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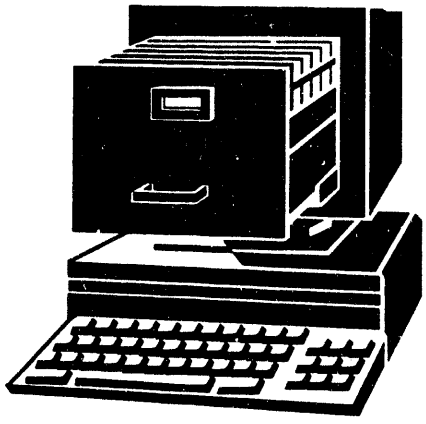

1993 Department of Energy Records Management Conference

June 14 – 17, 1993
Seattle, Washington

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DOE Records Management Conference Steering Committee
U.S. Department of Energy, Office of Information Resources Management

MASTER

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1993 DOE RECORDS MANAGEMENT CONFERENCE
AGENDA

Monday, June 14, 1993

Springboard Program

7:30 - 8:00	**Registration**	
8:00 - 8:15	**Welcome to Springboard Program and Announcements**	*Erik Anderson* Conference Steering Committee
8:15 - 9:00	**DOE Records Management Overview**	*Mary Ann Wallace* DOE-HQ IRM
9:00 - 9:15	**NIRMA and ARMA Resources**	*Jack Lewis* MMES (NIRMA) *Lowell Langford* DOE-OSTI (ARMA)
9:15 - 9:45	**NARA Records Management Training**	*Jeanne Young* NARA
9:45 - 10:15	**Break**	
10:15 - 11:45	**Jump Starting Your Understanding of Records Management**	*Lynn Pavelka-Zarkesh* Chem-Nuclear Geotech, Inc.
11:45 - 1:00	**Lunch**	
1:00 - 1:30	**Jump Starting (Continued)**	
1:30 - 2:30	**Identifying Potential Quality Assurance Records**	*Peggy Warner* GEO-CENTERS, Inc.
2:30 - 3:00	**Break**	
3:00 - 3:45	**Filing Systems: How Do I Manage My Records Before the Retention Schedule is Approved?**	*Sandra Tonnesen* Sandia National Laboratories
3:45 - 4:30	**How Do I Organize and Index Technical Records Before I have a RIDS?**	*Kay Schardein* International Technology Corp.
5:00 - 6:30	**Reception**	

Special Interest Groups

8:15 - 11:30 **Session #1**

Electronic Records

Moderator:
Patricia K. Schuette
Pacific Northwest Laboratory

or

Quality Assurance Records

Moderator:
Tom V. Anderson
Kaiser Engineering Hanford

1:00 - 4:30 **Session #2**

Inventory/Schedule

Moderator:
Nancy Pruett
Sandia National Laboratory

or

Requirements

Moderator:
Gordon Weaver
Chem-Nuclear Geotech, Inc.

Tuesday, June 15, 1993

7:30 - 8:00	**Registration**	
8:00 - 8:45	**Welcome/Announcements**	*Steve Perin* DOE-HQ IRM *Robert M. Rosselli* DOE-RL *Erik Anderson* Conference Steering Committee
8:45 - 9:45	**DOE-HQ Initiatives, Planning, IRM Reviews**	*Mary Ann Wallace* DOE-HQ IRM
9:45 - 10:15	**Break**	
10:15 - 10:45	**Status of Epidemiologic Inventory**	*Bill LeFurgy* DOE-HQ
10:45 - 11:45	**Panel: Records Scheduling**	*Barbara Compton* Protection Technology Idaho *Mary Compau* Westinghouse Hanford Company *Anna Nusbaum* Sandia National Laboratories
11:45 - 1:00	**Lunch**	
1:00 - 1:45	**Disposition of Records and Personal Papers**	*Jeanne Young* NARA
	or	
	Establishing a Vital Records Program	*Karen Strange and Juli Stewart* Martin Marietta Energy Systems
1:45 - 2:30	**Moving the Mountain: Planning for Inactive Records Storage**	*Catherine E. Pasterczyk* Sandia National Laboratories
	or	
	Establishing an Administrative Record	*Kaye Bentzen* EG&G Rocky Flats
2:30 - 3:00	**Break**	

3:00 - 3:45	**Team Hanford: Managing Records in a Multi-Contractor Environment**	*Erik N. Anderson* Pacific Northwest Laboratory *Tom V. Anderson* Kaiser Engineers Hanford *John W. Munch* Hanford Environment Health Foundation *Charles N. Potter* Westinghouse Hanford Company
	or	
	Managing Potentially Contaminated Records: A Case Study	*Brian Sprouse* Westinghouse Hanford Company
3:45 - 4:30	**The Records Management Matrix: Using a Records Council to Meet Requirements and Provide Services in a Decentralized Environment**	*David B. Gaynon, CRM* Sandia National Laboratories
	or	
	Technical Data Are Records. Aren't They?	*Jan Statler* Science Applications International Co

Wednesday, June 16, 1993

7:30 - 8:00	**Registration**	
8:00 - 8:15	**Announcements**	
8:15 - 9:00	**Electronic Mail - Legal and Records Issues**	*Tom Dercola* DOE-HQ IRM
9:00 - 9:45	**Panel: Inventorying Electronic Records**	*Anna Nusbaum and Kathryn Olson* Sandia National Laboratories
9:45 - 10:15	**Break**	
10:15 - 11:00	**Performance Improvement Team and Status of NARA/GAO Reports**	*Ron Shores* DOE-HQ IRM
11:00 - 11:45	**Different Approaches to Accomplishing the Inventory in a Research and Development Environment - Panel**	*Lori Hefner* Lawrence Berkeley Laboratories *Nancy Pruett* Sandia National Laboratories *Mary Ann Wallace* DOE-HQ IRM *Eleanor Melamed* NARA
11:45 - 1:00	**Lunch**	
1:00 - 1:45	**Using Consultative Selling to Market Records Management**	*S. M. Ekkebus* Martin Marietta Energy Systems
	or	
	Automated Indexing and Retrieval System Using Versatile Software	*Don Nord and Kathleen Fortenberry* Western Area Power Administration
1:45 - 2:30	**Decentralized Approach to Scheduling at a DOE Office**	*Orville Pratt* Science Applications International Corp.
	or	
	Environmental Data Standardization	*Jeff Worthington* TechLaw, Inc.
2:30 - 3:00	**Break**	

Wednesday, June 16, 1993 (Continued)

3:00 - 3:45	**Getting from Here to There: Developing a Project-Specific Records Management Program**	*Timothy S. Nanninga* Chem-Nuclear Geotech, Inc.
	or	
	Reconfiguration Status - Defense Programs Working Group	*Margarita Sexson* DOE-AL
3:45 - 4:30	**Storage and Retrieval at Savannah River**	*Joe Sabino* Westinghouse Savannah River Co.
	or	
	Panel: Quality Assurance/DOE Requirements	*S. Martin Cummings, Jr.* TRW *Marty Johnson* Martin Marietta Energy Systems *Robert N. Vacchiarello* Stone & Webster Engineering Corp.

Thursday, June 17, 1993

8:00 - 8:30	**Training an Inventory Staff**	*Patrick F. Boyle* Millican & Associates
8:30 - 9:45	**Panel: Training Programs**	*Thomas Rowley* EG&G Idaho, Inc. *Debi Martin* Pacific Northwest Laboratory *Lynn Pavelka-Zarkesh* Chem-Nuclear Geotech, Inc.
9:45 - 10:15	**Break**	
10:15 - 11:00	**Optical Disk Case Study**	*Bob Richardson* Westinghouse Hanford Company
11:00 - 11:45	**"COLD" Medical Records Protection Automation**	*Robin Gibson* Martin Marietta Energy Systems
11:45 - 1:00	**Lunch**	
1:00 - 2:00	**Special Interest Group (SIG) Reports**	SIG Moderators
2:00 - 2:30	**Conference Wrap-up and Election Results**	*Jan Statler* Science Applications International Corp.

Friday, June 18, 1993

9:00 - 11:30	**Tour of Seattle Federal Records Center (Optional)**
9:00 - 4:00	**DOE Records Officers Meeting (For DOE Records Officers Only)**

1993 DOE Records Management Conference
Program

	SUNDAY June 13	MONDAY June 14 Special Interest Groups	MONDAY June 14 Springboard Program	TUESDAY June 15 Main Conference		WEDNESDAY June 16 Main Conference		THURSDAY June 17 Main Conference	FRIDAY June 18 Optional
7:30		Registration		Registration		Registration			
7:45		"		"		"			
8:00			Welcome, Springboard	Welcome / Announcements		Announcements		Training an Inventory	
8:15		Session # 1	DOE Records Mgmt	"		Electronic Mail -- Legal and Records Issues		Staff	
8:30		Electronic Records	Overview	"		"		Panel: Training	
8:45		OR	"	DOE HQ Initiatives -- Planning, IRM Reviews		"		Programs	
9:00		QA Records	ARMA & NIRMA Intro	"		Panel: Inventorying Electronic Records		"	Seattle FRC Tour
9:15			NARA Training	"		"		"	"
9:30			Resources	"		"		"	"
9:45		Break		Break		Break		Break	"
10:00		"		"		"		"	"
10:15			Jump Starting Your	Status of Epidemiologic Inventory		DOE HQ -- Performance Improvement and		Optical Disk Case	"
10:30			Understanding of	"		Status of NARA/GAO Reviews		Study	"
10:45			Records Management	Panel: Records Scheduling		"		"	"
11:00			"	"		Panel: Records Inventorying		Medical Records	"
11:15			"	"		in an R&D Environment		Automation	"
11:30			"	"		"		"	"
11:45		Lunch		Lunch		Lunch		Lunch	"
12:00		"		"		"		"	
12:15		"		"		"		"	
12:30		"		"		"		"	
12:45		"		"		"		"	
1:00		Session #2	"	Disposition of Records	Establishing a Vital	Using Consultative	Automated Indexing	SIG Reports	
1:15		Inventory/Schedule	"	and Personal Papers	Records Program	Selling to Market	and Retrieval System	"	
1:30		OR	Identifying Potential	"	"	Records Management	"	"	
1:45		Requirements	QA Records	Moving the Mountain:	Establishing an	Decentralized	Environmental	"	
2:00	Steering Committee		"	Inactive Records	Administrative Record	Scheduling Approach	Data Standardization	Conference Wrap-up	
2:15	"		"	Storage	"	at a DOE Office	"	& Election Results	
2:30	"	Break		Break		Break		Steering Committee	
2:45	"	"		"		"		"	
3:00	"		Filing Systems	Managing Records in	Contaminated	Developing a Project-	Reconfiguration Status -	"	
3:15	"		"	a Multi-Contractor	Records	Specific Records	DP Working Group	"	
3:30	"		"	Environment	"	Management Plan	"	"	
3:45	"		Indexing Technical	Records Management	Technical Data	Storage & Retrieval	Panel: Quality Assuran	"	
4:00			Records	Matrix	are Records	at Savannah River	DOE Requirements	"	
4:15			"	"	"	"	"		
4:30									
4:45									
5:00		Reception / Cash Bar							
5:15		(until 6:30)							
5:30		"							
5:45		"							

5-25-93

Department of Energy
Records Management Group

Charter

Purpose

The Department of Energy (DOE) Records Management Group (RMG) provides a forum for DOE and its contractor personnel to review and discuss subjects, issues, and concerns of common interest. This forum will include the exchange of information, and interpretation of requirements, and a dialog to aid in cost-effective management of the DOE Records Management program.

Initiatives

Issues addressed by the RMG may result in recommendations for DOE-wide initiatives. Proposed DOE-wide initiatives shall be provided in writing by the RMG Steering Committee to the DOE Records Management Committee and to DOE's Office of IRM Policy, Records, and Reports Management for appropriate action.

Membership

The membership of the RMG is composed of personnel engaged in Records Management from DOE Headquarters, Field sites, contractors, and other organizations, as appropriate.

Steering Committee, Chair and Vice Chair

It is the responsibility of the Committee to schedule meetings, solicit issues, establish agendas, and address common needs in support of the conference. It is also their responsibility to forward, to the appropriate committee or office, recommendations resulting from the conference. Additional duties or projects proposed by the RMG or the DOE Records Management Committee, and deemed acceptable by the Committee, may be assumed.

A Chair and Vice Chair shall preside over the Steering Committee. The Chair shall preside over the meetings and coordinate committee efforts. The Vice Chair will assume these responsibilities in the Chair's absence. The Vice Chair shall be elected by the RMG and automatically succeed the Chair after a term of one year. (Refer to Articles IV and VI for details.)

Conference

When deemed appropriate by the DOE Director of Administration and approved by the Secretary or his designee (in accordance with DOE 1130.7B, DEPARTMENTAL CONFERENCE ACTIVITY), a conference shall be held at a location near or in a DOE site community. Members of the Steering Committee shall select a Program Chair and a Host Chair for each conference to ensure no one is unduly burdened.

Administrative and organizational support will be provided by DOE Headquarters and the Steering Committee.

Department of Energy Records Management Group

BYLAWS

ARTICLE I

Name

The name of this organization shall be the Department of Energy - Records Management Group, hereinafter referred to as DOE RMG.

ARTICLE II

Purpose

Section 1. The purpose of the DOE RMG is to provide a forum for DOE and its contractor personnel to review and discuss subjects, issues, and concerns of common interest. This forum will include the exchange of technical information, an interpretation of requirements, and a dialog to aid in cost-effective management of the DOE Records Management Program.

Section 2. Not-for-Profit. DOE RMG is a nonprofit organization, no part of whose funds shall inure to the benefit of any member.

ARTICLE III

Membership

Membership of the DOE RMG is composed of Records Management personnel from the various DOE organizations of Headquarters, Field sites, contractors, and others, as appropriate.

ARTICLE IV

Steering Committee

Section 1. Powers. The affairs of DOE RMG shall be managed by the Steering Committee, except as otherwise provided in these bylaws.

Section 2. Membership. The RMG Steering Committee will consist of a Chair, Vice Chair, ten Committee members representing the DOE and contractor community, and an ex officio representative of the HQ Office of IRM Policy who will participate as a non-voting member.

Section 3. Officers. The officers of the Committee shall consist of the Chair and Vice Chair.

Section 4. Nominations. Nominations for eight Steering Committee members and the Vice Chair shall be solicited by a call prior to each conference. In the event fewer than eight nominations are submitted for committee members and/or no nominations for Vice Chair, the Steering Committee shall nominate candidates. Elections will be held by the RMG.

Section 5. Election and Appointment. The Chair and Vice Chair shall each serve one-year terms. The Vice Chair shall be elected by majority vote of the RMG, and automatically succeed the Chair after a one-year term. The unsuccessful candidate(s) for Vice Chair will automatically be added to the ballot for Steering Committee membership.

Eight Steering Committee members shall also be elected by majority vote of the RMG, four members each from the DOE Federal and the contractor communities. These eight members shall serve a one-year term. Two members shall be chosen by the Steering Committee (one DOE, one contractor) to remain on the Committee for another year. By retaining two committee members and the previous Vice Chair, continuity of issues and recommendations is assured.

Section 6. Vacancies. When the position of Chair becomes vacant, the Vice Chair shall immediately assume the position. The Steering Committee shall then elect, by majority vote, a Vice Chair from among the current Committee members.

Vacancies on the Steering Committee occurring at any time during a term of office shall be filled for the remainder of the unexpired term by a person designated by the majority vote of the Steering Committee.

Section 7. Meetings. The Steering Committee shall meet to facilitate planning and execution of the Records Management Conference. The Committee shall meet at least once prior to the conference to plan and organize the program. The Committee shall meet again following the conference for evaluation purposes and suggestions for the next conference. The Chair shall preside at meetings of the Committee. The Vice Chair shall assist the Chair and exercise all powers of the Chair in the Chair's absence.

ARTICLE V

Conferences

Following approval, a conference will be held at or near a DOE site as determined by the RMG Steering Committee. Approval will be sought in accordance with the DOE 1130.7B, DEPARTMENTAL CONFERENCE ACTIVITY.

ARTICLE VI

Management

Section 1. Administrative Staff Support. Administrative support for the Steering Committee shall be managed by the Chair and the HQ ex officio representative. Support, as required, shall be provided by Committee members.

Section 2. Accountability of Funds. The Chair of the Steering Committee shall be responsible for accounting for any funds received and disbursed in connection with DOE RMG activities and for meeting all regulations as may be required by statute or Government policy.

Section 3. Duties of the Steering Committee. The members of the Steering Committee shall be responsible for the performance of the following duties.

Chair

1. Calls all meetings of the Steering Committee;
2. Presides over meetings of the Steering Committee;
3. Presides over RMG Conference proceedings;
4. Responsible for final coordination of Conference agenda; and
5. Responsible for any funds received or disbursed.

Vice Chair

1. Assists Chair in the conduct of meetings and conferences, and chairs meetings and conferences in his absence;
2. Assumes Chair upon the departure of the incumbent Chair;
3. Summarizes agenda topics and program status at any Plenary Session(s) of the RMG Conference;
4. Receives and forwards to the RMG and Steering Committee proposed and a adopted amendments to the Charter; and
5. Provides proposed initiatives, in writing, to the DOE Records Management Committee at the direction of the RMG Steering Committee.

Headquarters Representative

1. Provides administrative and organizational support for the conference, as required and within budget constraints;
2. Prepares conference justification packages as required for approval;
3. Ensures the RMG activities and conferences are consistent with the needs and concerns of the Department.

Program Chair

1. Solicits topics of interest from the RMG and develops a proposed agenda for the conference for Steering Committee review;
2. Arranges speakers and panel discussion leaders, and/or designates the responsibility to other Committee members;
3. Arranges for publication of the Conference proceedings.

