronic record to the DMC as the record copy. If hard copy, then digitize in accordance with Section E before forwarding to the DMC.
2. **IF** in receipt of an email considered to contain record information, **THEN** forward to the DMC in accordance with Section A.
3. **IF** the document is a subcontractor submittal, **THEN** process the submittal in accordance with PROC-OS-1005, *Management of Subcontractor/Vendor Submittals and Subcontractor Request for Information*.

C. Distributing Controlled Copies

NOTE 1: Organizations may request that electronic copies of a document be issued to a defined distribution as “Controlled Distribution.” Controlled distribution is through the DMC unless determined otherwise. The Performance Documents Group, Subcontractors, or SDCs may distribute Controlled Copy documents through their internal programs.

NOTE 2: Controlled distribution of Work Packages is at the project level and processed through the SDCs or other project personnel. Refer to Section L for distribution of Controlled Copy Work Packages.

NOTE 3: The DMC or SDC may, upon receipt of a Controlled Copy document from a subcontractor, distribute additional controlled copies to designated personnel.

Originator

1. Determine if distribution of a document and any subsequent revisions should be controlled.

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Originator 2. Complete Form-1057, DMC Controlled Document Worksheet, or Form-554, Safety Document Worksheet, for safety documents, and prepare a distribution list of personnel who are to receive controlled copies of the document.

NOTE: The DMC is no longer distributing hard copies unless determined necessary by the Records Management SME/Designee.

Originator 3. Send the completed Form-1057, or Form-554 for safety documents, distribution list, and document to the DMC for distribution.

NOTE 1: Controlled Unclassified Information cannot be distributed outside the UCOR firewall. Distribution outside the firewall will be completed through approved encryption methods.

NOTE 2: It is the Originator’s responsibility to complete either a Form-554 or Form-1057 for a superseded document (if the superseding document is not to be controlled) or if a currently controlled document should be decontrolled.

DMC 4. Update the Controlled Document Management System with the following attributes:

- Document number,
- Title,
- Current revision of the parent document,
- List of recipients,
- Unique copy number assigned to each recipient.

5. Prepare the document for distribution. Ensure the UCOR cover page displays the following designation:

CONTROLLED COPY # _____

6. Generate a transmittal letter from the Controlled Document Management System. The transmittal letter shall instruct the recipient to acknowledge receipt of the document by signing and returning the transmittal letter to the DMC.

- a. **IF** the Controlled Copy document is a revision, **THEN** ensure the transmittal letter includes instructions for inserting/removing revised material, if applicable, in the document **OR** transmit the entire document as a replacement.

7. Distribute the document and transmittal letter to the Controlled Copy Document Recipient.

8. Maintain the master copy under access control for reproduction, verification, distribution, and reference purposes.

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|---|--|
| Controlled Copy Document Recipient (Holder) | <p>9. Acknowledge receipt by signing (wet signature or HSPD-12 signature) the receipt acknowledgment section, and returning the transmittal form to the DMC within 21 calendar days of transmittal date.</p> <p>10. As directed by Functional or Project procedures, use the current revision controlled copy in the performance of work.</p> |
| DMC | <p>11. Use the Controlled Document Management System to track the receipt of signed transmittal letters.</p> <p>a. Verify receipt of signed transmittal letter from the Controlled Copy Document Holder.</p> <p>b. Issue delinquency notices for all outstanding transmittal letters and provide an additional 14 calendar days for the signed transmittal letter to be returned to the DMC.</p> <p>c. IF the transmittal letter is not received within 14 calendar days, THEN notify the Records Management SME of the noncompliance.</p> |
| Records Management SME/Designee | <p>d. Investigate and resolve the noncompliance.</p> <p>e. IF necessary, THEN provide written direction to the DMC to decontrol the document assigned to the Controlled Copy Document Holder.</p> |
| DMC | <p>12. Update Controlled Document Management System to show the unique copy number has been decontrolled.</p> |
| DMC and Records Management SME | <p>13. On an annual cycle, review a 10% random sample list of controlled copy recipients. For those document holders, distribute a revision verification notification. The revision verification shall list each document number, title, the latest revision of the document, and the unique copy number assigned to the Controlled Copy Document Holder.</p> |
| Controlled Copy Document Holder | <p>14. Return acknowledgement, via e-mail that the verification of their issued copies are current or notify the DMC of any update required to make their issued copies current. Recipients may not transfer ownership of controlled copies to a different individual without concurrence of DMC.</p> |

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D. Managing Non-Record Material

Originator

1. Consider documents/materials that do not meet the definition of records as found in Attachment A as non-record copy (NoRC) material.

NOTE: As a good practice, organizations should consider identifying in the distribution for non-record copy documents the following:

- If generated on paper, designate “File–NoRC” on front page.
- If generated on email, designate “File–NoRC” within the content of the message.
- If stored on other media, designate “File–NoRC” on the external label and in the content of the file or transmittal.

Originator

2. Maintain non-record material as needed in working files.
3. Dispose of unneeded non-record material promptly, and in accordance with content sensitivity and any guidance from UCOR General Counsel.

Functional
Manager/Area
Project Manager
(APM)

4. Ensure terminating or transferring employees who are responsible for non-record copy material either turn it over to an appropriate employee or disposition appropriately before leaving.

E. Digitizing Temporary Hard Copy Records for Transfer to the DMC

NOTE: Per UCOR contract and DOE O 243.1C, records are to be managed electronically to the fullest extent possible. Records created in hard copy are required to follow all guidance in accordance with PPD-SE-1405, PROC-SE-1005, and PPD-SE-1415, and are required to be digitized (scanned) prior to submission to the DMC per this section and Attachment E.

Record Generator

1. For records created in hard copy (source document), digitize (scan) before transferring to the DMC, in accordance with the following:
 - a. Scan/digitize the source document to the requirements outlined in Section E and Attachment E.
 - b. Ensure the digitized record:
 - Captures all information contained in the original source (hard copy) document.
 - Includes all the pages or parts from the original source (hard copy) document.
 - Can still be used for all the purposes the original source records serve, including the ability to attest to transactions and activities.
 - Protects against unauthorized deletions, additions, or alterations to the digitized versions by transferring to the DMC for upload to the UCOR RMS.

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Record Generator

- Can be located, retrieved, accessed, and used for the records' entire retention period.
- c. Validate the digitized version is of suitable quality to replace the source document.
- Perform a 100% QA review of the digitized version to the source document. This review is to verify that:
 - The file can be opened and displayed;
 - Every page has been digitized and is of acceptable quality (no missing information/cropped);
 - Every image is free from missing detail such as detail lost in highlighting or shadows.
 - Related envelopes, notes, or other forms of media have been digitized.
2. Submit the digitized record to the DMC.
3. Maintain the source record for 30 days after transfer to the DMC and dispose.

DMC

4. Upon receipt of a digitized record:
- Validate that the digitized version meets the standards outlined in Step E.1.b.
 - The record complies with General Record Schedules (GRS) 4.5, Digitizing Records for an intermediary record in accordance with Section E and Attachment E.

NOTE: UCOR does not need to obtain NARA approval to destroy scheduled temporary records that have been digitized according to this procedure and 36 CFR Part 1236, Subpart D, Digitizing Temporary Federal Records.

DMC

5. Retain the digitized record for the retention period established by the applicable records schedule, subject to any pending legal constraint on the agency such as a litigation hold.
6. Treat the digitized versions, now the recordkeeping versions, the same as the original source records.

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F. Managing Field Operating Records (FORs)/Satellite Document Centers (SDCs)

NOTE: Record copy material which exists and due to its nature is required to be maintained at a location other than the DMC or an SDC, such as the work site, is categorized as a FOR.

FORs contain records that are compiled, revised, or made complete over time or are required by permit or procedure to be located at a designated work area.

In accordance with DOE O 243.1C, UCOR is working to go fully electronic to the fullest extent possible, therefore, the need for FORs or SDCs will be reduced and those locations closed as soon as possible.