Host Chair

Provides administrative support, as required, during the Conference.

At-Large Members

1. Assist with Conference planning and execution as directed by the Chair.
2. Participate in other Committee activities, as needed.

ARTICLE VII

Nondiscrimination

Section 1. Nondiscrimination. DOE RMG shall not discriminate in any manner against any person by reason of race, color, sex, national origin, handicap, religion, or political affiliation.

ARTICLE VIII

Amendments

Section 1. Procedure. These bylaws may be amended at any regular meeting of the RMG Steering Committee, on a temporary basis until approved by the RMG, or by majority vote of the RMG. The proposed amendment(s) shall be made in writing to the Vice Chair. Copies of the proposed amendment shall be distributed to the members at least 30 days prior to the date of the meeting at which they will be considered.

Section 2. Effective Date. All amendments to the bylaws shall become effective when adopted or as specified in the amendment resolution. Copies of adopted amendments shall be provided to members within 15 days of adoption.

ARTICLE IX

Vendor Participation

If requested, Vendors may provide exhibits of their products or services, with the approval of the RMG Steering Committee, at records management conference when the following conditions are met.

1. The product or service must be relevant to Records Management in DOE.
2. The complete demonstration or exhibit is to be made available for review by the Steering Committee at least two months prior to the conference.

Speeches or presentations by Vendors regarding their products or services will not be permitted as part of proceedings at DOE Records Management conferences.

DOE Records Management Group
Steering Committee

ELECTION PROCESS

To save time during the conference sessions and to ensure that those nominated are approached in advance, this year's election process is:

1. Any attendee may nominate candidates. Be sure to check with them PRIOR to the conference to confirm that, is elected, they will serve and have the appropriate support of their organization. Use the attached form to nominate someone (you may make additional copies).

2. Nomination forms must be deposited in a box at the registration desk anytime from 7:30 until 4:15 TUESDAY, June 15.

3. The Steering Committee will prepare a ballot Tuesday evening and distribute the ballot to the attendees WEDNESDAY, June 16, during the morning announcement period.

4. Attendees will mark their ballot and place it in a collection box at the registration desk anytime thereafter UNTIL 4:30 that day, WEDNESDAY, June 16.

5. The Steering Committee will count the ballots Wednesday evening and announce the results THURSDAY, June 17, during the conference wrap-up session.

According to our Charter, at this year's conference, we will elect the following to one year terms:

Vice Chair

Four Steering Committee members from the DOE federal community

Four Steering Committee members from the DOE contractor community.

The current Vice Chair will automatically succeed the Chair. One Steering Committee member each from the DOE federal community and from the DOE contractor community (selected by the Steering Committee) will stay on for a second year.

The current officers are:

Erik Anderson, Chair
Pacific Northwest Laboratory

Jan Statler, Vice Chair
Science Applications
International Corp.

DOE Members:

Gail Clark
Richland Field Office

John Morgan
San Francisco Field Office

Dee Spillman
Strategic Petroleum Reserves

Margarita Sexson
Albuquerque Field Office

Lowell Langford
Office of Scientific and Technical Information

Contractor Members:

Tom Anderson
Kaiser Engineers Hanford Company

Betty Robinette
Martin Marietta Energy Systems

Gordon Weaver
Chem-Nuclear Geotech

Patricia Schuette
Pacific Northwest Laboratory

Vacant (due to Jan Statler being selected by the Steering Committee to assume the Vice Chair role upon Mary Ann Wallace's resignation)

DOE Headquarters Representative: (ex officio)

Jeff Martus
DOE-HQ IRM

DOE Records Management Group
Steering Committee

NOMINATION FORM -- June, 1993

I place in nomination:

_____
[name]

for the office of (check one):

[ ] Vice Chair

[ ] Steering Committee member, DOE federal community

[ ] Steering Committee member, contractor community.

Biographical summary (MUST be provided so it can be included on the printed ballot):

Please provide title, organization, and a brief (one sentence, two maximum) description of the person's or organization's duties (e.g., "manages records activities for the XYZ multi-program laboratory" or "individual contributor in the records and document control branch at the XYZ DOE Field office").

_____

_____

_____

_____

_____

Placed in nomination by:

_____
[name]

REGISTRANTS REPORT
REGISTRATION LIST: ABBREVIATED INFO ONLY
WEDNESDAY, JULY 21, 1993

1993 Records Management Conference
1993 Records Management Conference Attendee List

Ms. Sandra S. Albertson
Records Management Coordinator
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Ms. Mary E. Anthony
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REGISTRANTS REPORT
REGISTRATION LIST: ABBREVIATED INFO ONLY
WEDNESDAY, JULY 21, 1993

1993 Records Management Conference
1993 Records Management Conference Attendee List

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REGISTRANTS REPORT
REGISTRATION LIST: ABBREVIATED INFO ONLY
WEDNESDAY, JULY 21, 1993

1993 Records Management Conference
1993 Records Management Conference Attendee List

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Mr. Terry L. Burr
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REGISTRATION LIST: ABBREVIATED INFO ONLY
WEDNESDAY, JULY 21, 1993

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REGISTRATION LIST: ABBREVIATED INFO ONLY
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1993 Records Management Conference Attendee List

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DOE RECORDS MANAGEMENT OVERVIEW

Mary Ann Wallace
DOE-HQ IRM

MARY ANN WALLACE

In January of 1993, Mary Ann Wallace was appointed the Director, Records Management Division; Office of Information Resources Management Policy, Plans, and Oversight; U.S. Department of Energy (DOE). That Division is responsible for formulating and promulgating the policies and procedures to be followed by all DOE and DOE contractor organizations in the management of their recorded information. As the Director, Ms. Wallace is the principle DOE records management official.

Prior to her current position, Ms. Wallace was the Director, Operations Management and Support Group, Division of Technical Support, Program Management and Analysis, Office of Nuclear Safety, Department of Energy. In that capacity she was responsible for developing, integrating, and managing all Nuclear safety information systems, including the identification, acquisition, and implementation of technology in support of those systems. Before joining the Office of Nuclear Safety, Ms. Wallace was the records manager for the Office of New Production Reactors, Department of Energy. As such, she had full responsibility for all documentation relating to the design, construction, and operation of new production reactor capacity. This included ensuring that the documentation programs met the NQA-1 standards.

Before joining the Department of Energy, Mary Ann was the Director of the Agency Services Division, National Archives and Records Administration. That Division is responsible for issuing Federal government-wide records management regulations, providing training, and evaluating the effectiveness of records management programs. Under her direction, regulations on the management of electronic records were updated and substantially revised, training programs were expanded, and an information center was established.

Mary Ann has been a frequent speaker on the subject of Federal records management at government and professional meetings. Most recently she spoke about the management of research and development records at the DOE Records Management Conference, and on records management for the New Production Reactors Program at the 1991 NIRMA Symposium.

NARA RECORDS MANAGEMENT TRAINING

Jeanne Young
NARA

JUMP STARTING YOUR UNDERSTANDING OF RECORDS MANAGEMENT

Lynn Pavelka-Zarkesh
Chem-Nuclear Geotech, Inc.

Jump Starting Your
Understanding of Records Management
presented by
Lynn Pavelka-Zarkesh

Executive Summary

The 90 minute seminar (supplemented with a text) provides participants with an overview of the knowledge necessary to effectively administer a records management program. It also forms the foundation for personnel who are responsible for implementing records management policies.

Biography

Lynn has over 20 years of experience from private industry, commercial nuclear power and government projects. Her programmatic development, management and training experience ranges from engineering to configuration management to records management/document control programs. She has presented papers for the American Nuclear Society, the Symposium on the Training of Nuclear Facility Personnel, and has been responsible for the development/instruction of all records management courses at the Grand Junction Projects Office.

Jump Starting Your Understanding of Records Management

presented by

Lynn Pavelka-Zarkesh

RUST Geotech Inc.
U.S. Department of Energy
Grand Junction Projects Office

vg1.0

Today's Objectives...

- ☐ *Discussing basic records management principles and objectives.*
- ☐ *Defining such terms as: record, life cycle, nonrecord material, records management, disposition, document control, series, active documents, inactive documents, etc.*
- ☐ *Discussing the difference between record and nonrecord material.*

vg1.1

Section 2.0
Is this records management...

Records Management is...

The planning, controlling, directing, training, budgeting, organizing, promoting and other managerial activities involved in managing the life cycle of records.

vg2.1

The life cycle of records is...

The management concept that records pass through three stages: creation, maintenance and use, and disposition.

vg2.2

Benefits of records management...

- ☐ *Creating records in accordance with regulatory and contractual standards.*
- ☐ *Preventing loss of documentation.*
- ☐ *Maintaining user access.*
- ☐ *Minimizing storage of unnecessary documents.*
- ☐ *Maximizing the use of low cost storage space.*
- ☐ *Minimizing personnel resources required to maintain unnecessary documentation.*
- ☐ *Providing for destruction of documentation.*
- ☐ *Preventing the premature destruction.*

Section 3.0
Commitments...

DOE Orders...

- ☐ *1324.2A, Records Disposition*
- ☐ *1324.5A, Records Management Program*
- ☐ *1324.8, Rights and Interests Records Protection Program*
- ☐ *5500.7B, Emergency Operating Records Protection Program*
- ☐ *1324.3, Files Management*
- ☐ *1324.6, Automated Office Electronic Recordkeeping*

Section 4.0
Records verses Nonrecords...

Documents are...

Recorded information regardless of physical form or characteristics.

vg4.1a

Media examples...

- ☐ *machine-readable tapes and output*
- ☐ *motion pictures*
- ☐ *photos and negatives*
- ☐ *sound and video recordings*
- ☐ *plans*
- ☐ *maps*
- ☐ *architectural drawings*
- ☐ *legal or standard paper*
- ☐ *index cards*
- ☐ *paper towels and napkins...*

Records are...

Those classes of documents which may be disposed of only after archival authority is obtained. Per 44 USC 3301 records include books, papers, maps, photographs, machine readable materials or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government 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 Government or because of the informational value of the data in them. This applies to all Departmental records including those created, received, and maintained by contractors pursuant to their contracts. Virtually all recorded information in the custody of the Government (including information held by contractors which is considered by contract to be Government information) is considered "Government records" regardless of its media.

vg4.2

Record value factors...

- ***The importance of the information to support a segment of history as a specific and original source.***
- ***A potential need for the information to support a legal claim or to verify a company or DOE position.***
- ***The potential value of the information for investigations or audits.***
- ***The value of the information in support of other records.***

Nonrecord materials are...

Those materials which do not meet all the criteria of a record and as such may be disposed of without archival authority. These materials include extra copies of documents kept only for convenience of reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibition.

How do you manage a document that has not been scheduled as either a record or a nonrecord?

- ☐ ***Pitch it.***
- ☐ ***File it alphabetically.***
- ☐ ***It is obviously a nonrecord so file it with your other nonrecords.***
- ☐ ***Store it as a record until it can be formally appraised.***

Section 5.0
Document Control...

Document control is...

The regulation of document identification, distribution, and/or access.

vg5.1

Active documents are...

Those documents, records and nonrecords, which are necessary to conduct day-to-day business and used at least once a month.

wp5.2

Document control alternatives...

- ***Creation...establish medium, legibility, reproducibility***
- ***Identification...unique identifiers***
- ***Distribution...return receipts, travelers***
- ***Use...logging, bar codes, outcards***

Section 6.0
Filing Techniques...

A file is...

An accumulation of records maintained in a predetermined physical arrangement. Used primarily in reference to current records, the term in archival usage may refer to either a series or a file unit, such as a folder or dossier.

A series is...

Documents kept together because they relate to a particular subject or function, result from the same activity, document a specific transaction, take a particular form, or have some other relationship arising out of their creation, receipt, use, or access. The ordering permits evaluation as a unit.

A file group is...

A collection of records with similar characteristics that should be separated from other record groups. Frequently referred to as record category.

File Group Factors...

Retrieval factor

Disposal factor

Identification factor

Volume factor

Completeness factor

Bottom line-------the file group is selected based on the needs of the organization.

vg6.4

Effective file system criteria...

- ***Design the file so that the arrangement is logical to the users,***
- ***Consistently maintain the files as designed and***
- ***Provide access to an index (and cross reference index as applicable) to the system for all users.***

Section 7.0
How to purge your files...

Purging parameters...

- ☐ ***Destroy nonrecords when they are no longer needed. (Don't exceed the scheduled date.)***

- ☐ ***Dispose of records as scheduled, but no later than 1 year from scheduled date.***

- ☐ ***Disposal and transfer of inactive records should occur on a regular basis.***

- ☐ ***When records or nonrecords accumulate rapidly, expedite their transfer or disposal, as appropriate.***

- ☐ ***Records pertaining to current or pending litigation, investigations, pending Freedom of Information matters, or to exceptions taken by the GAO shall be retained until the matters are absolved.***

vg7.1

Minimizing file accumulation...

- ☐ ***Use a revolving file, when possible.***
- ☐ ***File "Information Only" copies only when needed.***
- ☐ ***Eliminate file copies of routine communications:***

  1) answering routine requests at the bottom
  2) attaching routine requests to the materials
  3) using routing slips whenever possible, and
  4) returning the request for information with the form letter whenever possible

- ☐ ***Minimize extra copies by maintaining a central file.***
- ☐ ***Evaluate the number of copies distributed.***
- ☐ ***Share files in organizationally related areas.***

Section 8.0
To The Vault...

Inactive documents are...

Documents, record and nonrecord, no longer required to conduct day-to-day business, i.e. documents <u>used</u> less than once a month.

Transfer factors...

- ☐ ***Are the records accessed infrequently?***
- ☐ ***Are the records accessed by only a few people?***
- ☐ ***Do the records require dual storage?***
- ☐ ***Is there a large volume of records?***
- ☐ ***Will the records be retained permanently?***
- ☐ ***Do the records require restricted access?***
- ☐ ***Do the records require strict environmental control?***
- ☐ ***Are there inadequate resources within the organization to maintain the proper storage controls for the record series?***

Inactive storage elements...

- ***Labeling - accurate and consistent.***
- ***Traceability - link the records to an exact location***
- ***Retrievability - commensurate with the need.***
- ***Security - protect from unauthorized access.***

Internal transfer elements...

- ☐ ***Describe the record source: organization, person and date.***
- ☐ ***Describe the record: series title (and code), pages, unique identifiers and inclusive dates.***
- ☐ ***Describe the location: type of storage and assigned location.***
- ☐ ***Verification: person who validates contents.***

Retrieval elements...

- ***Describe the record's requestor: organization, person and date.***
- ***Access authorization: verify access is authorized.***
- ***Describe the record(s): series title (and code), unique identifiers and inclusive dates.***
- ***Document retrieval: custodian releasing the record(s) and date.***

vg8.5

Disposition is...

An action taken to remove records from current files, including the transfer to local records holding areas, to federal records centers, to the National Archives for permanent retention, or for destruction.

What are permanent records?

- ☐ ***Records stored longer than 100 years.***
- ☐ ***All records maintained by a federal records center.***
- ☐ ***Records treated with ammonia hydroxide.***
- ☐ ***Records destroyed after 200 years.***
- ☐ ***Records that have been appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant data on persons, things, problems, and conditions with which the agency dealt.***

What are temporary records?

- ☐ ***Any record that is not permanent.***
- ☐ ***Any record kept less than 10 years.***
- ☐ ***Any record kept less than 100 years.***
- ☐ ***All records approved by NARA for destruction.***

vg8.8

Destruction....

...the end of the life cycle.

vg8.9

Jump Starting Your Understanding of Records Management

June 1993

presented by

Lynn Pavelka-Zarkesh

RUST Geotech Inc.

U.S. Department of Energy

Grand Junction Projects Office

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1.0 Introduction

This seminar has been structured to provide you with an overview of records management principles. It will present administrative alternatives for the effective implementation of records management programs. It also provides the participant with knowledge of key industry terminology for consistent and effective communication within their own working environment.

By the conclusion of the "Jump Starting Your Understanding of Records Management" seminar, you will be able to:

- *Discuss the basic records management principles and objectives.*
- *Define and use such terms as: record, life cycle, nonrecord material, records management, disposition, document control, series, active documents, inactive documents, etc.*
- *Discuss the difference between record and nonrecord material.*

The 90 minute seminar will provide personnel with an overview of the knowledge necessary to effectively administer a records management program. It will also form the foundation for personnel who are responsible for implementing records management policies. This text supplements the lecture and provides the participant with an on-the-job reference.

This material has been selected from three separate seminars (totaling 16 hours) which integrate hands-on exercises to demonstrate and practice specific applications of the principles with a fundamental lecture. The in-class exercises provide personnel with the skills necessary to effectively implement records management policies on a day-to-day basis. The three seminars cover the following additional topics: records and the law, program and plan development, quality records, records inventory, records schedules, file reorganization, file purging and practice, practice, practice. Each session can be customized to be site-specific. Please contact Lynn Pavelka-Zarkesh (RUST Geotech, P.O. Box 14000, Grand Junction, Colorado, 81502-5504) if you need additional information.

Jump Starting Your Understanding of Records Management

■ *2.0 What Is Records Management?*

Records management is not a new concept. Man has been generating "records" for as long as he has been carving in stone tablets and collecting taxes. However, the complexity and magnitude of today's industry and technology has created an urgency for enhancing records management strategies different from those of the Babylonians.