Records Management SME approval to retain FORs is required. Storage requirements defined in Section H must be established for the FOR location. An annual inventory is required to be performed for all approved FOR locations by the FOR custodian and forwarded to the Records Management SME to verify continued compliance with storage and protection requirements.

An SDC is an extension of the DMC and is managed by Records Specialists under the supervision of the Records Management Organization. SDCs may be project specific or task specific (e.g., Waste Management or subcontractor submittals). The need for SDCs is determined and approved by the Records Management SME and Information, Technical Editing, and Records Manager.

FORs and SDCs should follow the same storage requirements as outlined in Section H of this procedure.

- | | |
|-----------------------------------|--|
| Requesting Individual | 1. Contact the Records Management SME or Information, Technical Editing, and Records Manager for approval to maintain record copy material as FOR or SDC. |
| Responsible Individual(s) | 2. Designate an individual(s) to be responsible for the FOR/SDC. |
| Records Management SME | 3. Set up FOR storage area as appropriate for Category I and II records as required in Section H. |
| FOR/SDC Responsible Individual(s) | 4. Confirm FOR or SDC is protected and controlled. |
| | 5. Respond to request for an annual records inventory of all FOR/SDC to the Records Management SME. |
| | 6. Respond to requests for copies of record copy material (i.e., Privacy Act Information, Freedom of Information Act requests) according to approved procedures. |
| | 7. Once FOR/SDC are no longer needed at the project/site location, follow the steps in Section J of this procedure for transferring records to the DMC. |

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Functional
Manager/APM

8. Ensure terminating/transferring UCOR or subcontract employees who are responsible for FOR/SDC contact the DMC before leaving employment. FORs/SDCs may not be transferred from one individual to another without approval of Records Management SME. Designate a new individual to be responsible for the FOR/SDC or transfer records to the DMC following the steps in Section J.

G. Requesting Information from the DMC

Requester

1. Personnel with a "Need to Know" may request electronic information copies of record copy documents contained in the DMC or an SDC.

NOTE 1: A user who possesses a non-controlled copy of a document which is subject to revision, including copies obtained from UCOR websites, is responsible for verifying the document is the latest revision at the time of use. Revision verification may be made by checking Functional Organization maintained websites or by contacting the DMC or SDC for those documents in their possession.

NOTE 2: Originally, plant drawings for the Oak Ridge Reservation were controlled by one Engineering database system known as EDIS/EDCS. Since the inception of the Accelerated Closure Contract, the EDIS/EDCS System for the Oak Ridge complex was divided into individual entities, CNS, UT-Battelle, and the East Tennessee Technology Park (ETTP). Each site evolved as an independent drawing repository. The database was divided into site-specific databases. The ETTP database has since been decommissioned and the data has been loaded into the UCOR DMC records repository. UCOR now uses VAULT as the software repository for UCOR generated drawings, including CNS and UT-Battelle site drawings.

Requester

2. Complete Form-340, Records Request Form, and submit it to the DMC email or an SDC. DMC staff will complete the form, if one is not provided (e.g., if a request is received from an external source).

DMC/SDC

3. **IF** request is from an external source, **THEN** complete Form-340 and submit to the DMC.
4. **IF** the request is from a UCOR or subcontractor employee, **THEN** verify requester is a current employee through the UCOR site directory.
5. **IF** the request is from an external customer, **THEN** request release approval from the Records Management SME or designee and obtain appropriate classification and public release authorization prior to release to the external customer.
6. Locate document being requested. If the document cannot be located in DMC collections, consult with the Records Management SME or designee.

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- DMC/SDC
7. Unless otherwise authorized by the Records Management SME or designee, identify the material “Information Only, Do Not Copy” ensuring that any other markings (i.e., Official Use Only, clearance reviews) are not obstructed. Prior to digitization and/or release, follow guidance in accordance with PPD-SE-1405, PROC-SE-1005, and PPD-SE-1415.
 8. Provide the requested material to the requester.
 9. Complete the Records Management section of the Form-340.

SDC

10. Forward the completed Form-340 to the DMC.

DMC

11. Enter the distribution information from the completed Form-340 into an information copy tracking database. The database tracks only the distribution of the information copy. It does not track the lifecycle of the document after being provided to the requester.

H. Records Storage and Protection

Once records are transferred to the DMC, they are controlled and may not be altered. Record copy documents will not be released from the custody of the DMC without approval from the Records Management SME.

The DMC is the primary record center for UCOR. FORs/SDCs may exist on projects and have a limited scope formulated to specific project or task needs once approved by the Records Management SME. See the Records Management home page on the intranet for an approved list of locations. Records contained in FORs/SDCs are forwarded to the DMC when no longer required or at the site/project closure. Only designated personnel shall have unescorted access into the DMC or FOR/SDC. Access by non-designated personnel into records filing areas is by DMC or FOR/SDC authorization only. Only DMC or SDC staff may remove and re-file records in the records centers.

Since approximately 2020, records have been received by the DMC in electronic format. However, hard copy records remain and will be digitized as soon as possible, following guidance in DOE O 243.1C, this procedure, PPD-SE-1405, and PROC-SE-1005.

- DMC
1. Ensure hard copy records storage areas meet the requirement of DOE O 243.1C and 36 CFR Subchapter B.
 2. Store records in a manner that ensures ease of access, retrieval, and control.
 3. Safeguard records containing Personally Identifiable Information (PII) in accordance with DOE O 206.1, Chg. 1, *Department of Energy Privacy Program*.
 4. Develop and maintain a Disaster Recovery Plan.

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DMC

5. Maintain, schedule, and archive records in accordance with approved DOE's Records Disposition Schedules (RDS) or NARA's General Record Schedules (GRS).
6. Ensure appropriate reviews are performed to meet DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*, and DOE O 475.2B, *Identifying Classified Information*, prior to transfer of permanent records to NARA.
7. Develop a Records Retention and Turnover plan at contract completion or termination of the UCOR Prime Contract.

NOTE: Records storage within the Records Management facilities, in SDCs, or at authorized FOR locations, see Section F, must comply with the following to provide control and protection to records. See Attachment A for definitions of Category I and II records, and Attachment B for a list (not all inclusive) of common records and their Category I or II designation. Also, Attachment D, Category I (Quality Assurance) Record Determination, can be used to make the determination with assistance from the Records Management SME.

Records Management SME or Designee (includes SDCs and FOR Holders)

8. At a minimum, apply the following storage requirements to Category II Records/temporary hard copy records, until digitized:
9. As of February 2023, temporary records are to be digitized and maintained electronically. For existing hard copy temporary records that are maintained until being digitized:
 - a. Maintain records in a lockable file cabinet or a lockable room which contains file cabinets, open shelving, or racks. In a lockable room, records may be boxed and stored on racks or other means to prevent boxes from residing directly on the floor.
 - b. Establish access control to prevent unauthorized use, disclosure, theft, or destruction.
 - c. Post a list designating personnel approved for unescorted access to records filing areas.
 - d. Develop inventories, file plans, or indexing system to facilitate ease of retrieval. An indexing system will not be required for small collections in SDCs or FORs, but the records should be filed in an organized manner to facilitate ease of retrieval.
 - e. Implement a system to account for records removed from the storage area.

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Records Management
SME or Designee
(includes SDCs and
FOR Holders)

10. For Category I Records, implement **one** of the following additional storage requirements:
 - Records Vault.
 - Two-hour fire-rated cabinet, plus smoke detection system.
 - Fire suppression system, and reasonable safeguards against theft, water damage, rodent or insect infiltration, or floods.
 - Duplicate records in an identified duplicate storage area in a separate location. These locations shall be sufficiently remote from each other to eliminate the chance of exposure to a single hazard.
 - Duplicate information on other record media stored in a separate location (Attachment F).
11. **IF** due to the accelerated closure demolition, facilities are not able to comply with the above fire protection requirements, **THEN** submit an alternate option to the Records Management SME and UCOR President and Chief Executive Officer for approval.
12. Records identified in PROC-OS-1007, shall comply with the duplication storage requirement of DOE O 243.1C, *Essential Records* section, and National Fire Protection Association 232, Standard for the Protection of Records.