> ***Records management is . . . the planning, controlling, directing, training, budgeting, organizing, promoting and other activities involved in managing the life cycle of records.***

> ***Life cycle of records is . . . the management concept that records pass through three stages: creation, maintenance/use, and disposition.***

The life cycle encompasses the interrelated and interdependent phases of records creation, records maintenance/use, and records disposition (for permanent storage, to federal records center, or for destruction). Therefore, records management can be described as the systematic approach for controlling a record from its creation to the time when it can be destroyed, i.e., from cradle to grave. (See Figure 1, Record Life Cycle.)

An effective records management policy specifies the appropriate levels of administrative control and maintenance for documents throughout their life cycle. It is a practical management approach which:

- *Ensures the accuracy and completeness of records documenting departmental organization, policies, functions, decisions, and essential transactions;*
- *Ensures the appropriate access level to documents (records and nonrecords);*
- *Promotes effective retrieval of documents (records and nonrecords) throughout their life cycle;*
- *Ensures the maintenance and preservation of records with continuing value;*
- *Facilitates the segregation and disposal of nonrecord materials; and*
- *Facilitates the creation and maintenance of historical archives.*

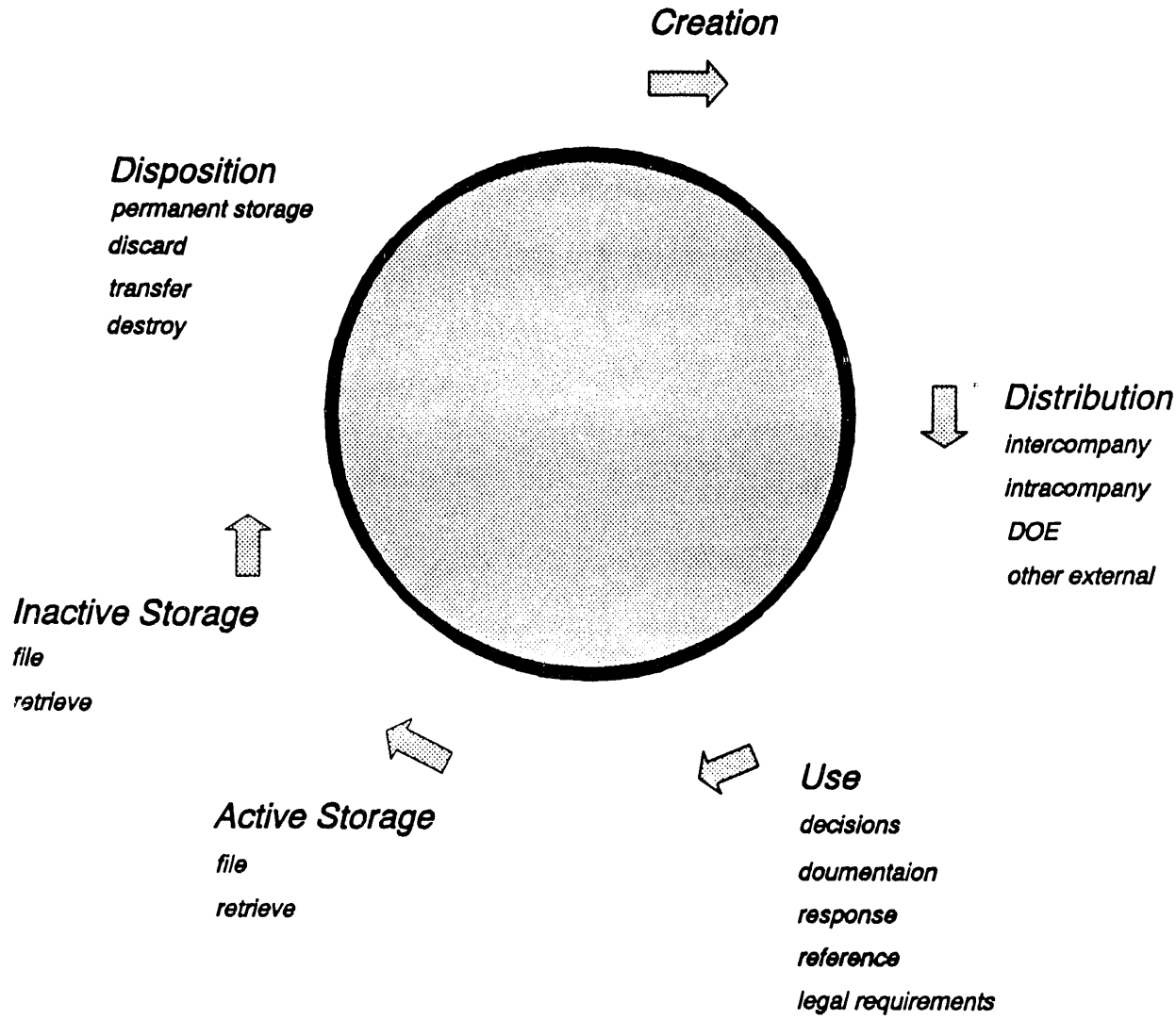
As you can see, the records management goal is not to develop a set manner to handle all problems and conditions, but rather to establish sound methodology for establishing the most appropriate course of action within an organization.

Why is this important to you . . .

Information is critical to the success of any organization or project. Since information is captured in documents, they must be prudently managed to ensure the required information is developed and maintained. There are tangible benefits to records management practices:

- *Ensuring that records are created in accordance with appropriate regulatory and contractual standards.*
- *Preventing loss of documentation needed on a day-to-day basis as well as for historical reference.*
- *Maintaining user access to records throughout their life cycle.*
- *Minimizing ancillary file storage costs by eliminating the storage of unnecessary documents.*
- *Maximizing the use of low cost storage (vault) space.*
- *Minimizing the personnel resources required to manage and maintain unnecessary documentation.*
- *Providing for the orderly destruction of documentation.*
- *Preventing the premature destruction of documentation.*

Sound records management practices benefit everyone by promoting: efficient decision making, litigation support, paperwork volume/cost reduction, organizational efficiency, implementation of legislative and/or regulatory requirements, and the creation of a historical data base. The effective management of documents ensures availability of documents while minimizing the overall costs of maintaining the data. It's a fact, records management is just plain smart business.



Record Life Cycle

Figure 1

■ 3.0 Records Management Commitments

We are all committed to developing and managing a records management program in accordance with the guidance that is established by the Department of Energy (DOE). These guidelines complement the guidance provided by NARA (National Archives and Records Administration), particularly in the area of records retention. The following is a summary of DOE Orders with which we may or may not have to comply:

- *DOE Order 1324.2A, Records Disposition*
- *DOE Order 1324.5A, Records Management Program*
- *DOE Order 1324.8, Rights and Interests Records Protection Program*
- *DOE Order 5500.7B, Emergency Operating Records Protection Program*
- *DOE Order 1324.3, Files Management*
- *DOE Order 1324.6, Automated Office Electronic Recordkeeping*

***Note:** Each site, contractor, area office will have a list of the orders which they have received for either compliance or guidance. Compliance or guidance should be verified individually prior to implementation.*

Besides the previously mentioned DOE Orders which are key to the development of the a records management program, the following documents may also impose additional recordkeeping requirements depending on the nature of the work (e.g., project support, technical support, etc.):

- *DOE Order 5820.2A, Radioactive Waste Management*
- *DOE, Office of Defense Waste and Transportation, Defense Decontamination and Decommissioning Program Management Plan, May of 1987*
- *DOE, Office of Nuclear Energy, Division of Facility and Site Decommissioning, Resource Manual, Surplus Facilities Management Program, April 1987*
- *Federal Facility Agreement Work Plan*
- *U.S. EPA, Office of Information Resources Management, Information Management and Services Division, 2160-Records Management Manual, 1984 Edition, July 1984*
- *U.S. EPA, Office of Emergency and Remedial Response, Guidance for Conducting Remedial Investigations and Feasibility Studies Under CERCLA, October 1988*

- *ANSI/ASME NQA-1, Quality Assurance Program Requirements for Nuclear Facilities*
- *DOE Order 4700.1, Project Management System*
- *Clean Water Act*
- *Resource Conservation and Recovery Act (RCRA)*
- *Clean Air Act*
- *Comprehensive Environmental Response, Compensation and Liability Act (CERCLA/Superfund)*
- *Occupational Safety and Health Act (OSHA)*
- *Toxic Substances Control Act (TSCA)*
- *U.S. EPA, Office of Solid Waste and Emergency Response, OWSER Directive No. 9833.3A-1*
- *Final Guidance on Administrative Records for Selecting CERCLA Response Actions*

The implementation of the requirements established by the previously mentioned documents may also be altered by contractual specifications. When there are conflicts in the requirements established by the various commitments, the more stringent criteria needs to be implemented in order to safeguard the record during its life cycle.

■ *4.0 Records Verses Nonrecords - An Ongoing Battle*

One of the key parameters to maintaining a records management program is specifying those documents which are considered records and those which are not considered records (i.e., nonrecords). This permits effective document control, use, maintenance, storage, etc. A document's value as a record is determined not only by its informational contents but also by its long term value.

> ***Documents are . . .*** *recorded information regardless of physical form or characteristics.*

> ***Records are . . .*** *books, paper, maps, photographs, machine readable material or other documentary materials . . . made or received in connection and preserved . . . as evidence of the organization, functions, policies, decisions, procedures, operations or other activities, or because of the informational value or the data in them. (See Glossary, for a detailed definition.)*

*Documentary materials achieve record status because they meet **both** of the following conditions: (1) they are made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business; **and** (2) they are preserved or are appropriate for preservation as evidence of agency activities or because of the value of the information they contain.*

Several factors must be evaluated when considering the management and preservation of a document as record material. These include:

- *The importance of the information to support a segment of history as a specific and original source.*
- *A potential need for the information to support a legal claim or to verify a company or DOE position.*
- *The potential value of the information for investigations or audits.*
- *The value of the information in support of other records.*

The circumstances which have established a document's value (or lack of value) may change, e.g., a copy of a requisition (a nonrecord) may suddenly become part of a budget submittal (a record) due to a change in administrative policy or contactual requirements. This change in policy would create the need to handle the requisition copy as a record.

It should be noted that any documentary material can become a record regardless of physical form or characteristics, i.e., a record is a record regardless of physical form. Records consist of many types of materials besides standard sheets of paper, such as: machine-readable tapes and output, still pictures, motion pictures, sound and video recordings, charts, plats, plans, maps, architectural drawings, etc.

> ***Nonrecord materials are . . .*** *those materials which do not meet all the criteria of a record. These materials include extra copies of documents kept only for convenience of reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibition.*

Nonrecords are those documents maintained for references and operating convenience or for which another organization has primary responsibility. (Record responsibility should be addressed in your site specific records schedule.)

> *Primary responsibility for a series is usually retained by the organization originating the document,*
>
> *OR*
>
> *When documents are transmitted between organizations (including external sources), primary responsibility is held by the organization responsible for the work.*

The above implies that when a copy is held by someone other than the organization with primary responsibility, it is a working copy and considered a nonrecord. (This is true except when the copy serves a separate program's purpose.) It also indicates that documents accumulated or created in the process of producing records, but not significant with respect to the actual record, are usually nonrecords.

Nonrecords include those classes of documents that may be disposed of without archival authority (NARA) such as:

- *Library or museum material made or acquired for reference or exhibition purposes;*
- *Extra copies of documents preserved only for convenience of reference on which no action is recorded or taken;*

- *Stocks of publications or other processed documents that require no action and are not part of a case on which action is taken;*

- *Routing slips and transmittal sheets adding no information to that contained in the transmitted material, i.e., concurrences, directions on how to proceed with processing or implementation; and*

- *Papers of a private or non-official nature that pertain to an individual's private or personal affairs.*

Existing record and nonrecord classifications need to be reviewed and evaluated periodically. This will ensure that documents will be handled (accessibility, storage environment and media, disposition, etc.) appropriately as commitments, legal requirements, or even organizational needs change. This evaluation should be completed annually, at a minimum.

***Note:** A nonrecord can become a record at a later date due to external catalysts which change the nonrecord's value.*

*A records schedule captures and integrates current data regarding the classification of records and nonrecords. It is one of **several** references to consult when verifying record and nonrecord status of a document type. Various project specific file indices may also need to be considered if project specific schedules have not been integrated into a sitewide schedule. The nonexistence of a document type in a schedule does not suggest that the document is a nonrecord; it only confirms that the document has not been classified.*

***Note:** A document is managed as a record until formally classified otherwise.*

*When the document classification can not be identified, the **Record/Nonrecord Work-sheet** can be used to facilitate the evaluation. (See Section 10.0, Forms, for a sample worksheet.)*

Why spend time classifying documents . . .

Classifying documents as nonrecords does not reduce their usefulness. It does, however, simplify the way that the documents are managed through their life cycle. Management of a nonrecord:

- *does not require creation of an index,*

- *does not require access control,*

- *is not governed by the same retention periods as records (retention is generally less than one year),*

- *does not require a fire rated storage environment, and*

- *is not subject to the same destruction requirements, e.g., level of approval.*

As a matter of fact, nonrecords (particularly personal notes, personal meeting minutes, and drafts of documents which become records) can become a liability when maintained for extended periods of time since they can be subpoenaed. Although one school of thought promotes purging nonrecords every ninety days, NARA recommends that nonrecords should not be held longer than two years. However, performing an annual evaluation, and subsequent removal as appropriate, has proven to be effective management for most nonrecords.

Besides the obvious administrative savings and efficiency realized by classifying documents as records or nonrecords, it also reduces the need for environmentally controlled storage space by encouraging storage of only those documents that are essential. This is of budgetary importance considering the overall cost of storing records/nonrecords for extended periods of time.

5.0 Document Control - Active Document Management

The volume of records and nonrecords has grown at an unprecedented rate within government as well as private industry. Rising manpower costs combined with the expense of paper, materials, duplication, storage and retrieval equipment, have necessitated the development and implementation of an ongoing document control program.

> ***Document control is** . . . The regulation of document identification, distribution, and/or access.*

> ***Active documents are** . . . those documents, records and nonrecords, which are necessary to conduct day-to-day business and used at least once a month.*

Traditionally the control of documents has been limited to such records as drawings, specifications, quality records, etc. However, it also applies to correspondence since the correspondence is frequently a record. This implies the need to apply many of the same administrative controls on correspondence (besides format and grammatical policies) as applied to the life cycle of other types of records.

The following provides some alternatives for the control of creation, identification, distribution and access for records, including those that fall into the realm of correspondence. When the volume of documents is rather small, these alternatives may seem superfluous. However, as the volume and diversity of documents increases, the control necessary to work effectively on a day-to-day basis is more evident.

Creation

In order to ensure that a record will be legible and reproducible when it is completed, there must be standards for preparing the document - this is the beginning of its life cycle. These standards must also include the medium for the record, e.g., standard size paper, legal size paper, polaroid pictures, 35mm film, mylar, tracing paper, etc. The medium you chose will affect the records long term use, revision (when applicable), retrievability and storage.

Identification

A unique identifier is frequently used on records for easier tracking, referencing, and retrieval, as well as ensuring its return when borrowed. For many projects, document bar code labels are used as the unique identifier. Drawings, specifications, procedures, etc., will normally incorporate a numbering system into their development parameters. Correspondence on the other hand, frequently has no identifier.

When the volume of records/correspondence created is rather small, it is practical to identify it with a date, author, and title. However, when the volume increases, it is prudent to either bar code each record or sequentially number (i.e., a control number) each document that is generated. There are numerous ways to number design/construction documentation which will use a greater number of modifiers the larger the project in order to narrow future searches for the document. The control number for correspondence can be formatted with an abbreviation for the generating organization, the year, and the sequential number as follows: aa-yy-xxxx (e.g., RM-92-0001). This type of configuration will assist in the efficient filing and retrieval of documents. Additionally, it can decrease the size and number of attachments since it is more efficient to reference the unique identifier rather than enclose an entire document. (The need to attach is diminished since the document can be easily retrieved.) See Section 10.0, Forms, for a sample Control Number Log sheet which manually permits capture of pertinent data regarding outgoing correspondence. When bar codes are used, a pre-printed label is attached to the document and then the key data is maintained electronically. There is an added advantage to this method since not only can the document be electronically tracked, but also electronically located for efficient retrieval and storage.

Distribution

A method for tracking/controlling outgoing documents is the use of a return receipt. A return receipt lists the name of the document(s) transmitted (a correspondence control number is adequate), the recipient, the date sent, a space for the recipient to sign off that the document(s) was received, and a return address. It may also include special instructions with respect to the transmitted document. The receipt is then sent back to the originating organization as documentation that the material was received. This can be simply executed by providing return instructions at the bottom of the transmittal memorandum which in turn permits the return of actual memorandum creating no additional documents. This technique is particularly useful when distributing controlled documents or documents requiring action.

One of the most effective techniques for transmitting records through multiple reviews and approvals (e.g., the chain of command) is the "traveler". The key elements of a traveler are: identification of the document, a list of the reviewers/approvers/info only, a checklist for the required actions (approve, initial, sign, comment, etc.), a contact for questions, and the destination when all actions have been completed. By combining all this data on one page, the need for multiple transmittal letters between organizations is eliminated and all actions are documented on a single page.

Use

In order to improve retrievability of incoming documents, it is prudent to date stamp each document. This provides traceability of receipt and aids in scheduling. Another technique to improve retrievability is to log documents into the organization. This provides an easy reference for finding documents within an organization and ensuring that action documents have been transmitted on schedule. See Section 10, Forms, for a sample Document Receipt Log sheet. When bar codes are used on documents (records), the logging and subsequent searching can all be accomplished electronically, thus eliminating all manual entries.

Once the document has reached the file its access still needs to be controlled so that the document is not lost or damaged. In very small organizations with minimal records there is little risk of loss. However, the removal of records from the files needs to be tracked as the organization and files grow. This can easily be done through the use of outcards or a tracking log. When bar codes have been used on the records, they can be electronically tracked in and out of the files as well as to a central file.

■ 6.0 *Filing Techniques*

Effective filing techniques promote the efficient storage and prompt retrieval of records. Since the results are savings in manpower and space, it is imperative that all documents are effectively stored through out their life cycle. The first step in effective storage is the overall arrangement of the documents.

> ***A file is . . .*** *An accumulation of records maintained in a predetermined physical arrangement. Used primarily in reference to current records, the term in archival usage may refer to either a series or a file unit, such as a folder or dossier.*

"File" is a generic term. It is used to refer to as little as one folder of documents, to cabinets full of documents. Common references are project files (containing documents that are strictly related to a single project), working files (containing documents that are required for reference or backup data for other documents being developed), and administrative files (containing documents on policies, status, budget, etc.). Each of these generic areas is segregated into a file series, with each series subsequently divided into relevant file groups. All these groups and subgroups constitute an organization's filing system.

> ***A series is . . .*** *documents kept together because they relate to a particular subject or function, result from the same activity, document a specific transaction, take a particular form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and/or use.*

The most widely used file series within an organization are usually project-related files. Active file series are established within the sitewide or project records schedule. When a document does not fit within any established file series, contact your Records Management organization.

> ***A file group is . . .*** *a collection of records with similar characteristics that should be separated from other record groups.*

Once the documents are binned into file series that are practical for the organization, they need to be organized internally. There are numerous possibilities for organizing documents into workable units. Each organization and/or project will generate and maintain different types of documents. Although there are many possibilities, there are nine basic ***file groups*** *which are commonly used (especially by agencies of the Government): 1) general correspondence, 2) transitory correspondence, 3) case records, 4) case working papers, 5) technical reference materials, 6) convenience copies, 7) film, tape or disk records, 8) cartographic materials and drawings, and 9) cards. (Some organizations may have ledger books.)*

General Correspondence *- consists of letters, memorandums, telegrams, enclosures, reports, and similar miscellaneous materials. These documents are usually arranged by subject.*

Transitory Correspondence *- consists of easily recognized routine documents (e.g., documents involved in answering routine requests for information or publications, transmitting of routine documents, making hotel reservations, arranging conferences, etc.). If these documents account for more than 5% of the correspondence, they should be kept in separate folders for ease of disposition. When less than 100 documents per month are involved, they may be kept chronologically in a single folder; if the volume is larger subject filing may be necessary to facilitate retrieval.*

Case Records *- consist of records such as purchase orders, contracts, invoices, investigations, requisitions, research projects, construction projects and personnel documents. The case record file contains material relating to a specific action, event, person, organization, location, or thing. Typically, a case record integrates a transaction or a relationship from beginning to end. Case records are always filed by name or number or a combination as in an alphanumeric system.*

Case Working Papers *- have short term use and comprise the background, preliminary papers, drafts, and routine reminders, requests, or correspondence regarding a particular case file. Working papers should be kept separate from the case records so that later screening for disposal can be avoided. Intermixing of case working papers and transitory correspondence also complicates disposal.*

Technical References *- include printed reports, periodicals, research studies, and internal instruction/information manuals. When more than one file drawer of reference materials exists, a separate file should be developed.*

Convenience Copies *- should not be interfiled with correspondence or case records, but rather kept in separate folders. Extra copies should never be filed unless some action needs to be documented.*

Film/Tape/Microrecords *- have the form of graphic images or of electronic or other mechanical reproductions of sound or coded information. They are usually kept separately because of their physical features and associated storage requirements.*

Maps and Drawings *- includes maps, charts, and engineering drawings. (Many materials can be reduced to 8.5 x 11 and filed with related information.) If more than 10% of this category of materials is oversized, separate filing is warranted.*

Cards *- have a physical size and format that logically separate them from the other file groups. Although there are many sizes, the most common sizes are 3x5 or 5x8 inches.*

The following factors need to be considered as the documents within a series are segregated into file groups for the organization:

- ***Retrieval factor*** *- Separating documents into basic types aids in their retrieval by reducing the area of search. Retrieval is more efficient when the search does not involve rummaging through a collection of case folders, working papers, extra copies, etc., to find a document. This is the type of confusion when the basic file groups are combined into a single subject file.*

- ***Disposal factor*** *- Separating documents into the basic file groups helps keep essential documents apart from other papers which may be disposed of earlier than the essential documents. Convenience files have a shorter life span than general correspondence records. These differing retention periods are another good reason to file record types differently.*

- ***Identification factor*** *- The inability to readily recognize the document types may also affect the filing decision. If it is difficult to distinguish documents, it may be better to keep them together to avoid filing errors.*

- ***Volume factor*** *- The quantity of documents is relevant to the filing decision.*

- ***Completeness factor*** *- The need (by the users) for complete information should not be overlooked, e.g., photos and correspondence may need to be filed together. It is usually the irregular size of the document that forces the materials to be filed separately.*

Separating records into file groups facilitates referencing by reducing the search area. Separation also keeps essential documents apart from short-term papers, allowing for more efficient disposition. Different retention periods are also readily accommodated when file groups are established. See Figure 2 for an example of a files series arrangement.

Note: *Do not mix records and nonrecords within the same file group.*

Once the documents have been segregated into basic file groups that are applicable for the organization, the documents need to be arranged within that file. This will be done by determining the dominant filing features.

> ***Filing features are*** *. . . characteristics, such as name, date, title or form number, by which records are stored and retrieved.*

The key to establishing the individual file is to select the filing feature which will be requested most often when the documents are arranged. When there is more than one dominant feature, it can either be

used as a secondary file reference or used to establish a cross-reference index. In any event, the final file arrangement should be documented in a file index. The dominant filing feature will be used to determine the file classification scheme.

> ***File classification scheme is** . . . a logical, systematic ordering of documents which uses numbers, letters, or a combination for document identification.*

Although there may be variations in the following basic file schemes, the principles hold.

***Alphabetic** - a classification system arranged in the order of the alphabet, whether it be by subject, name, title, etc., regardless of the relationship to one another.*

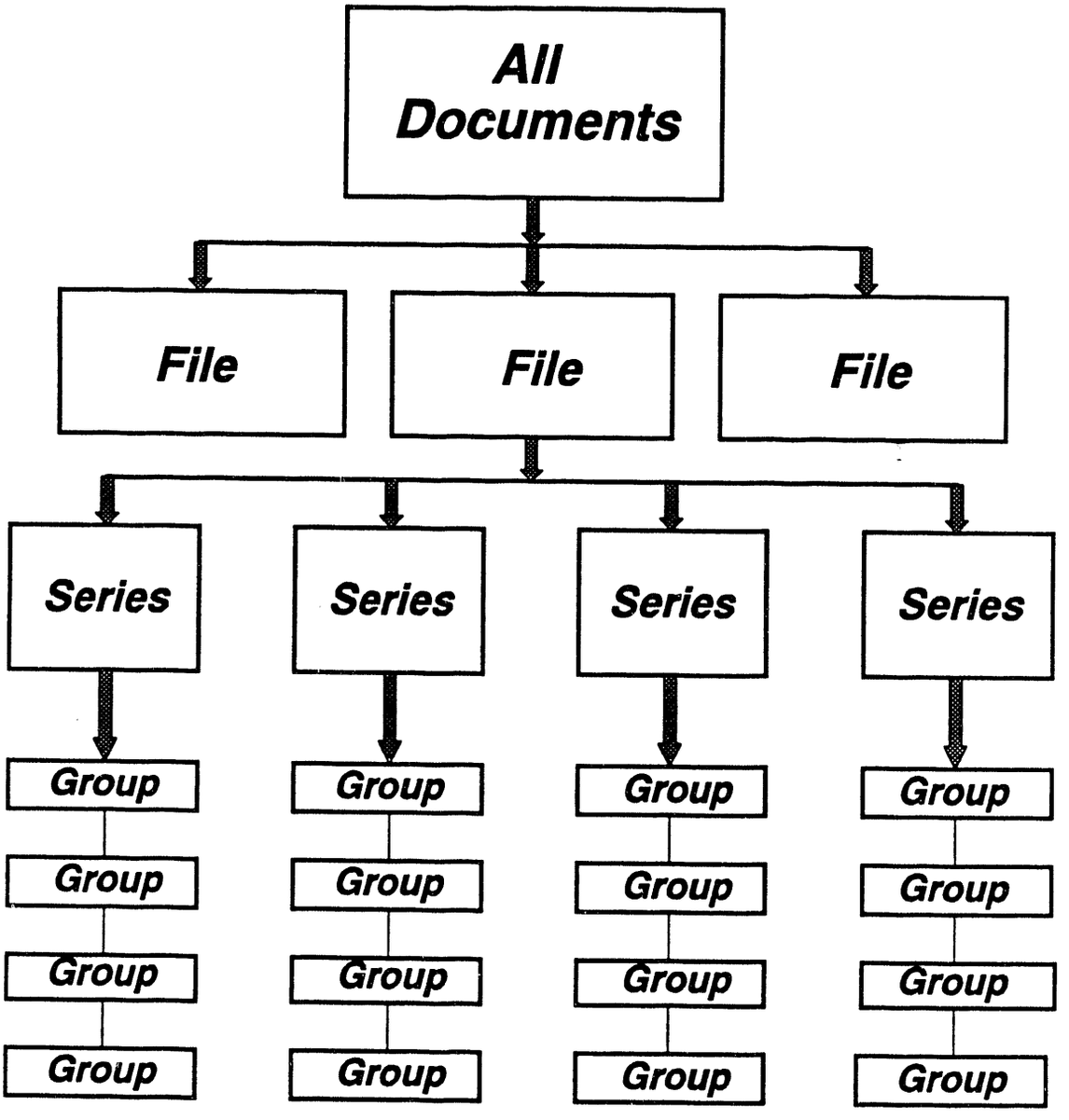
***Numeric** - a classification system in which numbers are assigned to the main divisions and associated subdivisions.*

***Alphanumeric** - a classification system in which letters are assigned to main divisions and numbers assigned to subdivisions. (The reverse is referred to as numeric-alphabetic.)*

***Chronological** - a classification system (usually correspondence) arranged in order of occurrence.*

The criteria for an effective file system are 1) design the file so that the arrangement is logical to the users, 2) maintain the files as designed (i.e., consistently), and 3) provide access to an index (and cross reference index as applicable) to the system for all users. It is safe to say:

"Retrievability is Job 1."



Filing Hierarchy
Figure 2

■ 7.0 The Purge

A fundamental principal of any successful records management program is ensuring that documents are not kept after their useful period. The unnecessary delay in the disposal of documents increases the need for on-site storage and adds to the burden of administrative and overhead costs. DOE Order 1324.5A, Records Management Program, establishes the prompt destruction of nonrecord material and the routine consideration of records for disposition as part of its policy. In order to implement these policies a file purge needs to be completed annually.

> ***A file purge is . . .*** *the examination of files to identify and remove documents of short term value, especially those eligible for immediate destruction. Sometimes referred to as a file cleanout.*

A file purge involves the destruction of nonrecords ***and*** *the transfer of inactive and semi-active records to the central file. Your records schedule as well as any project indexes provide the guidance for purging actions. There are several parameters to keep in mind as the files are examined:*

- *Nonrecords should be destroyed when they are no longer needed, but no later than their scheduled disposal date.*
- *Records should to be disposed of as scheduled, however destruction delays not exceding one year are acceptable by NARA. Anything longer should be submitted through the appropriate channels for approval.*
- *Disposal and transfer of inactive records should occur on a regular basis.*
- *If records or nonrecords accumulate rapidly, their transfer or disposal, as appropriate, should be expedited.*
- *Records pertaining to current or pending litigation and investigation, pending Freedom of Information matters, or to exceptions taken by the General Accounting Office shall be retained until the matters are absolved.*

Besides the annual file purge, there are several measures that can be taken in order to minimize the unnecessary build up of documents (particularly nonrecords) during the year:

- *Minimize the build up of publications by discarding the oldest issue when a new one is filed, i.e., a revolving file.*

- *File "Information Only" copies only when they will be needed for reference at a later date.*

- *Eliminate extra file copies of routine communications. This can be accomplished by 1) answering routine requests from another office by placing the information at the bottom of the request when appropriate, 2) attaching routine requests for publications, forms, printed supplies, etc., to the materials being sent in lieu of creating a transmittal letter, 3) using routing slips in lieu of a transmittal letter whenever possible, and 4) returning the request for information with the form letter whenever possible (if the request must be filed, record the date, number of the form letter and any other pertinent information right on the request).*

- *Minimize keeping files of extra copies by maintaining one central file with all the appropriate information.*

- *Minimize unnecessary filing by evaluating the appropriateness of the number of copies used for distribution, e.g., route one copy through a small organization in lieu of sending individual copies.*

- *Minimize the filing activity and file space/equipment by sharing files in organizationally related areas.*

There are many techniques for reducing the daily accumulation of documents. When these techniques are integrated with an annual file purge the consequences are more likely to provide for the storage of records and nonrecords in the most cost efficient location, and the destruction of nonrecords when they are no longer useful and records when they expire.

■ 8.0 To The Vault...Inactive Record Maintenance

The preservation of records having continuing value and their safe, economical storage are key objectives of a successful records management program. For any records management program to work effectively, active and inactive records need to be stored in the most efficient and cost effective location. The storage location needs to consider personnel access frequency, security requirements, environmental controls (e.g., temperature, humidity, fire, flood, etc.), and volume. To satisfy all these conditions, the central file is usually established.

> ***Inactive documents are** . . . documents, record and nonrecord, no longer required to conduct day-to-day business, i.e., documents used less than once a month.*

> ***A central file is** . . . the principal location for the storage of records.*

When To Transfer

Although active records (and semi-active records) are usually maintained within the organization with primary responsibility, there are times when transfer to the central file would be cost effective. Active records should be considered for transfer from within an organization to a central file by considering the following factors:

- *Are the records accessed infrequently?*
- *Are the records accessed by a limited number of people?*
- *Do the records require dual storage?*
- *Is there a large volume of records?*
- *Will the records be retained permanently?*
- *Do the records require restricted access?*
- *Do the records require strict environmental controls, e.g., humidity, temperature, fire protection, lighting, clouds, etc.?*

- *Are there inadequate resources (manpower and space) within the organization to maintain the proper storage controls for the record series?*

A positive answer to the above questions indicate that the record series is a candidate for maintenance within a central file. This data can be captured in a records schedule, records management plan or specific organizational procedures. The mechanism will vary based on the policy at your site.

Inactive Storage Practices

There are many techniques for arranging both active and inactive storage. Regardless of the method chosen, a successful storage process should address the following elements:

- ***Labeling** - Record material must be accurately and consistently indexed.*
- ***Traceability** - There must be a road map to link the records to an exact location (index, data-base, location log, etc.).*
- ***Retrievability** commensurate with the need - retrievability must be cost effective and still meet the needs of the user.*
- ***Security** - Controls must be established to protect the various classes of records from unauthorized access.*

Overall, the degree of protection, control, and accountability is determined by the impact of a lost or damaged record. The biggest difference between active and inactive records storage is the issue of retrievability. There will be a substantially greater retrieval frequency for active/semi-active records.

> ***Note:** The central file is for storing inactive records, selected active records, but not for the storage of nonrecords.*

Internal Transfer Documentation

The transfer of records (both active and inactive) to the central file must be documented in order to ensure their traceability and receipt. The transfer data should be maintained either manually or electronically. Regardless of the form used to document the transfer, the data retained should include the following key elements:

- ***The source of the documents:** This includes the organization's name, the person who prepared the records for transfer and the date the transfer was prepared. A phone number as well as the numerical code for the organization is also handy for expediting searches and answering questions.*
- ***Type of storage:** This includes identifying active, inactive, or even semiactive storage. This will ensure the proper controls are implemented as defined in the records schedule or policy.*
- ***Volume identifier:** This includes identifying the number of pages and/or copies that are being transferred so that the records can be verified as complete upon receipt.*

- ***Series number:*** *Due to the complexity of our records schedules, it is a common management practice to number each series to improve retrievability and referencing. This is particularly important if the information will be maintained electronically.*

- ***Series title:*** *The exact series title is necessary for retrievability - you won't find the records if you're not referring to them by the same title.*

- ***Unique record identifier:*** *A unique identifier is necessary for effective retrievability (e.g., subcontract number, property number, number of volumes, invoice number, alphabetical span, location, destination, etc.). The records need to be listed as they appear in the box, file folder, or fastened.*

- ***Inclusive dates:*** *The chronological range of the records within the series must be indicated for retrievability purposes.*

- ***Assigned location:*** *It is a good business practice to indicate the actual resting place within the central file to serve as a system backup and future verification during retrieval.*

- ***Verifier:*** *There needs to be traceability to the record verifier and ensuring that the verification was performed.*

Note: *Many of these items are not needed on the form if you are using bar code technology for your records. The information will have already been captured when the bar code label is affixed to the document. However, you still need to ensure that the transferred documents have been received in their entirety.*

The consistency and detail of the transfer form are fundamental to effective retrieval of the records stored in a central file. A copy of the transfer is frequently maintained with the box of inactive records until the records are destroyed or transferred to a permanent storage facility. (Normally active records are not stored in boxes, but rather in open shelving due to the nature and frequency of their access.)

Record Retrieval

As with the transfer process, the retrieval process must also be documented. Regardless of the form used, the following data must be documented prior to release of any record.