I. Inventorying, Scheduling, and Dispositioning Records

NOTE 1: To ensure the protection of valuable government and corporate records, a mandatory, consistent, company-wide process of inventorying, appraising, and scheduling information has been established. UCOR generated records and subcontractor records required to be submitted to UCOR per their subcontract are scheduled and processed in accordance with the DOE RDS or NARA GRS.

NOTE 2: The Records Management Organization is the only entity responsible for the destruction of DOE records or that can lift a destruction moratorium. All records under a destruction moratorium shall be preserved.

Records Management
SME/Designee

1. Maintain up-to-date organizational records inventories and file plans including electronic information system inventories that provide the identification, location and retrieval of all categories of records created and received in the course of official business.

NOTE: Unscheduled records must be treated as permanent until a new schedule is approved by NARA.

Records Management
SME/Designee

2. Provide records inventories, file plans and electronic information system inventories as requested by DOE.

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- | | |
|---|---|
| Records Management
SME/Designee | <p>3. Schedule and process the records in accordance with the DOE RDS and NARA GRS. All records schedules are considered “media neutral” which includes hard copy and electronic records. NARA approved records disposition schedules are mandatory and take precedence over any other records retention instructions. This includes records retention requirements contained within DOE orders that have not been approved by NARA.</p> <p>4. Analyze information and assign records to the appropriate record series, which is a compilation of all approved retention periods for records.</p> <p>5. Retain records according to approved schedules and disposition records when eligible.</p> <p>6. Document a records disposition process to include the destruction of records and information content that demonstrates review and approval.</p> |
| Records Management
SME/Designee/DMC | <p>7. Conduct an annual inventory of records (including records maintained in all media) in each UCOR location where records are maintained, including SDC and FOR locations, placing a priority on unscheduled program records to ensure approved company retention schedules are applied.</p> <p>8. Provide complete inventory information for all unscheduled records, regardless of media, as requested.</p> |
| Records Management
SME/DMC/Records
Management
Organization | <p>9. Preserve records beyond their approved retention periods when they have been placed under a destruction hold, freeze, or moratorium for purposes of audits, inspections, investigations, litigation, Freedom of Information Act, Privacy Act or similar obligations.</p> <p>10. Destroy electronic records residing in the DMC’s RMS that meet their scheduled retention period by permanently deleting from the system.</p> <p>11. Ensure destruction of documents is in accordance with PPD-SE-1405, and PPD-SE-1415.</p> <p>12. Use an approved records destruction process, for all records in all media, that ensures the appropriate level of review, approval and documentation of the destruction.</p> <p>13. Ensure annual moves to NARA for permanent records and quarterly notices of disposal from the FRC for the destruction of temporary records are supported and processed in a timely manner.</p> <p>14. Obtain authorization for records destruction from the Records Management SME, General Counsel (or their designee), and the originating organization, if different from the originator, before the record’s scheduled destruction date.</p> <p>15. Transition records to a FRC during their lifecycle so that they are managed cost effectively.</p> |

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J. Transferring Inactive Records to the DMC

NOTE: Per DOE O 243.1C, *Records Management Program*, UCOR is required to manage records in electronic format to the fullest extent possible. Inactive records being transferred may be required to be transferred electronically after being digitized in accordance with Section E and Attachment E.

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|--------------------|---|
| Record Copy Holder | <ol style="list-style-type: none"> 1. Turn over specified subcontractor records to the DMC for disposition and archiving. 2. WHEN requirements/needs for FOR and SDC at site locations are reduced, THEN
turn over FOR and SDC records to the DMC. 3. IF hard copy records come from potentially contaminated areas, THEN contact Health Physics to scan and green-tag the records. Documents identified as radiologically contaminated shall be controlled as defined by PROC-RP-4516, <i>Radioactive Contamination Control and Monitoring</i>. 4. Contact the DMC for instructions on preparing records for transfer. 5. IF hard copy records are to be transferred, THEN <ol style="list-style-type: none"> a. Pack boxes following the instructions in Attachment G and received from the DMC, ensuring only record copy material of the same type of record are packed in each box. DO NOT mix records types without approval from the Records Management SME. b. Create a detailed comprehensive index of the records contained in each box. The indexes shall spell out the first instance of an acronym for each box. Place a copy of the index in each box and provide an electronic index to the DMC. c. Provide indexes to the DMC prior to transfer to ensure the index has been created according to instructions. d. Upon approval from the DMC, and the boxes are ready for transfer, coordinate transfer through appropriate Facility Managers, and contact the DMC to ensure space is available for receipt. |
| DMC | <ol style="list-style-type: none"> 6. Provide guidance to the record copy holder during the transfer process as needed. 7. Process into the RMS and prepare the boxes to be shelved or staged for shipment to the FRC. |

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K. Correspondence Distribution and Commitment Tracking

NOTE: The DMC reviews incoming correspondence to monitor commitments owed by UCOR. The DMC assigns action responsibility and distributes the correspondence to applicable recipients. Correspondence which requires no action is also distributed to applicable recipients.

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|---------------------------------------|--|
| Records Management
SME or Designee | 1. Review the content of DOE and/or regulators mail to determine if an action should be assigned. |
| DMC | <p>2. Assign codes to action items and non-action items according to UCOR-4040, <i>United Cleanup Oak Ridge LLC Records Management Program File Guide, Oak Ridge, Tennessee.</i></p> <p>3. Assign an organization number to the document, i.e., DOE-24-####.</p> <p>4. Generate a coversheet with distribution information and attach it to the front of the document. Date-stamp the document.</p> <p style="margin-left: 40px;">a. IF there is no action assigned, THEN mark the NON ACTION REQUIRED box, and complete the Distribution section.</p> <p style="margin-left: 40px;">b. IF the document requires a response, THEN mark the ACTION REQUIRED box, complete the rest of the boxes, and complete the Distribution section.</p> <p>5. Process the record copy according to Section A of this procedure.</p> <p>6. Send email notifications with electronic versions of the record to recipients as designated on the coversheet. Protect the electronic file if sensitive in nature in accordance with PPD-SE-1415.</p> <p>7. Run periodic Open Action Item Reports.</p> <p>8. Notify distribution for any overdue actions.</p> <p>NOTE: Official correspondence including emails received as evidence of a closure are considered records and processed in accordance with Section A.</p> |
| DMC | 9. WHEN notified of closed actions, THEN close the action in the commitment tracking system. |

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L. Managing In-Process Work Packages

Work Packages are developed in accordance with PROC-FS-1001, *Integrated Work Control Program*. Work packages are considered “in process” until closed and submitted to the DMC.

This section applies to the “in-process” management of these work packages. The addition of signatures, permits, tailgate and pre-job briefing forms, and completion of associated Work Package forms do not constitute a change requiring a Work Package revision.

However, the addition of signatures, attendance rosters, and completed forms shall be verified as being contained in the Work Package before it can be considered as complete and designated as a record. When a Work Package is completed, it becomes a Category I record (see Attachment D). Completed Work Packages shall be scanned to the requirements laid out in Section E of this procedure and sent to the DMC as an electronic record.

Projects with a complex Work Package structure may issue a project-specific procedure to implement requirements or guidance beyond those required by this procedure.

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| Work Package Planner, Senior Work Control Lead, Work Package Coordinator or Designee | <ol style="list-style-type: none"> 1. Enter the “In process” Work Package, including a .PDF into the RMS in the Work Package cabinet. 2. Retain a copy of the original document, hard copy or electronic, and all change notices and revisions issued against the Work Package as a “Work Package History File.” |
| DMC | <ol style="list-style-type: none"> 3. Issue a daily report of revised documents to the Work Package Planners, Senior Work Control Leads, and Project and Functional Designees. |
| Work Package Planner, Senior Work Control Lead or Designee | <ol style="list-style-type: none"> 4. Review the Work Package(s) under your control and identify the Work Packages containing documents identified as being revised from the daily report. <ol style="list-style-type: none"> a. Evaluate and determine if the Work Package is impacted and requires a revision in accordance with PROC-FS-1001. 5. Recall and update all Controlled Copies of a Work Package impacted. The grace period for a document holder to respond to a recall and the second overdue notification of a recall as noted in Section J do not apply to the Work Package process. 6. Return updated Work Package to Controlled Copy holder. 7. Scan completed and closed Work Package and load completed .PDF file into appropriate cabinet in the RMS. 8. Each day, email the DMC at ETTPDMC@orcc.doe.gov a list of completed Work Packages that were loaded that day. |

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- DMC
9. Pull Electronic file from designated RMS cabinet and upload to the Record_Oak cabinet as an electronic only record.
 10. Reply to e-mail from Work Package Planner, Senior Work Control Lead or Designee, that the file has been uploaded and the hard copy can be appropriately destroyed.

Work Package
Planner, Senior Work
Control Lead or
Designee

11. Appropriately destroy hard copy after 30 days per PPD-SE-1415.

RECORDS

Records generated or received must be submitted to the DMC for records retention and disposition.

- Form-340, Records Request Form
- Form-589, Material Transfer Form - UCOR Document Management Center
- Form-1057, DMC Controlled Document Worksheet

SOURCE DOCUMENTS

- Title 10 CFR, Energy, Chapter III, Part 830.120
- Title 36 CFR Parts 1224, 1225, and 1236 Federal Records Management: digitizing Permanent Records and Reviewing Records Schedules
- Title 36, CFR, Chapter XII, Subchapter B, Records Management
- Title 41, CFR, Public Contracts and Property Management, Subchapter 201
- National Fire Protection Association, 232, Standard for the Protection of Records
- American Society of Mechanical Engineers (ASME), NQA-1-2008, *Quality Assurance Requirements for Nuclear Facility Applications*, with the NQA-1a 2009 Addendum
- DOE O 200.1A, Chg. 1 (MinChg), *Information Technology Management*
- DOE O 206.1, Chg. 1, *Department of Energy Privacy Program*
- DOE O 243.1C, *Records Management Program*
- DOE O 414.1D, Chg 2 (LtdChg), *Quality Assurance*
- DOE O 458.1, Chg 4 (LtdChg), *Radiation Protection of the Public and the Environment*
- DOE O 470.4B Chg 3, *Safeguards and Security Program*
- UCOR-4141, *UCOR Quality Assurance Program Plan, Oak Ridge, Tennessee*
- PPD-DE-1044, *Configuration Management Program Description*
- PPD-SE-1405, *Classified Matter Protection and Control (CMPC) Manual*
- PPD-SE-1415, *UCOR Controlled Unclassified Information Manual*

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Attachment A
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Adequate and proper documentation – Adequate and proper documentation means a record of the conduct of government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities.

Business Sensitive Records – Unclassified, sensitive information that requires protection because of statutory or regulatory restrictions (e.g., personal or private data relating to an individual) or programs or information for which there is a need for protection because of the magnitude of the loss or harm that would result because of inadvertent or deliberate disclosure, alteration, or destruction. Included in this category are records for Official Use Only, a term used in conjunction with unclassified information of a privileged nature which is not disseminated to the public. Also, included are unclassified controlled nuclear information (UCNI) and a variety of other sensitive information on which controls are placed by organizations.

Category I – Category I Records also known as Quality Assurance Records are records that require a rigorous level of protection because of their content or value. Examples of Category I Records are as follows:

1. *Essential Records*: Records essential for maintaining the continuity of government and corporate activities during a national emergency. The Essential Records Program includes two basic categories: emergency operating records, and legal and financial rights records. Also included are selected product/program engineers' folders and notebooks, etc. Vital records must be retrievable in a timely manner since individuals unfamiliar with the records must be able to use them in an emergency or on demand.

Emergency Operating Records describe essential functions of the Government for the duration of an emergency resulting from an attack on the country. These records include those necessary for the military effort; the mobilization and protection of material and human resources, services, and systems; the maintenance of public health, safety, and order; and the conduct of essential civil defense activities. This includes any policy, procedural, or reference records that provide guidance or information necessary for conducting an emergency response and resuming normal operations after an emergency.

Legal and Financial Rights Records are records essential to the preservation of the legal rights and interests of individual employees and the government.

2. *Epidemiology Records*: Documents that provide information about people who worked at a DOEs or contractor site, when they worked there and what they did, what health hazards they were exposed to (such as radiation, chemicals, and metals), and what kinds of health problems they may have had during their employment. Other site records useful for measuring any potential health effects upon surrounding communities also may be included. Epidemiological records are covered under a moratorium and may not be disposed of at this time.
3. *Historically Significant Records*: These include selected drawings of special facilities or equipment, selected records associated with significant events having intense public interest, etc.

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4. *Environmental Data*: Any measurement or information that describes environmental processes or conditions or the performance of environmental technology (ANSI/ASQC E4-1994). Environmental data consists of quality assured and non-quality assured EM project data. This definition encompasses all measurement, monitoring, and analytical data that is generated by or for the EM Program and includes supporting information, such as all associated geospatial information, monitoring locations, sample dates, depths, units, standardized parameter names and codes, and data quality assessment flags.
5. *Administrative Record*: The official body of documents that forms the basis of the selection of a particular response action (i.e., documents considered or relied upon in selecting a remedy) for an operable unit as required by the Comprehensive, Environmental Response, Compensation, and Liability Act (CERCLA) of 1980. For the management of the Administrative Records see PROC-OS-1003, *Administrative Record Program*.
6. *Permanent Records*: These are selected files on occurrences of widespread public interest, medical or health research project case files, etc. Permanent records will eventually be considered for transfer to the National Archives and Record Administration (NARA). Records that are not yet scheduled must be handled as if they were permanent.
7. *Lifetime Quality Assurance (QA) Records*: The subset of quality assurance records which have been determined to require the most rigorous protection and retention.

Records of design, construction, operation, maintenance, and modification of engineered safety systems or structures and records that meet one or more of these criteria:

- Provide significant value in demonstrating capability for safe operation; or in maintaining, repairing, replacing, or modifying an item; or in determining the cause of an accident or malfunction of an item.
- Provide required baseline data for in-service inspections.
- QA records pertaining to environmental, hazardous systems, or material disposal.

Records that document the following:

- QA programs that are DOE or other sponsor imposed.
- Consequence of failure that includes the possible loss of use of a unique UCOR facility.
- Failure that could result in a significant risk of inadvertent environmental, public, or personnel exposure to biological, chemical, or radiological hazards.
- Failure that could result in significant adverse publicity which could damage company's reputation.

Any items other than the above which have been identified in other requirements documents.

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Category II Records – All other records are defined as Category II records, which have less stringent requirements. Some examples are general administrative records, routine budget records, non-vital weapons records, transportation records, non-lifetime quality assurance records, etc.

Non-lifetime quality assurance records (Nonpermanent Records) are records that are required as evidence that an activity was performed in accordance with applicable requirements, but need not be retained for the life of an item because they do not meet the criteria for lifetime records. These records are also referred to as temporary records and must have a defined retention period.

Change Notices – A Change Notice can be a Design Change Notice, Engineering Instructions (EIs) and Equivalency Evaluations (EEs), [refer to PROC-DE-1008, *Design Change Notices (DCNs)*, *Engineering Instructions (EIs) and Equivalency Evaluations (EEs)*, EIs and EEs for specific definitions].

Controlled Copy – Distribution of a document to an established list of recipients for which revision, distribution, and status are to be kept current to ensure authorized users/holders have available the most up-to-date version.