- ***Requestors name and organization:*** *The person accessing the document is needed for accountability as well as retrievability while it is checked out.*

- ***Access authorization:*** *Authorization must be verified to ensure that only the appropriate personnel view the information within the documents. This is based on a need to know issue and not just security requirements.*

- ***Series identifiers:*** *The exact series title is required along with the series number when one is available. (Sometimes the series title is the same as the record title.)*

- ***Record identifiers:*** *In order to narrow the search for the record(s) the unique record identifier and inclusive dates, as applicable, are needed.*

- ***Retrieval authority:*** *A large wookie... In order to safeguard the records, only trained personnel should release records.*

As you can see, providing accurate and detailed data during the initial transfer of records to the central file will improve retrievability by narrowing the scope of the search.

Disposition or Destruction

Records management is often mistaken as merely the disposition of records instead of he whole life cycle of records. In reality, disposition is only the last phase in the record life cycle. It can be thought of as the final product of records management.

> ***Disposition is*** *. . . the action taken to remove records from current files, including the transfer to local holding areas, to federal records centers, to the National Archives for permanent retention, or for destruction.*

Regardless of the course of action pursued as the disposition, it should be described in your records schedule. Transfers need to occur in a timely manner in order to preserve and protect the usable life of a record. Remember, when a record becomes illegible, it no longer has value.

If a record has ***not*** *been scheduled as permanent, it will eventually be destroyed. (A retention period of 200 years does not indicate that a record is permanent...it only means it will be managed by many generations and destroyed long after we are dead.)*

> ***Permanent records are*** *. . . records that have been appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the agency dealt. Normally, permanent records [paper] are offered to NARA when they are 25 years old.*

A good records management program will establish suitable short term and long term medium for its records. Long term medium is a primary consideration for permanent records, i.e., while toilet paper may meet legibility criteria, but it doesn't have much of a shelf life. The potential for permanent records

is just another reason why records management should begin at the creation of a document and not just when it is time to begin dispositioning.

> ***Temporary records are . . .*** *records approved by NARA for disposal, either immediately or after a specific retention period.*

Temporary records become eligible for destruction when their retention periods expire. However, the administrative processing should begin before the records' expiration. The lead time will depend on resources and volume of records that will expire. Under typical circumstances a 30 day lead is adequate. During that time the retention needs to be examined to ensure that the circumstances establishing the original retention period have not changed, e.g., pending litigation involving the records, a research project, etc. If the value has changed, then the records must be re-appraised to establish a new retention period. Per NARA, a delay in the destruction of records is not significant unless it lasts over one year.

Destruction is the end of the life cycle for temporary records. The approved destruction method (burning, shredding, recycling, burial, chemical breakdown, mulching, bottom of a bird cage, etc,) is governed by type of information contained in the record. Physical destruction guidelines are frequently part of an overall records management plan, however some guidance can be found in 36 CFR 1228.58, Destruction of Temporary Records.

■ 9.0 Glossary

9.1 ***Active Documents*** - *Those documents, records and nonrecords, which are necessary to conduct day-to-day business and used at least once a month. (Also known as current documents.)*

9.2 ***Ancillary File Station*** - *A supplemental file area (e.g., within the organization) which maintains record copies in accordance with approved policies and procedures.*

9.3 ***Case File*** - *A folder or other file unit containing records, regardless of media, documenting a specific activity, event, person, organization, project, location or other matter, e.g., purchase orders, payroll files, contracts, projects, etc.*

9.4 ***Central File Station*** - *The principal location for the storage of records.*

9.5 ***Controlled Documents*** - *Documents that are maintained and distributed in a manner to ensure that the latest approved version and any applicable changes are available for the performance of work.*

9.6 ***Correspondence*** - *Communications pertaining to management, operation, or design. It includes letters, memoranda, telecopies, teletypes, telephone documentation, meeting minutes and agenda, and other formal communications between one person, organization, or company and another person, organization, or company.*

9.7 ***Correspondence File*** - *A collection of documents not possessing the uniform characteristic found in a filing series, arranged by subject and covering various types of transactions. Some of the component segments of a correspondence file may be a filing series, such as a folder of monthly activity reports or a subject file classification consisting of travel vouchers.*

9.8 ***Disposition*** - *An action taken to remove records from current files, including the transfer to local records holding areas, to federal records centers, to the National Archives for permanent retention, or for destruction.*

9.9 ***Document*** - *Recorded information regardless of physical form or characteristics.*

9.10 ***Document Control*** - *The regulation of document identification, distribution, and/or access.*

9.11 ***File*** - *(1) An accumulation of records maintained in a predetermined physical arrangement. Used primarily in reference to current records, the term in archival usage may refer to either a series or a file unit, such as a folder or dossier. (2) To place documents in a predetermined location according to an overall plan of classification.*

9.12 ***File Classification*** - *The logical, systematic ordering of documents which uses numbers, letters, or a combination of numbers and letters for document identification.*

9.13 ***File Group*** - *A collection of records with similar characteristics that should be separated from other record groups.*

9.14 ***Filing Feature*** - *Characteristics, such as name, date, title or form number, by which records are stored and retrieved.*

9.15 ***File Purge*** - *The examination of files to identify and remove documents of short term value, especially those eligible for immediate destruction.*

9.16 ***General Records Schedules (GRS)*** - *Schedules issued by NARA that govern the mandatory disposition of specified recurring filing series common to several or all Federal agencies.*

9.17 ***Inactive Documents*** - *Documents, record and nonrecord, no longer required to conduct day-to-day business, i.e. documents used less than once a month.*

9.18 ***Legible*** - *Capable of being clearly read. A document is considered legible when no information on the document is too light, blurred, marked over, or smudged; or runs off the page(s).*

9.19 ***Life Cycle of Records*** - *The management concept that records pass through three stages: creation, maintenance and use, and disposition.*

9.20 ***National Archives and Records Administration (NARA)*** - *An independent agency that succeeded the National Archives Records Service (NARS). It is responsible for establishing policies and procedures for managing the records of the Federal Government. It exercises final authority for approving the disposition of Government records.*

9.21 ***Nonrecord Material*** - *Those materials which do not meet all the criteria of a record and as such may be disposed of without archival authority. These materials include extra copies of documents kept only for convenience of reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibition.*

9.22 ***Permanent Records*** - *Records that have been appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the agency dealt. Normally, permanent records [paper] are offered to NARA when they are 25 years old.*

9.23 ***Project Records*** - *Any record generated or received pertaining to a project.*

9.24 ***Records*** - *Those classes of documents which may be disposed of only after archival authority is obtained. Per 44 USC 3301 records include books, papers, maps, photographs, machine readable materials or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government 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 Government or because of the informational value of the data in them. This applies to all Departmental records including those created, received, and maintained by contractors pursuant to their contracts. Virtually all recorded information in the custody of the Government (including information held by contractors which is considered by contract to be Government information) is considered "Government records" regardless of its media.*

9.25 ***Records Management*** *- The planning, controlling, directing, training, budgeting, organizing, promoting and other managerial activities involved in managing the life cycle of records.*

9.26 ***Records Schedule*** *- A document providing authority for the final disposition of recurring and nonrecurring records. Also called records disposition schedule, records control schedule, records retention schedule, or schedule. Includes the NARA approved SF 115, the General Records Schedules, and the agency records schedule, which when completed becomes a comprehensive records schedule that also contains agency disposition instructions for nonrecord materials.*

9.27 ***Reproducible*** *- Capable of being acceptably reproduced. A document is considered reproducible when a second generation copy is legible. When microfilm is used for reproduction and duplication purposes, a third generation copy is required to be legible.*

9.28 ***Semi-active Records*** *- Records required so seldom to conduct agency business that they should be moved to a holding area or directly to a records center.*

9.29 ***Series*** *- Documents kept together because they relate to a particular subject or function, result from the same activity, document a specific transaction, take a particular form, or have some other relationship arising out of their creation, receipt, use, or access. The ordering permits evaluation as a unit.*

9.30 ***Temporary Records*** *- Records approved by NARA for disposal, either immediately or after a specified retention period. They are often called disposable records.*

9.31 ***Unscheduled Record*** *- A record that has not been approved for disposal by NARA.*

10.0 Forms

The following section contains sample documents (checklists, forms, worksheets, etc.) which have been referenced during the course of this seminar. These forms are intended only to provide guidance. They need to be adapted to your individual needs and commitments before released for use.

■ *Check the appropriate box for each question:*

□ *yes* □ *no*	1.	*Is the document listed in the Company Record Categories Register or a project file index as a record with your organization assigned primary responsibility?*

■ *If YES has been answered to the question above, the document is a record, and the remaining questions need not be completed. If NO has been answered to the preceding question, complete the remaining questions.*

□ *yes* □ *no*	2.	*Is the document in your possession required to support a record?*
□ *yes* □ *no*	3.	*Is the document required to support separate a project/program other than the project/program that has originated the document?*
□ *yes* □ *no*	4.	*Does the document contain information which may be required to support a segment of history as a specific and original source?*
□ *yes* □ *no*	5.	*Does the document contain information potentially needed to support a legal claim or to verify a Company or DOE position AND is it an original source?*
□ *yes* □ *no*	6.	*Does the document contain information potentially of value to support investigations or audits AND is it an original source?*
□ *yes* □ *no*	7.	*Does the document contain information that supports other records AND is it an original source?*
□ *yes* □ *no*	8.	*Does the document furnish evidence of quality of items or activities [that have been verified as technically complete and correct] AND is it an original source?*
□ *yes* □ *no*	9.	*Does the document require action to be taken by your organization?*

■ *If YES has been answered for any of the questions above, submit a request to Records Management for official evaluation and approval by NARA, as applicable. Until the official evaluation is complete, the document shall be handled as a record.*

1RMSPT1

Control Number Log Sheet

Number	*Title/Key Words*	*Author*	*Recipient*	*Date*

Document Receipt Log

Document Number	*Title/Key Words*	*Date Received*	*Recipient*	*Received From*	*Action Due Date*

RECORDS APPRAISAL TRAVELER

CONTROL NO.

SERIES TITLE(S)

CONCURRENCE ROUTING		INITIAL	DATE
NARA REVIEW:	Archivist Records Appraisal & Disposition Division National Archives, Washington D.C., 20408		
ORIGINATOR:	Records Manager Chem-Nuclear Geotech P.O. Box 14000, Grand Junction, CO 81502		
OTHER:	Administrative Support Organization Manager U.S. DOE Grand Junction Projects Office P.O. Box 2567, Grand Junction, CO 81502		
LOCAL DOE APPROVAL:	Administration & Support Branch Manager U.S. DOE Grand Junction Projects Office P.O. Box 2567, Grand Junction, CO 81502		
OTHER:			
DOE/ALBUQUERQUE APPROVAL:	Records Officer U.S. DOE Albuquerque Operations Office P.O. Box 5400, Albuquerque, NM 87115		
OTHER:			
DOE/HEADQUARTERS APPROVAL:	Director Records Management Division AD 244, Mailstop F309/GTN, Washington D.C., 20585		
NARA APPROVAL:	Archivist Records Appraisal & Disposition Division National Archives, Washington D.C., 20408		

RETURN ROUTING		INITIAL	DATE
DOE HEADQUARTERS ATTENTION:	Director Records Management Division AD 244, Mailstop F309/GTN, Washington D.C., 20585		
DOE/ALBUQUERQUE ATTENTION:	Records Officer U.S. DOE Albuquerque Operations Office P.O. Box 5400, Albuquerque, NM 87115		
LOCAL DOE ATTENTION:	Administrative Support Organization Manager U.S. DOE Grand Junction Projects Office P.O. Box 2567, Grand Junction, CO 81502		
ORIGINATOR ATTENTION:	Records Manager Chem-Nuclear Geotech P.O. Box 14000, Grand Junction, CO 81502		
COMMENTS:			

PREPARER/DATE:	PHONE NO.	CLOSURE DATE

Instructions for the Records Appraisal Traveler

Attach the traveler to one or more appraisals (SF115) for concurrence/return routing. Each person is responsible for routing the traveler to the next person required to assess the appraisal.

Control No.: Enter the traveler control number (e.g., a-bbbb-xxx). The first alpha is the abbreviation for the contractor (e.g., "G" for Geotech); the second alpha(s) represent the project office location (e.g., "GJPO" for Grand Junction Projects Office); and the numeric is the sequential number of appraisals being processed.

Series Title(s): List the record series titles that are addressed by the attached appraisals (SF115).

Concurrence/Return Routing: The routing sequence has been designed to process the appraisals through all the required organizations for appraisal concurrence and then notification of the approved appraisal(s).

Each person will initial and date the traveler, then route it to the next name on the traveler when his/her action/activity has been completed.

Comments: The comments section is to be used if rework is needed for any of the attached appraisals.

Preparer/Date: Preparer must sign (legibly) and date the traveler so that questions can be effectively directed at any time during the concurrence process.

Phone No.: Preparer's phone number (include area code).

Closure Date: The date will be entered by the originator when the traveler is returned for entry in the associated log/data base.

IDENTIFYING POTENTIAL QUALITY ASSURANCE RECORDS

Peggy Warner
GEO-CENTERS, Inc.

PEGGY J. WARNER
Manager, Records and Information Management Systems

Ms. Warner, as Manager, Records and Information Management Systems, for GEO-CENTERS, INC. from July 1992 to present, is responsible for the records management program for Sandia National Laboratories' (SNL) Waste Management Division, Yucca Mountain Project. Her responsibilities include the system design and management of the active and inactive records associated with work conducted for the DOE Office of Civilian Radioactive Waste Management (OCRWM) Yucca Mountain Site Characterization Project (YMP). She has previously managed both the United States Geological Survey (USGS) YMP Program, and t.. DOE Yucca Mountain Project Central Records Facility and DOE/YMP Records Manager. She is additionally providing program assessment and system design for the DOE Waste Isolation Pilot Project (WIPP) SNL effort and is researching and designing a QA Record Policy for Sandia National Laboratory.

EDUCATION:

M.A. in Education/Athletic Administration
Whitworth College

B.S. in Physical Education
Oregon State University

EXECUTIVE SUMMARY

"Identifying Potential QA Records" - so what is a quality assurance record? This presentation will provide a basic overview of quality assurance programs and several aids to assist in the determination of QA Records for your program. No - you won't have all of the answers when you leave but you will have some tools.

"Identifying Potential QA Records"

June 14, 1993

Peggy Warner, Manager
Records and Information Management Systems
GEO-CENTERS, INC.
(505) 243-3483

It is important policy for any organization, whether governmental or commercial, to establish quality assurance requirements to ensure that risks and environmental impacts are minimized and that safety, reliability, and performance are maximized through the application of effective management systems commensurate with the risks posed by the organization and its work.

The quality of information is a composite attribute based on the information's relevance, timeliness, comprehensiveness, and authoritativeness. Quality does not reside in the information itself but rather in the judgement of users qualified by need. Information that is relevant, timely, comprehensive, and authoritative according to the need of one user may not be so according to the needs of other users.

What drives your program? We are working in a world that has a moving target. Your Quality Assurance Program will change as the work or requirements change, or as personnel change and the program in interpreted through new eyes and against previous experience. Quality lists (or Q lists) may be of assistance by defining specific activities to be considered as "Quality Affecting". You must know your specific Quality Assurance program and implementing procedures. What are the activities which will be generating records? You must become the expert?

Objectives of such a program are to ensure:

> *that senior management provides planning, organization, direction, control, and support to achieve the organization's objectives based upon an internal or external clients needs;*
>
> *that the line organization achieves quality; and*
>
> *that overall performance is reviewed and evaluated using a rigorous assessment process.*

How do we in Records Management fit into this picture?

> *To assure quality, a documented trail of performance must be: identified, created, managed, protected, and dispositioned. Isn't that the "life cycle' of records?*
>
> *We are the "experts" in Records Management and we should be in a position to assist when requested or when we identify that our records identification, creation, and collection program is not meeting the intended purpose or requirements.*

KNOWING YOUR QA PROGRAM

DEFINITIONS

Authentication

The act of attesting that the information document is accurate, complete, legible, and appropriate to the work accomplished.

Quality

The degree to which an item or process meets or exceeds the user's requirements and expectations.

Quality Assurance

Actions that provide confidence that quality is achieved.

Quality Assurance Program

The overall program established by an organization (company, division, department) to implement the identified requirements. The Program assigns responsibilities and authorities, defines policies, and requirements, and provide for the performance and assessment of work.

Definition of a QA Record

A completed document that furnishes evidence of:

(1) the quality and completeness of items and activities affecting quality;

(2) the implementation of quality assurance programs

KNOWING YOUR CUSTOMERS PROGRAM

Quoting ex-President Bush: "In business, there is only one definition of quality - the customer's definition."

This holds true in all quality and quality assurance programs. The customer defines the program requirements/standards to which the quality or quality assurance program is designed and the rigor to which it is implemented. The customer's definition may be based on a variety of requirements, five of which may be:

- *Nuclear Weapons Production - Quality Criteria QC-1 (weapons production)*

- *Nuclear Weapons Program - Quality Criteria QC-2 (basic principles and criteria for research, design, development, and associated test activities)*

- *Nuclear Regulatory Commission - ASME NQA-1 (2 or 3) (comprised of 18 Criteria Elements)*

- *EPA Standards - QAMS-4 and QAMS-5 (being revised as ANSI/ASQC E-4)*

- *DOE Order 5700.6C (comprised of 10 Criteria Elements)*

Many of you work to DOE Order 5700.6C and/or another governing QA Program. The following information is provided as a simple overview of the programs and areas which may produce records which should be governed by this order.

DOE Order 5700.6C applies to DOE Departmental Elements, and management and operations contractors performing activities for DOE.