Controlled Documents – Documents which are submitted to and are under the jurisdiction of the DMC or SDC as “Record Copy.” The DMC/SDC provides storage protection and maintenance of records while implementing controls to prevent alteration or loss of records.

Digital Signature – See Signature digital.

Disposition – Disposition means those actions taken regarding records no longer needed for the conduct of the regular current business of the agency. Any activity with respect to:

- a. Disposal of temporary records no longer needed for the conduct of business by destruction or donation.
- b. Transfer of records to federal agency storage facilities or records centers.
- c. Transfer to NARA records determined to have sufficient historical or other value to warrant continued preservation.

Disposition authority – Disposition authority is the legal authorization for the retention and disposal of records. For federal records it is found on SF 115s, Request for Records Disposition Authority, which have been approved by the Archivist of the United States. For non-record materials, the disposition is established by the creating or custodial agency. See also *records schedule*.

Document – A written or printed piece of paper or digitally prepared record. If a document provides decisive information, or there is a regulatory, procedural, legal, or company directive to retain such document for any given period of time, it is a record. Copies are “information only” documents and are not records.

Document Management Center (DMC) – The central location designated as the repository for Record Copy.

DOE – U.S. Department of Energy

Electronic messages – Electronic mail and other electronic messaging systems that are used for purposes of communicating between individuals. Electronic messages that satisfy the definition of a federal record under the Federal Records Act are electronic records.

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Electronic record – Any information that is recorded in a form that only a computer can process and that satisfies the definition of a federal record under the Federal Records Act. The term includes both record content and associated metadata that the agency determines is required to meet agency business needs.

Electronic Signature – See signature electronic.

Essential Records – Records an agency needs to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records). Previously called vital records.

ETTP – East Tennessee Technology Park

Federal Records – Includes all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them (44 U.S.C. 3301 and 36 CFR 1220.18).

Field Operating Records (FOR) – Records that are compiled, revised, or made complete over time or are required by permit or procedure to be located at a designated work area. Examples would be regulating permit required to be stored at the facility or daily need for quick access to the record. Requests for a FOR location must be approved by the Records Management SME.

File Guide – Document prepared to assign file codes that maintain the arrangement of the records and applies appropriate records retention schedules. See UCOR File Guide, UCOR-4040, *United Cleanup Oak Ridge LLC, Records Management Program File Guide, Oak Ridge, Tennessee*.

File Plan – The basic structure in records management that groups together records with similar characteristics. File plans can be a subset of the entire DOE/GRS record schedule series that would be specific to an organization, project, program, or location within an agency. At a minimum, a file plan includes the series, description, disposition instruction (retention) and authority, and other specific instructions that provide guidance for effective management of records (e.g., identifying number, title, organization, locations) (36 CFR Chapter XII subchapter B, 36 CFR 1220.34(i), and 36 CFR 1225.12(b)).

FRC – Federal Record Center

Inactive Records – Records for which a meaningful day-to-day business function has ceased to exist but which must be retained in accordance with the Records Inventory and Disposition Schedule.

In Process – A record, i.e., work package, which has been formulated and is ready for issuance to field staff for the execution of the scope of work. In-process records are updated during the execution of work collecting signatures or additional documents produced during the execution of the scope. The record is no longer considered in process but complete once its scope is fully executed and all additional documents and signatures have been verified as being included.

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Inventory – A systematic process used to discover, identify, and review an organization’s systems, records holdings, forms, and processes.

Lifetime record – Those records that meet one or more of the following criteria:

- (a) those that would be of significant value in demonstrating capability for safe operation
- (b) those that would be of significant value in maintaining, reworking, repairing, replacing, or modifying an item
- (c) those that would be of significant value in determining the cause of an accident or malfunction of an item
- (d) those that provide required baseline data for in-service inspections

Lifetime records are required to be maintained by or for the Owner for the life of the particular item while it is installed in the plant or stored for future use.

National Archives and Records Administration (NARA) – An independent agency of the United States government charged with the preservation and documentation of government and historical records. It is also tasked with increasing public access to those documents which make up the National Archives.

National Archives of the United States – Collection of records selected by the Archivist of the United States because they have sufficient historical or other value to warrant their continued preservation by the federal government and that have been transferred to the legal custody of the Archivist of the United States (36 CFR 1220.18).

Non-record materials – Those federally owned informational materials that do not meet the statutory definition of records ([44 U.S.C. 3301](#)) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit. Informational material excluded from the definition of records. This material is preserved solely for reference and extra copies of documents are kept only for convenience of reference.

Permanent record – Any federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody. Permanent records are those for which the disposition is permanent on SF 115, Request for Records Disposition Authority, approved by NARA on or after May 14, 1973. The term also includes all records accessioned by NARA into the National Archives of the United States.

POC – Point of Contact

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Records – Information created that is preserved or appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities or because of the informational value of the data regardless of physical form or characteristics, in connection with business transactions under the contract. It includes, but is not limited to, all paper; film and electronic documents; reports; correspondence; notebooks; diaries; engineering drawings; personal calendars; appointment books, telephone directories; notes and memoranda used, generated or received by UCOR directors, employees, consultants and subcontractors.

Records refer to those classes of documents that may be disposed of only after archival authority is obtained. As defined in 44 USC 3301, *Definition of a Record*, records includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical forms or characteristics, made or received by an agency of the United States Government under federal law or in connections with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.

Record Copy Holder – The individual or organization identified to manage the record according to approved records management procedures.

Records Inventory – Records Inventory is the process of reviewing and identifying an organization’s records and non-record holdings regardless of media or format.

Records Management – The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the federal government and effective and economical management of agency operations.

RMS – Records Management System

Records Schedule – The records schedule identifies records as either temporary or permanent. All records schedules must be approved by NARA. A records schedule provides mandatory instructions for the disposition of the records (including the transfer of permanent records and disposal of temporary records) when they are no longer needed by the agency. As part of the ongoing records lifecycle, disposition should occur in the normal course of agency business. federal records must be scheduled (44 U.S.C. 3303) either by an agency schedule or a General Records Schedule (GRS).

Retention period – The length of time that records must be kept.

Satellite Document Center (SDC) – An SDC is an extension of the DMC and is managed by Records Specialists under the supervision of the Records Management program. SDCs may be project specific or task specific (e.g., Waste Manager or subcontractor submittals). The need for SDCs is determined and approved by the Records Management SME and Information, Technical Editing, and Records Manager.

SCA – Subcontract Administrator

Series Inventory Number (SIN) – A number assigned to file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. SIN is also called a records series.

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Signature digital – An electronic signature comprised of encrypted identification certificates. When properly implemented, provides a mechanism for verifying origin authentication, data integrity and signatory non-repudiation (e.g., PIV/CAC certificates).

Signature electronic – An electronic character, seal, symbol, or process, attached to or logically associated with a contract or other record and executed or adopted by a person with the intent to acknowledge, authorize, or certify.

SME – Subject Matter Expert

STI – Scientific Technical Information

Temporary record – Any federal record that has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by the National Archives and Records Administration. This determination may take the form of:

1. Records designated as disposable in an agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority); or
2. Records designated as disposable in a General Records Schedule.

UCD – Unreviewed Change Determination

Unscheduled records – Federal records whose final disposition has not been approved by NARA on a SF 115, Request for Records Disposition Authority. Such records must be treated as permanent until a final disposition is approved.

USQ – Unreviewed Safety Question

USQD – Unreviewed Safety Question Determination

Work Package History File – The record of every component issued in a Work Package. The History File is structured to have the original Work Package first, then each subsequent Change Notice or Revision behind the original package.

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Attachment B
Common Category I (Quality Assurance)/Category II Records (Non-Quality Assurance) Records
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Category I (Quality Assurance)

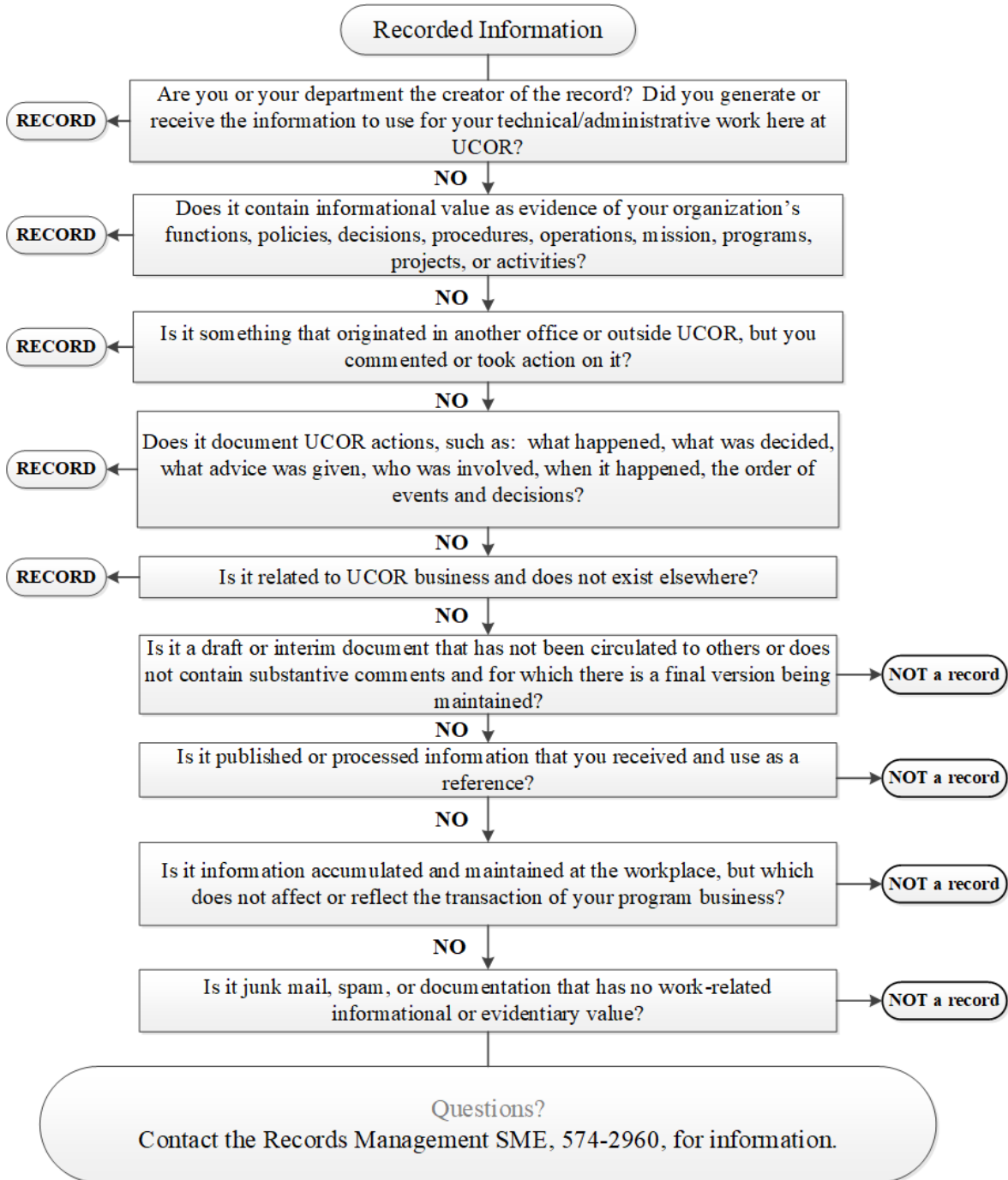
Administrative Record Files
CERCLA Files
CFO Financial Records
Employee Medical Files
Environmental Monitoring
Hazard Waste Manifests/Shipping Records
Logbooks
Measuring and Test Equipment Records
Permits
Plant Facility Drawings
Procedures
Radiological Protection Files
Safety Basis Document Records
Sampling Results (Data Packages)
RCRA Facility Inspection Checklist
RCRA Files
Senior Level Organization Chart
Submittal Files (Select)
Training Records
Note: These Training Records relate to the handling of hazardous or radioactive material, radiation safety or Criticality safety, or training provided to prepare employees to avoid, prevent, or minimize any type of injury which could result from exposure of harmful substances.
Waste Item Descriptions (Container Record)
Waste Profiles
Work Packages (Completed)

Category II (Non-Quality Assurance)

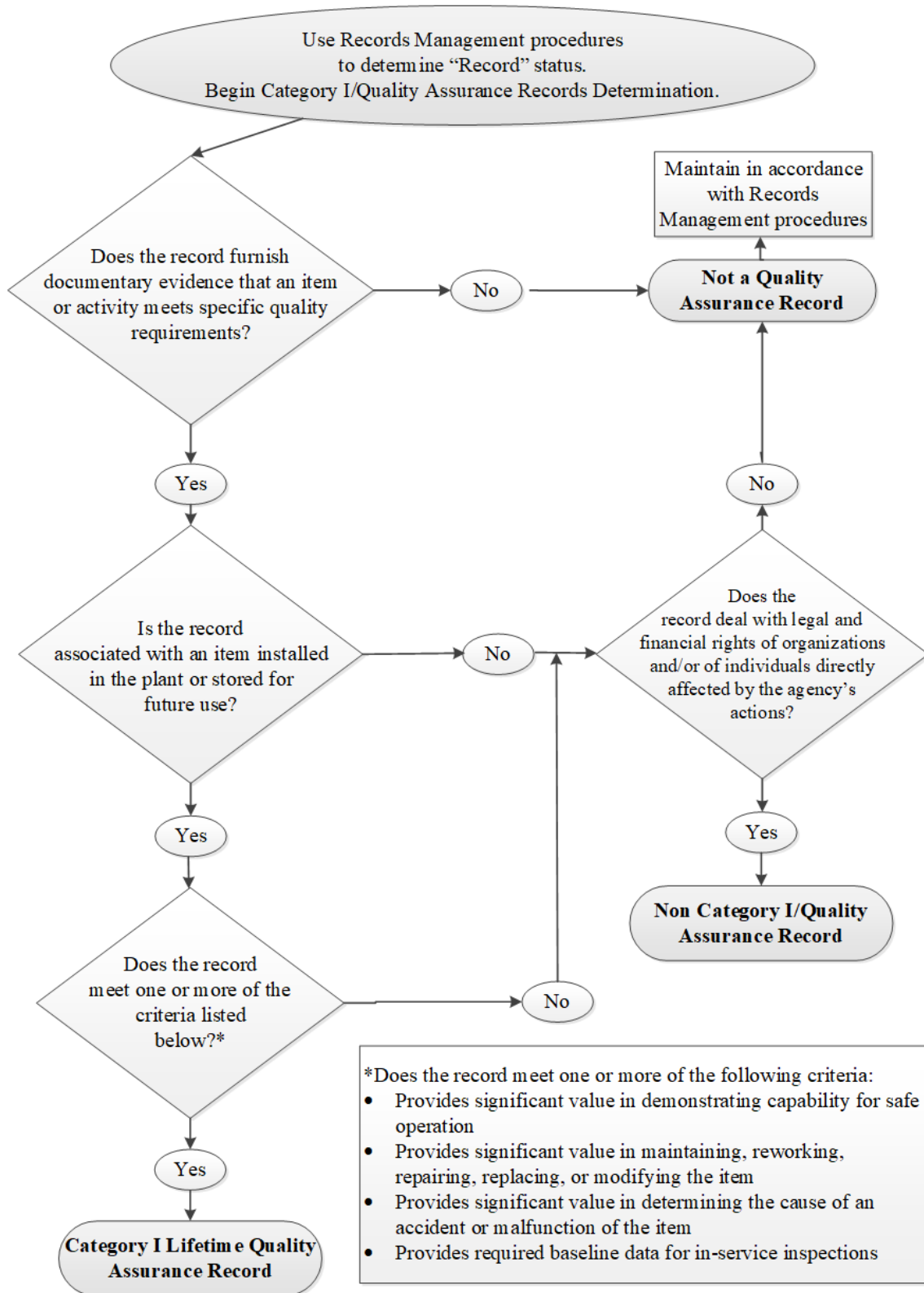
Audit Reports
Budget Records
Calibration Records
Claims and Litigation Files
Daily Surveillance Reports
Digital Photos
EEOICPA Files
Employee Application Files
Employee Concern Files
Equipment Maintenance Files
General Correspondence
Human Resources Personnel Records
Information Technology Records
Internal Verification Review
Interview Records
Labor Relation Reports
Lessons Learned Files
Management Assessments
Project Photographs
Project Status Reports
Meeting Minutes
Readiness Review Evidence Files
Round Sheets (Walk Abouts)
Security Investigation Files
Shift Turnover Documents
Subcontract Procurement Files
Submittal Files (General)
Training Records
Note: These Training Records relate to managerial, developmental, administrative, non-exposure, etc., subjects.
Vendor Documentation on Equipment
Work Packages (In Progress)
Work Permits