***Purpose** - To establish department-wide quality assurance requirements applicable to DOE facilities and activities.*

DOE Order 5700.6C <u>EXCLUSIONS</u>

- *activities associated with nuclear weapons administrated by Defense Programs (excluding facilities and equipment used to produce weapons) QC 1 and 2*

- *activities conducted under the Naval Nuclear Propulsion Program*

- *activities licensed by the NRC or an NRC Agreement State work subject to the Quality Assurance agreements of that agency (ie: YMP, Nuclear Power Plants)*

- *work administered by the Energy Information Administration (EIA)*

- *R&D work results which undergo peer review for publication*

DOE Order 5700.6C

Applies to life cycle of DOE programs/projects

- *basic R&D*
- *scientific investigation*
- *design*
- *operations*
- *maintenance*
- *repair*
- *environmental restoration*

QA Requirements Cross Reference

NQA-1 and 5700.6C

Requirement	NQA-1	5700.6C
Organization	1	1
QA Program	2	1,9
Design Control	3	6
Procurement Document Control	4	7
Instructions, Procedures and Drawings	5	5
Document Control	6	4
Control of Purchased Items and Services	7	7
Identification and Control of Items	8	5
Control of Processes	9	2
Inspection	10	8
Test Control	11	8
Control of Measuring and Test Equipment	12	8
Handling, Storage, and Shipping	13	5
Inspection, Test, and Operating Status	14	8
Control of Nonconforming Items	15	3
Corrective Action	16	3
QA Records	17	4
Audits	18	10
<u>Additional Requirements</u>		
Graded Approach	N/A	Introduction
Continuous Process Improvement	N/A	1
Planning, Schedule and Cost Control	N/A	1
Personnel Training and Qualifications	2	2
Self Assessment	2	9

CRITERIA FOR POTENTIAL QA RECORDS

The following six points should be identified specifically for your program.

1 - *Client need (Weapons Program QC-1 or 2, NQA-1, 2 or 3, EPA Standards, DOE Order 5700.6C, specific Client requirements)*

2 - *A document that furnishes evidence of the quality of items and/or activities affecting quality*

3 - *Is the record of value in determining the cause and subsequent corrective action for the malfunction or failure of an item or activity?*

4 - *Does the record provide a basis for or defend compliance or regulatory activities?*

5 - *Does the record provide evidence that an activity was performed in accordance with applicable specifications?*

6 - *Does loss or damage of the record have a major impact?*

Definition of QA Records taken from ASME NQA-1-1989 EDITION, Basic Requirements

Quality Assurance Records - Records that furnish documentary evidence of quality shall be specified, prepared, and maintained. Records shall be legible, identifiable, and retrievable. Records shall be protected against damage, deterioration, or loss. Requirements and responsibilities for record transmittal, distribution, retention, maintenance, and disposition shall be established and documented.

Footnotes

(1) and (3) ASME NQA-1-1989 EDITION Supplement S-1(2) Quality Systems Auditor Training Handbook, Programs Committee of the Energy Division, American Society for Quality Control, January 1986.

AIDS FOR THE IDENTIFICATION OF QUALITY ASSURANCE (QA) RECORDS

To assist non-quality assurance-oriented organizations in identifying QA Records, the development of a checklist as follows may be of assistance. Various aids may be developed which will work particularly well in your specific QA Programs. It is critical that you know your clients requirements (ie: NQA-1, QC-1 or 2, QAMS 4 or 5 and DOE Order 5700.6C) additionally you must be aware of the rigor or intensity to which the requirements will be implemented.

NOTE: The following section has been reprinted, with author permission, from a 1990 NIRMA Presentation "ANALYSIS OF NQA-1 VS. NARA RECORDS MANAGEMENT REGULATIONS" by Weaver, Gordon M. and Ebner, Hans.

1. *Is the record of value in demonstrating the capability for safe operations?*

2. *Is the record of value in determining the cause and subsequent corrective action for an accident, exposure, or environmental release?*

3. *Does the record document baseline data obtained for monitoring or inspections?*

4. *Does the record provide a basis for or defend environmental compliance or regulatory licensing activities?*

5. *Is the record of value for contractual or legal purposes?*

6. *Does the record provide evidence that an activity was performed according to applicable requirements or standards?*

7. *Does loss or damage of the record have a major impact?*

If an answer of "yes" is given for any of the questions 1 through 7, the record is a QA Record.

Questions 8 through 11 are followed by example applications of the questions. The "no" answer would indicate the record is <u>not</u> a QA Record; "yes" would indicate the record <u>is</u> a QA Record.

8. *Does the record provide evidence that an activity was performed in accordance with applicable specifications?*

   Example: Computer software specifications

   Answer: No -- The software contained calculations evaluating an organization's workload.

   Answer: Yes -- The software contained calculations used in the calibration of radiation-detection instruments.

9. *Is the record of value in determining the cause and subsequent corrective action for the malfunction or failure of an item or activity?*

   Example: Failure/malfunction of a personal computer (PC).

   Answer: No -- The PC is used for general administrative purposes.

   Answer: Yes -- The PC is used as part of a laboratory analysis system.

10. *Does the record provide specifications for the fabrication of an item or the performance of an activity?*

    Example: Fabrication of a special table.

    Answer: No -- The special table is used for placement of forms.

    Answer: Yes -- The special table upon which a sensitive piece of equipment is placed could affect the quality of data produced by that piece of equipment.

11. *Is the record of value in maintaining, reworking, repairing, replacing, or modifying an item?*

    Example: Maintenance of a procedures manual.

    Answer: No -- The manual covers general office administration.

    Answer: Yes -- The manual covers procedures for calibrating radiation-detection instruments.

    Answer: No -- Revisions to the calibration manual are only clerical, and would have no impact on any procedure or process.

    Answer: Yes -- Revisions to the calibration manual effect procedures, process, or calibration results.

If the answer to all 11 questions is "no" the record is not a QA Record."

Documentation and Records (4)

The documentation and records for a facility should include provisions for as-built documentation. These provisions should address what documents are required, the depth of information required for the as-built documentation and the internal or other measure for updating and the identification of those documents which are to become lifetime or nonpermanent records. As-built documents may include documents such as the following:

- *(a) drawings required for facility operation;*
- *(b) modification packages;*
- *(c) manufacturer operation and maintenance instructions;*
- *(d) manufacturer vendor manuals;*
- *(e) manufacturer technical bulletins;*
- *(f) equipment and instrumentation listings;*
- *(g) environmental qualification listings;*
- *(h) spare and replacement parts listings.*

The status of the approved design should be readily available to the participating design organization(s). In addition, for the operation phase, the as-built configuration and the status of modifications being implemented should be readily available to the operating organization.

ADDITIONAL GUIDANCE FOR IDENTIFICATION OF NQA-1 QA RECORDS

NOTE: The following NQA-1 citations are not complete as of this presentation. The following section is designed to provide examples of NQA-1 identified QA Records by the NQA-1 Eighteen (18) Criteria/Elements.

NQA-1 EIGHTEEN (18) CRITERIA/ELEMENT QA RECORD SAMPLES

CRITERIA/ELEMENT 2 QUALITY ASSURANCE PROGRAM

Records of personnel qualification evaluations, indoctrination, training, retraining, and job performance evaluations shall be retained. These records shall include, as a minimum, the following items:

Footnotes

(4) ASME NQA-1a-1989, APPENDIX 3A-1, Section 7

1. *Records of the verification of education and experience.*

2. *Records of the implementation of indoctrination and training. Satisfactory completion of training shall be confirmed by instructors, managers, or supervisors (reading assignments or attendance rosters).*

3. *Records of job performance evaluations including the name of the evaluated employee, the evaluator, the criteria by which the employee is being evaluated, evaluation results, date of evaluation, and the tasks/duties covered by the evaluation.*

4. *Records detailing the systematic approach taken to determine the need to conduct indoctrination and/or training.*

NQA-1 Certificate of Qualification, Supplement 2S-1, Section 2.7

The qualification of personnel shall be certified in writing in an appropriate form, including the following information:
(a) employer's name;
(b) identification of person being certified;
(c) activities certified to perform;
(d) basis used for certification, which includes such factors as:
  (1) education, experience, indoctrination, and training
  (2) test results, where applicable
  (3) results of capability demonstration
(e) results of periodic evaluation;
(f) results of physical examinations, when required;
(g) signature of employer's designated representative who is responsible for such certification;
(h) date of certification and date of certification expiration.

NQA-1 Certificate of Qualification, Supplement 2S-2, Section 2.2 identifies the use of The American Society of Nondestructive Testing Recommended Practice No. SNT-TC-1A, June 1980 Edition, and its applicable supplements shall apply as requirements to NDE personnel... Thus, results of this testing should be considered QA Records.

NQA-1 Certificate of Qualification, Supplement 2S-3, Section 6.1 General - Records of personnel qualification (as detailed above under Supplement 2S-2, Section 2.7) Records of personnel qualifications for Auditors and Lead Auditors performing audits shall be established and maintained by the employer.

Section 6.3 Updating of Lead Auditors' Records - Records for each Lead Auditor shall be maintained and updated annually.

NQA-1 Certificate of Qualification, Supplement 2S-3, Section 5 (Training) Records - Records of the implementation of indoctrination and training may take the form of:
(a) attendance sheets;
(b) training logs; or
(c) personnel training records.

CRITERIA/ELEMENT 3 DESIGN CONTROL

NQA-1 Certificate of Qualification, Supplement 3S-1, Section 7 Documentation and Records

Design documentation and records, which provide evidence that the design and design verification processes were performed in accordance with the requirements of this Standard, shall be collected, stored, and maintained in accordance with documented procedures.

The documentation shall include not only final design documents, such as drawings and specifications, and revisions thereto but also documentation which identifies the important steps, including sources of design input that supports the final design.

CRITERIA/ELEMENT 7 CONTROL OF PURCHASED ITEMS AND SERVICES

NQA-1 Certificate of Qualification, Supplement 7S-1, Section 5.1 Supplier Performance Evaluation Records - Activities performed to verify conformance to requirements of procurement documents shall be recorded. Source surveillances and inspections, audits, receiving inspections, nonconformances, dispositions, waivers, and corrective actions shall be documented.
The Purchaser shall assure that his documentation is evaluated to determine the Supplier's quality assurance program effectiveness.

NQA-1-1989 EDITION, APPENDIX 3A-1, Section 2.2 Supplier Selection Quality Records - Objectively evaluate the Supplier's current quality records supported by documented qualitative and quantitative information. This may include review and evaluation of the Supplier's Quality Assurance Program, Manual, and Procedures, as appropriate.

A Supplier's Certificate of Conformance.

CRITERIA/ELEMENT 9 CONTROL OF PROCESSES

NQA-1 Certificate of Qualification, Supplement 9S-1, Section 3.3 Records - Records shall be maintained as appropriate for the currently qualified personnel (may be found in Criteria/Element 2 records), processes, and equipment of each special process.

CRITERIA/ELEMENT 10 INSPECTION

NQA-1 Certificate of Qualification, Supplement 10S-1, Section 8 Records - Records shall, as a minimum, identify (a) through (f) below:

- *(a) item inspected*
- *(b) date of inspection*
- *(c) inspector*
- *(d) type of observation*
- *(e) results or acceptability*
- *(f) reference to information on action taken in connection with nonconformances*

CRITERIA/ELEMENT 11 TEST CONTROL

NQA-1 Certificate of Qualification, Supplement 11S-1, Section 5 Test Records - Test records shall, as a minimum, identify (a) through (g) below:

- *(a) item tested*
- *(b) date of test*
- *(c) tester or data recorder*
- *(d) type of observation*
- *(e) results and acceptability*
- *(f) action taken in connection with any deviations noted*
- *(g) person evaluating test results*

NQA-1 Certificate of Qualification, Supplement 11S-2, Section 5 Test Records - (a) Verification test records shall identify (1) through (10) below.

- *(1) computer program tested*
- *(2) computer hardware used*
- *(3) test equipment and calibrations, where applicable*
- *(4) date of test*
- *(5) tester or data recorder*
- *(6) simulation models used, where applicable*
- *(7) test problems*
- *(8) results and acceptability*
- *(9) action taken in connection with any deviations noted*
- *(10) person evaluating test results*

(b) In-use test results shall identify (1) through (6) below.

(1) computer program tested
(2) computer hardware used
(3) test equipment and calibrations, where applicable
(4) date of test
(5) tester or data recorder
(6) acceptability

CRITERIA/ELEMENT 12 CONTROL OF MEASURING AND TEST EQUIPMENT

NQA-1 Certificate of Qualification, Supplement 12S-1, Section 5 Records - Records shall be maintained and equipment shall be suitably marked to indicate calibration status.

CRITERIA/ELEMENT 17 QUALITY ASSURANCE RECORDS

Records that furnish documentary evidence of quality shall be specified, prepared, and maintained. Records shall be legible, identifiable, and retrievable. Records shall be protected against damage, deterioration, or loss. Requirements and responsibilities for record transmittal, distribution, retention, maintenance, and disposition shall be established and documented.

CRITERIA/ELEMENT 18 AUDITS

NQA-1 Certificate of Qualification, Supplement 18S-1, Section 5 Records - Audit records shall include audit plans, audit reports, written replies, and the record of completion of corrective action.

INCLUSION / EXCLUSION CRITERIA

The DOE Office of Civilian Radioactive Waste Management (OCRWM) has prepared an INCLUSION/EXCLUSION CRITERIA based upon the legal citations of the program. This criteria list utilizes a combination of: (1) Record Type, (2) Rationale, (3) Rule, and (4) Examples (specific to the Program). The design of this aid is extremely functional and provides documentation of a clear definition of the Program rationale. This documentation process may very well provide the justification necessary for you to survive your next auditors interpretation.

The following are provided for example purposes and should be utilized as a design guide, not a literal requirements guide for your program.

EXCLUSION CRITERIA

1. *Blank Forms.*

   Rationale: *Blank forms are non-records unless attached to another document as an example or for use in review process.*

   Rule: *Stand alone blank forms shall not be processed into the records system.*

   Examples: *Document review forms.*

2. *Business-Sensitive Information.*

   Rationale: *This information is proprietary because it may affect an organization's competitive position, trade secrets, or other financial or commercial information.*

   Rule: *Business-sensitive information shall not be processed into the records system.*

   Examples: *An organization;s budgets, rates, organization chart, or financial and commercial information that is not publicly available in its brochures or capabilities statement.*

3. *Personnel Records.*

   Rationale: *Personnel records are confidential, except as required by quality assurance (ie: qualification and training records), and are protected by the Privacy Act.*

   Rule: *Personnel records, except qualification and training records, shall not be captured by the records system.*

   Examples: *Performance evaluation records; disciplinary actions; biographical information including age, sex, race; personal contributions to charitable drives.*

INCLUSION CRITERIA

1. *Documents Concerning Application of Laws and Regulations*

   Rationale: *Documents analyzing the application of laws and regulations to be OCRWM Program are one input to work plans and task planning.*

   Rule: *Documents dealing with the application of laws and regulations shall be included in the records system and the licensing system.*

   Examples: *Federal mining regulations applied to the ESF, Application of 10CFR960, fitting guidelines.*

2. *Documents on Safety Issues*

   Rationale: *Documents concerning safety of workers at the site or safety of the general public are relevant to licensing.*

   Rule: *All documents concerning safety issues shall be included in the record system and licensing system.*

   Examples: *Letter relating to safety rules at job sites and safety inspection reports.*

3. *Drilling Program Documentation.*

   Rationale: *The location, depth, and related information concerning drill holes provides critical information about the site. The resultant cores are used to study the geology, hydrology, tectonics, geochemistry, and other aspects of the site.*

   Rule: *All drilling program documentation shall be included in the record system and licensing system.*

   Examples: *Well logs, reviews, statue reports, draft reports, and final reports.*

QA RECORD PACKAGE WORKSHEET

Procedure Reviewed _____ *Revision* _____ *Limited Value*

WORKSHEET STEPS:

(1) Highlight all documents as you locate them within reading the procedure.
(2) List each document on the worksheet in the sequence you find them in the text. List only one time.
(3) Identify whether the document is (yes) or is not (no) a QA record.
(4) If the document is not a QA record, comment as to basis for decision.
(5) Compile, in package order, a list of all potential QA records for the record package.

Document List	*QA Record Selection (Yes or No)*	*Comments*

Using the list above, prepare the proposed <u>Final</u> QA Record Package:

Opening Record:

Body:

Closing Record

FILING SYSTEMS: HOW DO I MANAGE MY RECORDS BEFORE THE RETENTION SCHEDULE IS APPROVED?

Sandra Tonnesen
Sandia National Laboratories

DOE Records Management Conference

Sandra L. Tonnesen
Recorded Information Management Department 7145
Sandia National Laboratories
Albuquerque, NM 87185-5800

Filing Systems: How Do I Manage My Records Before the Retention Schedule is Approved?

EXECUTIVE SUMMARY

DOE sites are currently planning, conducting, and analyzing an inventory of their records, which will find their way into DOE/NARA approved retention schedules. At this point file custodians do not have the benefit of the inventory results to aid in filing system development. Yet, they must make records accessible before the schedule is approved. The answer to this dilemma lies in the development and implementation of departmental filing systems that allow retrieval of records without compromising the inventory and scheduling process.

BIOGRAPHY

Sandra L. Tonnesen, a Records Management Analyst with Sandia National Laboratories, has ten years experience in records management and historical archives. She received a Master's degree in History from the University of California, Riverside in 1988. Sandra is an active member of the Rio Grande Chapter of the Association of Records Managers and Administrators (ARMA).

Filing Systems: How Do I Manage My Records Before The Retention Schedule Is Approved?