CERCLA. Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (Superfund)
CFO. Chief Financial Office
EEOICPA. Energy Employees Occupational Illness Compensation Program Act of 2000
RCRA. Resource Conservation & Recovery Act of 1976
PRC. Project Review Committee

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Records Determination
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Attachment D
Category I Quality Assurance Record Determination
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Instructions for Digitizing Hard Copy Temporary Records and Disposing of the Source Record
(Destroying Permanent Records Is NOT Authorized)
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Digitizing (scanning) temporary hard copy records must meet the following standards:

1. Capture all information contained in the original source (hard copy) records;
2. Include all the pages or parts from the original source (hard copy) records;
3. Ensure the digitized version can still be used for all the purposes the original source records serve, including the ability to attest to transactions and activities;
4. Protect against unauthorized deletions, additions, or alterations to the digitized versions by storing in the UCOR RMS; and
5. Ensure the digitized version can be located, retrieved, accessed, and used for the records' entire retention period.
6. Prior to digitization, follow guidance in accordance with PPD-SE-1405, *Classified Matter and Protection (CMPC) Manual*, PROC-SE-1005, *Classification and Information Control* and PPD-SE-1415, *Controlled Unclassified Information Manual*.

Image quality specifications for digitized temporary records:

Digitization requirements identified below are taken from the NARA requirements for digitizing records for transfer to NARA. Digitizing **temporary** records must meet the following minimum requirements for scanning resolution and pixel (bit) depth to support archival preservation and continued use:

1. *Bitonal (1-bit) scanned at 300-600 ppi.*
This is appropriate for documents that consist exclusively of clean printed type possessing high inherent contrast (e.g., laser printed or typeset on a white background). Scanning between 300 and 400 ppi is recommended.
2. *Gray scale (8-bit) scanned at 300-400 ppi.*
This is appropriate for textual documents of poor legibility because of low inherent contrast, staining, or fading (e.g., carbon copies, thermofax, or documents with handwritten annotations or other markings), or that contain halftone illustrations or photographs. Scanning at 400 ppi is recommended.
3. *Color (24-bit RGB [Red, Green, Blue]) scanned at 300-400 ppi.*
Color mode (if technically available) is appropriate for text containing color information important to interpretation or content. Scanning at 400 ppi is recommended.

Validation of digitized version:

1. Ensure the digitized version is of suitable quality to replace original hard copy records.

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Verify the standards from above were met.

Disposing of original source record for temporary records (disposing of permanent records is not authorized):

1. When an agency has validated that the digitized versions meet the standards in § 1236.32, the agency may destroy the original source records pursuant to General Records Schedule (GRS) 4.5 (Digitizing Records) or an agency-specific records schedule that addresses disposition after digitization, subject to any pending legal constraint on the agency, such as a litigation hold.
2. The agency must treat the digitized versions, now the recordkeeping versions, in the same way it would have treated the original source records. The agency must retain the digitized versions for the remaining portion of any retention period established by the applicable records schedule.
3. Agencies do not need to obtain NARA approval to destroy scheduled temporary records they have digitized according to this part.
4. When the digitized version has been validated that it meets the standards above, the original source record (hard copy) may be destroyed pursuant to General Records Schedule (GRS) 4.5 Digitizing Records, subject to any pending legal constraint on the agency, such as a litigation hold.
 - GRS 4.5 defines that Source Records from which a digitized version or digitized record is created are scheduled as temporary in an approved records schedule.

Temporary. Destroy after validating the digitization process meets NARA’s digitization standards in regulation (36 CFR 1236 Subpart D).	DAA-GRS-2022-0010-0001
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The Company must treat the digitized versions, now the recordkeeping versions, in the same way it would have treated the original source records. The company must retain the scanned versions for the remaining portion of any retention period established by the applicable records schedule and placed in RMS for storage.

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Supplementary Requirements for Records on Media other than Paper
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Because of the media, value, or the sensitivity of the information, some records have additional requirements for protection, access, retrieval, and storage.

SECTION 1. ELECTRONIC RECORDS SYSTEMS

This guidance applies to all electronic records systems whether on microcomputers, minicomputers, or mainframe computers regardless of storage media or configuration. An electronic system includes the inputs and outputs that are generated, as well as the information on electronic media. Electronic record system records include numeric, graphic, and text information which may be recorded on any medium capable of being read by a computer and which satisfy the definition of a record and then converted to .PDF, if not already.

The electronic record keeping system's operation and the controls imposed upon it must be documented thoroughly to establish trustworthiness, which is a basis for admitting electronic records as evidence to federal courts for use in court proceedings.

Documenting Electronic Record Systems

1. Define the following:
 - a. Functions supported by the system: operational, legal, audit, oversight, or historical requirements for the information.
 - b. Specify location, manner, standard processes, and media in which electronic information will be used.
 - c. Procedural controls employed to preserve the integrity of the data in the system and ensure only authorized persons have access. Use of non-shareable passwords is one method of minimizing unauthorized access.
2. Define physical and technical characteristics of the records, including a record layout that describes each field including its name, size, starting or relative position, and a description of forms of data (such as alphabetic, zoned decimal, packed decimal, or numeric) and any other information needed to read and process information.
3. Describe update cycles or conditions and rules for adding and deleting information.
4. Maintain documentation of both the system and the data that are current until the information system is discontinued.

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Creation and Use of Electronic Record Systems

1. Register the system with the Records Management SME so appropriate Records Retention Schedules may be applied.
2. Implement and maintain an effective records security program through access and usage controls and backups to prevent unauthorized access, loss or removal, modification, damage by power interruption or human error, or theft of records created or acquired in electronic form.
3. Review electronic records periodically to ensure they meet the requirements of this procedure.
4. Establish processes for addressing records management requirements, including record keeping requirements and disposition before approving new electronic records systems.
5. Provide a method for all authorized users of the system to retrieve desired documents such as an indexing or test search system.
6. Provide a standard interchange format when necessary to permit the exchange of documents or electronic media between agency computers using different software/operating systems, and conversion from one system to another.

Labeling and Indexing Electronic Records

1. Use readily understandable and standard internal document labels to enable users to identify and retrieve electronically stored information in a timely manner.
2. The following information must accompany the files:
 - originator/editor's name and phone number,
 - program and project identification,
 - document identifier and organization number,
 - security classification,
 - file size/software (including version and hardware dependency),
 - transmittal.

UCOR currently does not have permanent or unscheduled magnetic tapes, but should any be received they would need to include:

- all of the information listed above, plus
- recording density,
- type of internal labels,
- volume serial number, if applicable,
- number of tracks,
- information about block size, and
- reel sequence numbers, if file is part of a multi-reel set.

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For numeric data files include:

- all of the information listed above, plus
 - record format and logical record length, if applicable,
 - data set names and sequence, if applicable, and
 - number of records for each data set.
3. When necessary to keep external labels physically separate from the media for security purposes, then cross-reference the external labels to the electronic media.
 4. Index case-filed electronic records.

Print out indexes to ensure easy access.

Base the complexity of the indexing system on the volume of records, retention periods, and the users' familiarity with the records. Include such things as date, subject, sender, receiver, and number (case contract, purchase order, etc.).

Scheduling and Disposition of Electronic Records

1. Ensure electronic information systems are reviewed for record keeping requirements and are scheduled for retention.
2. Destroy electronic records only in accordance with an approved records disposition schedule.
3. Ensure electronically stored records are easily retrievable until their authorized disposition. This requires a media migration plan if required retention is longer than the life of the media being used.
4. Convert permanent electronic records that are to be transferred to the NARA to .PDF.
5. The system must be able to accommodate the data transportability specifications and documentation for those permanent records that will be transferred to NARA. (See 36 CFR Chapter XII, National Archives and Records Administration.)
6. Follow the approved method of erasure or destruction established by Security for classified or sensitive unclassified records that are to be destroyed.

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General Requirements for Storing Electronic Records

1. **IF** the media has a shorter life span than the retention period, **THEN** ensure a documented plan is prepared and appropriately approved to outline how records will be transferred to another media or recopied.
2. Update media to provide compatibility with UCOR hardware or software, and to ensure information is not lost due to changing technology or deteriorating media.
3. Prior to converting to a different medium, determine that the authorized disposition can be implemented after conversion.
4. When choosing a storage medium, consider the portability (that is, select a medium that will run on equipment offered by multiple manufacturers). Also, consider the ability to transfer information from one medium to another.
5. Use special handling and storage for electronic media to be maintained longer than one year.
6. Protect electronic media from magnetic fields and light.
7. Limit access to storage libraries and computer rooms to authorized personnel.
8. Assess electronic records systems periodically for conformance to established standards, policies, and procedures.
9. Maintain appropriate backup copies.

SECTION 2. MICROFILMED RECORDS

A. Microfilmed Records Requirements

1. The microforms must be adequate substitutes for the original records and serve the purpose for which such records were created or maintained if the original is to be destroyed.
2. Ensure microfilming activity is completed as part of the regular course of business.
3. Ensure chosen alternative is the most cost-effective and efficient system unless overriding intangible benefits necessitate an alternative decision.
4. Ensure microfilm processed is in accordance with 36 CFR, Chapter XII, Micrographic Records Management.

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5. **WHEN** work is outsourced and a vendor chosen, **THEN** ensure work follows the standards for format and film/image requirements (including quality control) found in 36 CFR, Chapter XII, Micrographic Records Management.
6. Ensure permanent or unscheduled microfilmed records are stored in accordance with 36 CFR, Chapter XII, Micrographic Records Management.
7. Ensure temporary records are stored under conditions that will ensure their preservation for the full retention period.
8. The silver gelatin original must not be used for reference purposes. Duplicates must be used or referenced and for further duplication or distribution.

SECTION 3. AUDIOVISUAL RECORDS

NOTE: Applies to all audiovisual records such as still photographs, motion pictures, video and sound recordings, and graphic arts. Audiovisual records have complex and diverse physical attributes that pose some special handling, storage, and preservation problems.

A. Special Handling for Permanent or Unscheduled Audiovisual Records

1. Identify permanent or unscheduled audiovisual records on nitrate and diacetate films because of their age and inherent instability.
2. Recommend to Records Management SME that such records be offered to NARA immediately so they may be reviewed for disposal or copied and destroyed, as appropriate.
3. Store jacket cut film negatives individually in acid-free envelopes.
4. Store audiovisual masters in audiovisual storage containers or enclosures made of non-corroding metal, inert plastic or paper containers, and other safe materials as outlined in 36 CFR, Chapter XII.
5. Establish environmental storage control at the following recommended temperatures and relative humidity:
 - Constant Temperature: 70° F or cooler
 - Constant Relative Humidity: 30-40%, not to exceed 50%.

Even colder and drier storage conditions are recommended for color films, which are very sensitive to heat, humidity, and light.

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1. Protect from fire, water, and chemical damage.

WARNING: Film produced before 1950 could be nitrate; therefore posing a potential fire hazard.

SECTION 4: REQUIREMENTS FOR RADIOGRAPHIC RECORDS

NOTE: The following guidelines are recommended for the care and handling of radiographs and required for Category I radiographs.

A. Radiographic Enclosure Materials

1. Establish special care and handling criteria for radiographic film to ensure adequate film preservation.
2. Protect radiographs using both film manufacturers' envelopes for sets of radiographs and interleaving paper for each radiograph when appropriate.
3. Ensure both envelopes and interleaves meet the film manufacturer's recommendation including the following physical and chemical requirements:
 1. Enclosure material is free of acids and peroxides that may be released slowly over time and cause image instability or chemical decomposition of the film.
 2. The enclosure itself is chemically stable and opaque or otherwise provides protection from light exposure.
 3. Enclosure material has a slightly rough or matted surface but not rough enough that it can cause abrasion problems.
 4. Enclosure materials do not contain rubber bands, paper clips, staples, or other material that could scratch or contaminate the radiographs.
 5. Radiographic examination reports and shooting sketches are not stored in direct contact with radiographs.

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Care and Handling of Radiographic Records

1. Wear thin cotton or nylon (lint-free) gloves when handling radiographs.
2. Handle radiographs in a manner that is not detrimental to film quality.
3. Ensure contaminants are not placed in direct contact with the film.
4. Ensure radiographs are adequately supported to prevent bending and are positioned to avoid damage caused by stacking.
5. Ensure radiographs are not stored in the presence of chemical fumes.
6. **IF** nitrate film is discovered, **THEN**
remove from storage immediately and consult Fire Protection specialists.

NOTE 1: The maximum temperature for extended periods should not exceed 77° F and a temperature below 68° F is preferable. The peak temperature during periods of equipment maintenance shall not exceed 90° F.

NOTE 2: FRC storage shall not be used for permanent or litigation x-rays unless space meeting the excellent environmental standards is made available. If such x-rays are currently stored at a FRC without environmental controls, they shall be removed no later than three years after placement. Deterioration is a risk if x-rays are stored for a longer period.

7. Maintain a constant temperature of 40-75° F and a constant relative humidity of 30-60%.

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Attachment G
Additional Requirements for Transferring Inactive Records to the DMC
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1. Order GSA white records storage boxes of a standard size, 10x12x15.
2. Pack boxes fully with record copy Only. Do not combine different records types, they must be placed in separate boxes. Packed boxes **must not** exceed 30 pounds. Leave two inches of space at one end. Do not over-stuff; lids must close flat. If contents of a file cabinet drawer will not fit in one box, use a second box and list contents accordingly.
3. Boxes must not contain hanging files. Hanging files must be replaced with non-hanging folders before shipping. Remove binders and place in folders.
4. Stamp the outside of the box to indicate the highest classification level of its contents.
5. Place box number and Delivery Number on 15" left side of the box, i.e., Box 1 of 8, DMC-24-####.
6. **DO NOT WRITE ANY INFORMATION IN THE "AGENCY BOX NUMBER" OR "ACCESSION NUMBER" SPACE ON THE FRONT OF THE BOX. THIS SPACE IS PROVIDED FOR FEDERAL RECORDS CENTER USE ONLY.**
7. Prepare a Records Transmittal Index, acronyms must be spelled out upon first use in each index. Provide an electronic copy of the completed index to the DMC via e-mail.
8. If records are coming from a potentially contaminated area, contact Radiological Protection Program Office to have records scanned and green-tagged prior to shipping records to the DMC.
9. Coordinate with the DMC to have boxes transferred to storage.