1993 DOE Records Management Conference
June, 1993

Presented by:
Sandra L. Tonnesen
Recorded Information Management Dept. 7145
Sandia National Laboratories
Albuquerque NM 87185-5800
(505) 845-9442 (Voice)
(505) 844-2621 (Fax)

This work performed at Sandia National Laboratories supported by the U.S. Department of Energy under Contract DE-AC04-76DP00789

The Inventory Project at Sandia

- Eight months into a twenty-four month project
- Planned to finish inventory FY 1995
- Schedule approved by FY 1997 ??
- Four years minimum to utilize a file plan

Decentralization And Diversity Of Active Records Stations At Sandia

- 75 Centers - 10 Departments average per Center
- Research & Development Environment
    - Especially high growth in ES&H records
- Records are maintained differently throughout the labs
- Problem is:
    - Finding the right records
    - At the right time
    - At a low cost

Our Conception Of The Solution
A File Plan

- Gain management support for Records Management Program
- Assign Responsibility - Find an "Owner"
- Find Out:
  - What records are being created
  - What records currently exist
  - How the records are organized
- Draft a file plan based on the current records
- Gain user support
- Test the system
- Obtain supplies and set-up the system

Basics Of File Plan Development

- Filing Systems
  - Alphabetic
    - By name
    - By subject
    - By geographic location
  - Numeric
    - Consecutive
    - Duplex (numbers separated into parts)
    - Decimal (Dewey Decimal System)
  - Alphanumeric
    - Subject-Numeric order (encyclopedic arrangement)
    - Phonetic order (sound of the name)

Basics Of File Plan Development (Continued)

- Chronologic
  - Suspense Files (tickler files)
  - Transaction files (by date of transaction)
  - Within individual files (reverse chronological order)
- Selecting a filing system
  - Identify basic file groups
  - Identify file features
  - Identify user requirements
- The dilemma of standardization
  - Standardize contents, folders, document identification
  - Standardize the rules of the filing system
  - Use color-coding
  - Uniform filing system
  - Standardize the users

Our Story

- Eight active records stations within ES&H
  - Locations in New Mexico and California
- Each station growing at a rapid pace
- Working together on a file plan
  - Agreement that we could work together
  - Different needs for similar records
- File Plan ideas and decision making
  - Alphanumeric filing system
  - "Generic" file plan for project files

Our Story (Continued)

- Agreement with compromise
  - "Generic" structure with flexible fine points
- Physical Conversion and Supplies
  - Lateral data unit boxes
  - Expandable folders with color-coded side tab labels
- Vendor relations
- Automating our system
- Training and awareness
- Modifications to the system

Conclusions

- Do your homework
- Work in a cooperative manner
- Be willing to compromise
- Be willing to fine tune the system once it is running
- Participate in team building
- Celebrate your victories and success

HOW DO I ORGANIZE AND INDEX TECHNICAL RECORDS BEFORE I HAVE A RIDS?

Kay Schardein
International Technology Corp.

HOW DO I ORGANIZE & INDEX UNSCHEDULED TECHNICAL RECORDS?

DOE Records Management Conference

Seattle, WA

June 1993

Kay Schardein, CRM

Sandia National Laboratories

(505)848-0434

OVERVIEW

- Introduction
- Case Filing
  - definitions/examples of project records
  - file structure sources
  - creating a filing scheme
    - » Environmental Restoration (ER) site files
    - » Underground Storage (US) tank files
- Color-coding
- Indexing
  - ORACLE database
  - DOE thesaurus

INTRODUCTION

- Records manager for SNL, New Mexico's ER Departments
- Over 200 ER sites and 90 staff
- Corporate records doing sitewide inventory
  - Q: How to handle unscheduled records in the meantime?
  - A: Create filing scheme based on NARA model
    - » side-tabbed color-coded file folders
    - » online ORACLE index
    - » establish LAN

CASE FILING

- **Project records**
  - definition from 44 USC 3301:
    - » "...."records" includes all books, papers, maps, photographs, machine readable materials.... regardless of physical form....made or received by an agency....and appropriate for preservation....because of the informational value of data in them."
  - examples: audits, correspondence, data, forms, inventories, logbooks, maps, permits, photos, plans, reports
- **File structure sources**
  - existing files/databases
  - other DOE facilities
  - textbooks, journals, short courses (especially ARMA)

CASE FILING (cont)

- **Creating filing scheme**
  - work closely with customers
  - examine NARA models
  - identify existing "natural order"
  - "own" or stay on distribution for those lists
  - create subseries
  - design/test/implement/review/revise
    - » lessons learned: Chemical Waste Landfill

CASE FILING (cont)

- **Models:**
  - Environmental Restoration site files
    - » adopted existing database
    - » combined with record subseries
    - » side-tabbed color-coded folders
  - Underground Storage Tank files
    - » adopted existing tank list
    - » combined with same record subseries list
    - » side-tabbed color-coded folders

COLOR CODING
(and other secrets)

- Examine multiple products
- Use highest affordable quality
- Obtain samples for test batch, then order
- ALWAYS use a template
- Admit heart breaks, revise, then move on

RECORDS INDEXING WITH ORACLE & THE DOE

- Developed by trio
- Bi-weekly meetings
- Oracle selected for three reasons
- Additional modules planned
- LAN installation
- DOE Thesaurus
- Our application available from:

Donna Campbell, Sr. Systems Analyst
Sandia National Laboratories
(505) 848-0430

SUMMARY

- Case filing
  - ER site files
  - UST files
- Color coding
  - lessons learned
  - examples
- Indexing
  - Oracle database
  - DOE thesaurus
- Questions?

REMARKS OF STEVE PERIN
DEPUTY DIRECTOR, OFFICE OF INFORMATION RESOURCES MANAGEMENT
RECORDS MANAGEMENT CONFERENCE
SEATTLE, WASHINGTON
JUNE 1993

Thank you Erik. I'm very happy to be here.

Jerry Chappell, the Director of the Office of Information Resources Management, and my boss, attended this conference last year in Denver. When he came back, he told me he was amazed at the complexity, the magnitude, and the impact of the job of records management in the Department of Energy. He also told me how thankful he was that there are so many talented, hardworking people struggling to build a critically important program. He felt that with your hard work, with management support, and with additional resources, the Department would be well on its way to achieving one of the finest programs in the Federal Government.

When Jerry and I were strategizing last week about briefing top management officials on the status of the inventory and scheduling project--more on <u>that</u> in a minute--we were searching for a way to graphically illustrate the scope of the challenge. What we came up with was this. (Slide, please.) Here is a photo of the Forrestal North building in Washington, DC, where some of you work, and many of you have visited. It runs from 9th Street to nearly 12th Street, SW.

If you took every above-ground floor, that is four through seven, and emptied everything out and then you used every office, including the Secretary's, every hallway, every stairway and every elevator bank, you would just barely

be able to contain the Department's 2.5 million cubic feet of uninventoried records. Isn't that amazing? (Slide off.)

Actually, I don't want to empty the Secretary's office, because I think Secretary O'Leary's leadership style and interests are going to have a very positive impact on our records management program. How many of you saw the Secretary's town meeting, or one of the several videos she's made? This is definitely a leader with a vision--and I see your program as an integral part of the success of that vision.

Secretary O'Leary has identified a number of core values for the Department. These include empowerment, openness, and trust. Trust with a capital "T." Trust between our internal and external customers and among ourselves. Trust built upon integrity, keeping commitments, apologizing, being open and honest, and taking care of the little things. Making available information about the Department's programs, both past and present, is vital to building that trust with our external customers, especially since we've been accused of not doing so in the past.

You will play a key role in trust building as you identify, describe, and make available your documentary materials. Those of us in the records management business aren't the only ones to recognize this. At one of the Secretary's staff meetings, making records available was discussed as a potential "re-invention" activity resulting in improved public access. To make those records available, we must first know what we have, where it is, and how to access it. Thus the importance of our records inventory initiative.

Another example. In keeping with her understanding of the importance of information, the Secretary established an Information Management Team headed by Jerry Chappell to address the role of information management in reinventing the Department of Energy. This is one of 15 teams she established in areas she believes are critical to the implementation of her vision for the Department. Part of the draft vision statement developed by the Team states:

> We will focus our priorities to build and share quality information in the right form with the right people at the right time to support sensible Departmental decisions and guide our actions.
>
> AND it further states:
>
> Our customers include the citizens of the nation and the people of the Department...

For those of you who attended the Springboard Program and heard Mary Ann Wallace talk about what records management is, I would suggest that the vision statement of the Information Management Team parallels the goals and objectives of a records management program as defined in law. Obviously, the objectives of the Information Management Team cannot be achieved without a strong and fully supported records management program.

The realignment of the Department, which was formalized last week, will also strengthen the records management program. First, and in the category of what goes around comes around, we are now under an Assistant Secretary for Human Resources and Administration. Records Management has a spokesperson on the same level as the programmatic Assistant Secretaries. Better still, the

designated Assistant Secretary (whose Senate confirmation hearing was held last Tuesday) is a retired Air Force General who brings a great deal of management experience to the job. Archer Durham has been briefed on the records management program and expressed his full support. Coming from the military with its long tradition of excellence in records management, he has an appreciation for and understanding of its importance. He will be a strong advocate for the program.

Jerry Chappell learned a great deal about records management as a result of his attendance at the Conference. He took what he learned back to Washington and built upon it to gain an understanding and appreciation of the records management program. He is using that knowledge to promote the program and to push for additional resources at every opportunity. Just this past week, we met with Don Pearman, the Acting Associate Deputy Secretary for Field Management--a key new position under the Secretary's realignment--to brief him on the status of the inventory and scheduling project and to appeal for additional management attention and resources for that project. As a result, Don has asked Bill Sylvester of his staff to join us this morning to describe how Don will be distributing to all of his Operations Managers the same "report card" Mary Ann will be showing us later. I suspect that the status of the records management initiative will generate a fair amount of discussion at the Operations Office Managers' Meeting in Chicago later this week. We will also meet with the head of the Office of Laboratory Management to make the same appeal. With our National Laboratories holding 65% of our records, their support and commitment is vital to the success of our records management program.

Now it's my turn to learn. How is it, by the way, that executives like Jerry Chappell and myself can work so many years and know so little about such an important function? We've picked up quite a bit about personnel, procurement, EEO, and the like--how come so little about records management? I have some theories, but that's a discussion for another day. This week I'm in a listening and learning mode.

I attended the Springboard Program yesterday, and my learning process is beginning. I look forward to the rest of the week and ask you to contribute to my education throughout the Conference. I am here to listen, to learn, and to share. I want you to talk to me about your programs and about your ideas on what we can do or do better to support you. I see our role as one on empowerment - providing you with the tools, the resources, and the support you need to get the job done. Please feel free to "corner" me throughout the week. I can't promise that all you ask for you will receive. But I can promise that I will listen, take back what I have heard, and do my best to be one of your advocates in Washington.

Thank you.

REMARKS OF RON SHORES

RECORDS MANAGEMENT CONFERENCE

SEATTLE, WASHINGTON

JUNE 1993

Thank you Erik. I, like Steve, am very happy to be here because, unlike Steve, I was lucky enough to be here last year so I know first hand how much one can learn from spending a few days with records managers.

I want to express my thanks and appreciation to Erik and all the members of the Records Management Steering Committee for organizing this Conference. I realize putting on a Conference as large and important as this takes a great deal of effort. Because life goes on and jobs for which we are paid must be done, I am sure Committee members spent much of their own time to make this happen. I believe all of us owe them a debt of gratitude as we will come away from this Conference with a greater understanding of records management in the Department of Energy and we will forge alliance with others in our profession whom we can learn from and to whom we can impart our lessons learned.

I second what Steve said. Senior management in the Office of Information Resources Management understands the importance of

records management and is working to obtain management commitment to and additional resources for the program. I too believe that the effective and efficient management of information resources is critical to the success of the Secretary's vision for the Department.

Later in the Conference I will talk about specific programs and plans of the Office of IRM Policy to address the criticism levied against the Department and to describe our plans to further integrate records and information management into the program planning processes of the Department. I believe we have come a long way in elevating records management from a clerical function performed to get "stuff" out of the way, to a truly managerial function seen as critical to mission accomplishment. That is not so to say our journey is over. We still have a long way to go. My vision is that one day records management will be transparent. It will not have to be a program separate and apart the mission. But will be integral to the success of any venture. Where once technology, it acquisition and deployment held center stage, I now see the focus shifting to the information. In a sense, back to traditional values. To asking questions like who needs what, how and when? And to not assuming technology was the answer to every question. I believe that the General Accounting Office was saying just that in their report on our information resources management program. That we must not forget our customers, or economy and efficiency, just so that we could buy the latest computer or install the finest telecommunications system.

The tools we select to manage our information are important. And they must chosen wisely. But the choices must be made in the context of the information requirements of the organizations and the individuals who carry out the programs. Records managers understand that. They understand that their job is to satisfy information requirements in a cost efficient manner and to ensure that an adequate record is made and preserved to document the activities of a Government by and for and, finally, accountable to the people. The blending of the concerns of records managers with the knowledge of individuals experienced in the technologies fosters that objective - the preservation of the evidence of the activities of our Government.

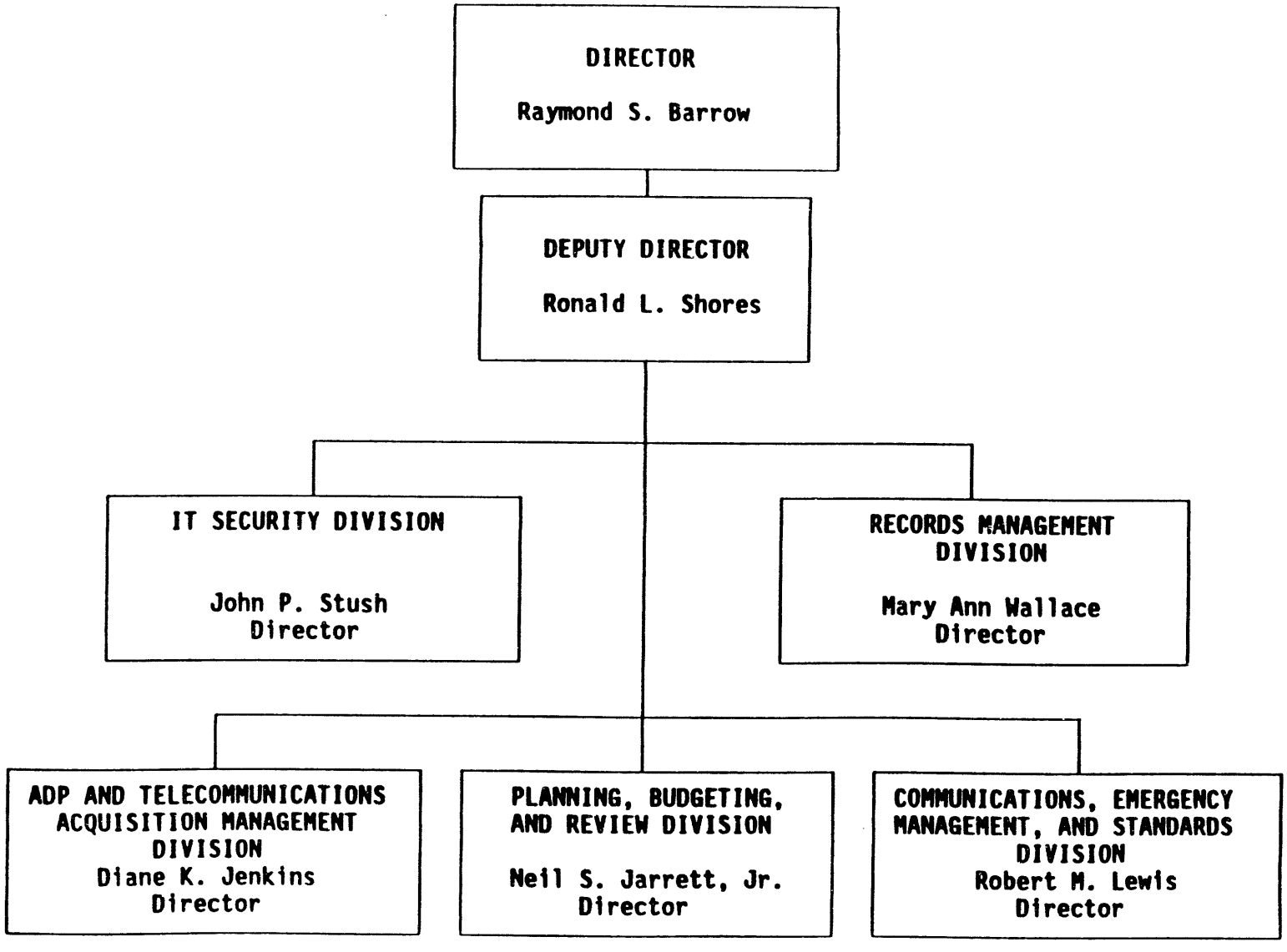
Last weekend we remembered the 25th anniversary of the death of Robert F. Kennedy. Bobby Kennedy believed that we can change the world - that one person can make a difference. Each of us as that one person can make that difference. But we must help each other. Through Conferences such as this and other mechanisms, we can help each other. I urge all of you to take advantage of this opportunity to learn and to share. Remembering always that the mangers in the Office Of Information Resources Management share your commitment and will work to support and enhance the records management program in the Department of Energy.

As we work to achieve the Secretary's vision, we must reach out for excellence and decency. We must stay the course. If we have not begun, lets us get started.

OVERVIEW

- IRM Policy Organization
- Newsletter
- IRM Conferences
- NARA Evaluation
- GAO Report on Records Management
- GAO Report on IRM
- IRM Planning Process Improvement Team

OFFICE OF INFORMATION RESOURCES MANAGEMENT
POLICY, PLANS, AND OVERSIGHT



Information Resources Management Update
Comments Sheet

1. ITEMS OF INTEREST - Attached is an item of interest for use in a future Update. This item is for use in the section of the Update indicated below:

___ IRM Highlights
___ IRM Problem Areas
___ Future IRM-Related Activities
___ Items of Interest

Submitted by:
Name_____
Organization_____
Commercial/FTS Phone_____

Please send submissions on floppy diskette in ASCII or WordPerfect format and hard copy.

---

2. COMMENTS - The following suggestions for improvements to the Update are provided.

Name	Organization	Commercial/ FTS Phone

---

3. REQUEST FOR COPIES - Please provide copies of future Updates to:

Name _____ Commercial/ FTS Phone _____
Mailing Address:

_____

_____

_____

Number of Copies Requested _____

Return to:

U.S. Department of Energy
Office of IRM Policy, Plans, and Oversight
Planning, Budgeting, and Review Division (AD-246)
ATTN: Ms. Kelly King
Washington, DC 20585

IRM CONFERENCES

- Computer Security (May 1993)
- Records Management (June 14-18, Seattle)
- Office Information Technology (July 13-15, Oak Ridge)
- Telecommunications (August 2-5, Denver)
- AESOP (Assn. of Energy Systems, Operations and Programming) (October 27-29, Seattle)

NARA EVALUATION

- Comprehensive Review
  - 22 Headquarters and 15 Field sites
  - Focused on overall program management (creation, maintenance and use, disposition, retained records and storage facilities)
- Report Issued December 1988
- 40 Specific Deficiencies

MAJOR FINDINGS

- Inadequate management attention
- Lack of communication
- Inadequate staffing
- Lack of management oversight program
- Inadequate training program
- Inadequate attention to policy/programs (for adequate and proper documentation
- Inadequate preservation of historical information
- Most significant -- lack of NARA approved disposition schedule

MAJOR RECOMMENDATIONS

- Develop accurate disposition schedules
- Develop training program
- Implement comprehensive evaluation program
- Develop and issue recordkeeping requirements
- Upgrade storage facilities
- Increase staffing

ACTIONS UNDERTAKEN

- Increased staffing
- Improved communications
  - Established Records Management Committee
  - Established site contacts
  - Established Records Management Conference
- Developed evaluation program
- Initiated training
- Revised Departmental policies
- Initiated inventorying/scheduling effort

GENERAL ACCOUNTING OFFICE (GAO) REPORT

- Congressional discontent prompted GAO review
- GAO assessed DOE's progress on implementing NARA recommendations
- GAO report issued May 1992

MAJOR FINDINGS

- Determine what records are needed to adequately document DOE activities
- Develop recordkeeping requirements
- Complete inventories an evelop disposition schedules
- Develop training
- Develop procedures to ensure that Federal records are not removed or destroyed when employees terminate their employmen

GAO RECOMMENDATIONS

- Heads of Departmental elements to develop plans to correct deficiencies

- Plans to include:
  -- specific priorities
  -- goals
  -- target dates
  -- amount of work remaining for each organization

- Records Management Division to provide guidelines on plan development

RECORDS MANAGEMENT PLAN - GUIDELINES

- 10 Program Elements
  - -- policies/procedures
  - -- training/awareness
  - -- creation
  - -- maintenance
  - -- disposition
  - -- electronic records
  - -- micrographics
  - -- audiovisual records
  - -- vital records and disaster recovery
  - -- evaluation

- Site-specific recommendations from the NARA evaluation

GAO REPORT

BETTER INFORMATION RESOURCES MANAGEMENT NEEDED TO ACCOMPLISH MISSIONS

BACKGROUND

- GAO initiated (part of the General Management Review)
- Draft Report received - July 1992
- Final Report issued - September 29, 1992
- DOE comments - December 15, 1992

SCOPE

- Evaluated management activities to determine how effectively DOE manages its Information Resources
- Focused on Environmental Restoration, Safety and Health Management, Nuclear Weapons Production, and Security

FINDINGS

- LACK OF INFORMATION IMPAIRS MISSIONS AND WASTES RESOURCES
- STRATEGIC IRM PLANNING PROCESS NEEDED
- MANAGEMENT CONTROL OVER INFORMATION RESOURCES IS NEEDED
- LEADERSHIP IS ESSENTIAL FOR EFFECTIVE IRM

RECOMMENDATIONS

- DEVELOP A CLEAR VISION OF HOW INFORMATION AND IMPROVED IRM CAN CONTRIBUTE TO ACCOMPLISHING CRITICAL MISSIONS
- CLARIFY PROGRAM MANAGERS AND THE DSO'S RESPONSIBILITIES
- HOLD THE DSO AND PROGRAM MANAGERS ACCOUNTABLE FOR LINKING IRM PLANNING WITH STRATEGIC MISSION PLANNING AND REVISING IRM POLICIES
- IDENTIFY IRM DEFICIENCIES AS A MATERIAL INTERNAL CONTROL WEAKNESS

DOE POSITION

- ACCEPTS RECOMMENDATIONS AND WILL AGGRESSIVELY BEGIN IMPLEMENTATION

- TAKES EXCEPTION TO STATEMENT OF EFFECT THAT THE DEPARTMENT HAS BEEN HINDERED IN ACCOMPLISHING ITS MISSION DUE TO THE LACK OF INFORMATION

ACTION PLAN

- MODIFY IRM VISION 21 AND COMMUNICATE IT DEPARTMENT-WIDE (COMPLETED)
- ISSUE A NOTICE/MEMORANDUM ON IRM
- CREATE AN IRM EXECUTIVE COUNCIL
- ISSUE A DOE IRM ORDER
- MODIFY THE STRATEGIC PLANNING INITIATIVE
- RESTRUCTURE IRM PLANNING ALONG PROGRAM LINES
- ADDRESS IRM STAFFING ISSUES
- INVESTIGATE INFORMATION SYSTEMS ARCHITECTURES
- IDENTIFY IRM DEFICIENCIES AS A MATERIAL CONTROL WEAKNESS

FMFIA PROCESS

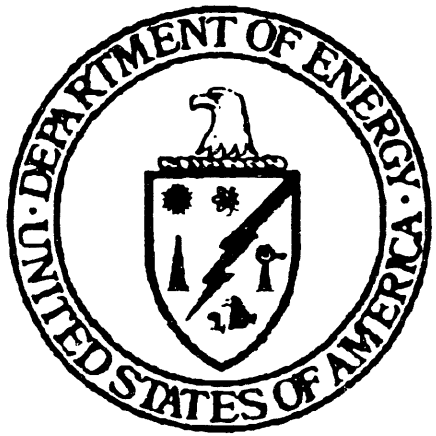
- AD RECOMMENDED THAT IRM DEFICIENCIES BE A SIGNIFICANT WEAKNESS
- DICARC RECOMMENDED THAT IRM DEFICIENCIES BE A MATERIAL WEAKNESS
  - -- SYSTEMIC PROBLEM
  - -- ADVERSE AUDIT COVERAGE
  - -- SEVERAL MILLION DOLLARS WASTED

  THEREFORE, MORE VISIBILITY
  MORE ATTENTION
  MORE REPORTING AND TRACKING
- ANNUAL ASSURANCE MEMORANDUM SIGNED BY THE SECRETARY ON DECEMBER 22, 1992
  - -- INCLUDED IRM AS A MATERIAL WEAKNESS

RECENT ACTIONS WITHIN AD

- AD-1 Memo to All Departmental Elements
- Initiated Two Tasks
  - Develop a Self-Assessment Guide
  - Develop a Process to Perform Management Reviews by Functional Area
- IRM Included in FY 1993 FMFIA Process

DEPARTMENT OF ENERGY
IRM PLANNING



RECORDS MANAGEMENT CONFERENCE
June 16, 1993

DOE IRM Planning Process

CURRENT IRM PLANNING PROCESS

- Highly Regarded by Other Executive Agencies
- Meets External Reporting Requirements
  - -- Paperwork Reduction Act
  - -- OMB, GSA, Congress
- Supports Internal Budget Review (IRB)
  - -- MIEs
  - -- Computer Table
- Good Acquisition Tool

BUT . . .

- Lacks Linkage to Program Missions
- Not Coupled well to Budget Planning
- Redundant to Other Processes
- Technology Oriented
- Burdensome and Report Oriented

DOE IRM Planning Process

HISTORY: Technology Planning Since DOE Inception

1980 Paperwork Reduction Act

1981 DOE Integrated Information Technology Resources Long-Range Plan

COMPELLING REASONS FOR CHANGE:

1990 Centralization of IRM at Headquarters

1990 SEN 25, Strategic Planning Initiative

1991 IRM Vision 21: A Strategic Planning Program

1992 Proposed Revisions of OMB A-130

1992 GAO Emphasis on Linking IRM to Mission

DOE IRM Planning Process

The DOE IRM Planning Process Improvement Team was chartered to facilitate improvement of IRM Planning by developing a process that would be:

- **Driven by program and mission needs**
- **Integrated with other Departmental strategic planning processes**
- **Able to provide the infrastructure and support necessary for Departmental information functions.**

DOE IRM Planning Process

VISION FOR IRM PLANNING

- IRM integrated into program planning process and driven by programmatic requirements which drive the Budget
- Timely and responsive to changing needs
- Useful tool of Program Management
- Presents clear picture of IRM and its relation to Programmatic Missions
- IRM Planning focused on the information needs of the programs.

DOE IRM Planning Process

PROBLEM STATEMENT

The Department's current programmatic planning process, which is comprised of strategic planning, multi-year program planning, institutional planning, and crosscut planning does not adequately recognize or reflect Departmental and programmatic IRM needs, and virtually ignores the need to address information requirements. This planning process does not provide for a specification of the information required to accomplish missions, goals, and objectives. Nor does it define the Departmental and programmatic information infrastructure required to manage information.

Reinforced by GAO Report findings:

- **Lack of Information Impairs Missions and Wastes Resources.**
- **Strategic IRM Planning Process Is Needed.**
- **Management Control Over Information Resources Is Needed.**
- **Leadership Is Essential for Effective IRM.**

DOE IRM Planning Process

Team Members

Anderson, David - CDSI/AD
Aquilina, Chuck - EG&G/ID
Arrowood, Joe - MMES/OR
Bartlett, Dennis - HQ/CE
Blackston, Carol - HQ/AD
Bowser, Ed - Savannah River
Brace, Gayle - Allied Signal-KCD
Breazeal, Julie - LLNL
Cole, Chuck - LLNL
Craig, Jerry - METC
Donaldson, Gail - Oak Ridge
Drawdy, Wayne - HQ/DP
Farber, Michael - TRW/RW
Frame, Elaine - OSTI
Guyker, Chuck - HQ/AD
Herkamp, Allen - BPA
Hitchcock, Dan - HQ/ER
Jones, Mary Ann - RW/YMP
Kirk, Wanda - CDSI/AD
Lawler, Rose - Weston/RW
Lewis, Jon - BCS/Richland
Losier, Dale - Savannah River
Milton, Caryl - Oak Ridge
Nagy, Nick - LANL
Nguyen, Troy - HQ/EM
Orner, Ed - Albuquerque
Parson, Grey - Idaho
Pastoria, Gary - METC
Santilli, Joseph - CSC/Nevada
Spraker, Judy - OSTI
Stevens, Dave - LBL
Tiemann, Mike - HQ/AD
Trentman, Nora - SAIC/YMP
Tyler, Fenton - EG&G/Idaho
Verastequi, Becky - MMES/OR
Wells, Bob - HQ/RW
Yockman, Dick - HQ/ER

ACTIONS UNDERWAY OR PLANNED

- DOE Strategic Planning Process
- Pilot Processes -- Energy Research
  - Scientific Needs Via Institutional Plans
  - Business Information Needs Via ER Planning Group
- Specifications Document
- Implementation Plan
- Guidance and Training

DOE IRM Planning Process

GOALS

- **Facilitate information management and the planning of information resources to support Departmental and programmatic missions and functions.**

- **Reflect timely and effective linkages to other Departmental processes (e.g., budget; procurement; strategic and multi-year program planning; institutional planning).**

- **Provide a management tool for aiding the identification and avoidance of duplicative and/or overlapping information systems and a structured process to identify and manage the Department's information resources in an efficient and cost-effective manner.**

- **Reduce the burden associated with IRM planning and reporting.**

By meeting these goals, the IRM Planning Process will ensure the availability of the information and technology vital to DOE missions and operations, while addressing applicable internal and external information resource management, planning, and reporting requirements as set forth in the laws, regulations, statutes, orders, directives, and guidance that govern IRM activities.

DOE-HQ INITIATIVES, PLANNING, IRM REVIEWS

Mary Ann Wallace
DOE-HQ IRM

MARY ANN WALLACE

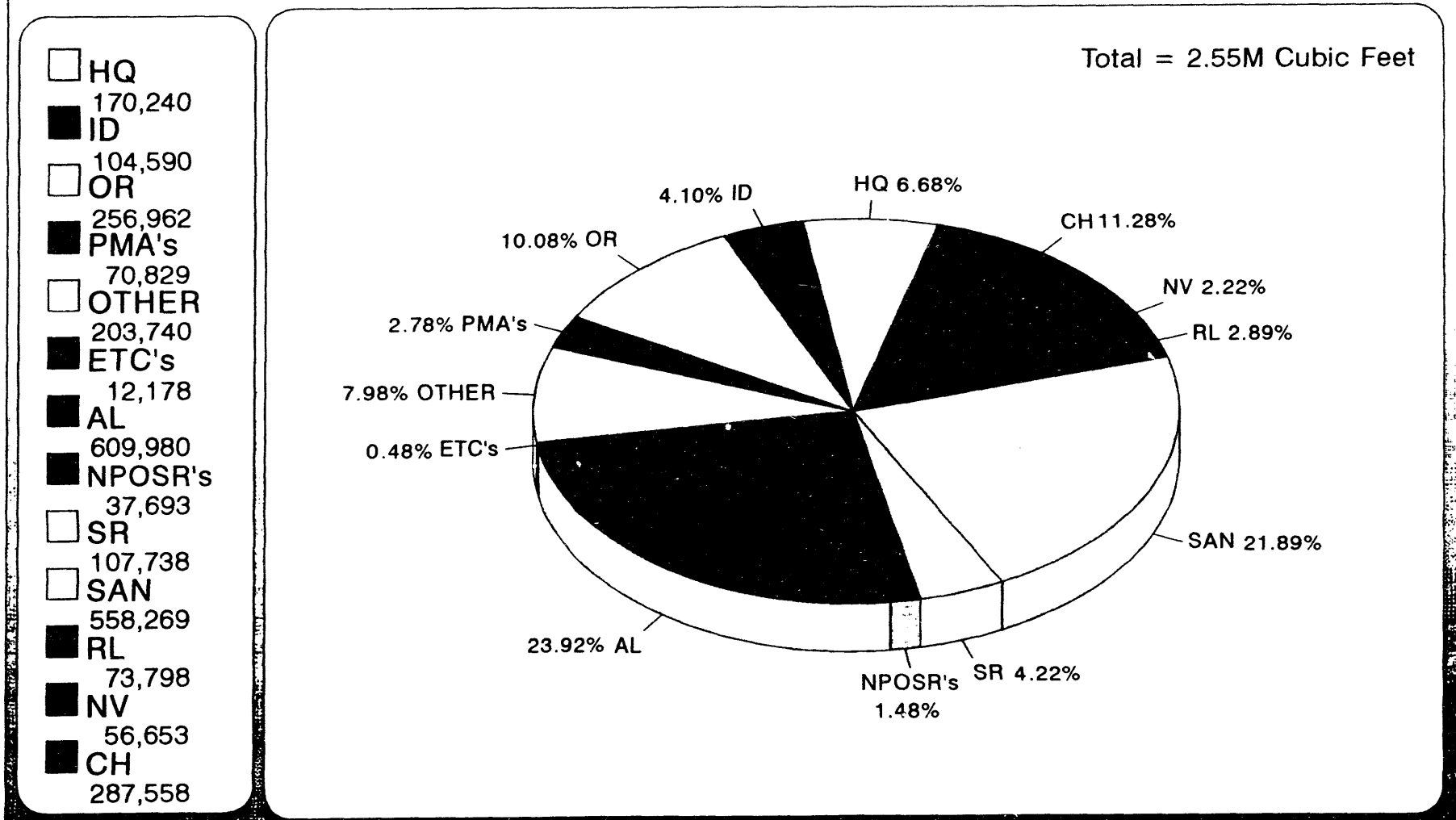
In January of 1993, Mary Ann Wallace was appointed the Director, Records Management Division; Office of Information Resources Management Policy, Plans, and Oversight; U.S. Department of Energy (DOE). That Division is responsible for formulating and promulgating the policies and procedures to be followed by all DOE and DOE contractor organizations in the management of their recorded information. As the Director, Ms. Wallace is the principle DOE records management official.

Prior to her current position, Ms. Wallace was the Director, Operations Management and Support Group, Division of Technical Support, Program Management and Analysis, Office of Nuclear Safety, Department of Energy. In that capacity she was responsible for developing, integrating, and managing all Nuclear safety information systems, including the identification, acquisition, and implementation of technology in support of those systems. Before joining the Office of Nuclear Safety, Ms. Wallace was the records manager for the Office of New Production Reactors, Department of Energy. As such, she had full responsibility for all documentation relating to the design, construction, and operation of new production reactor capacity. This included ensuring that the documentation programs met the NQA-1 standards.

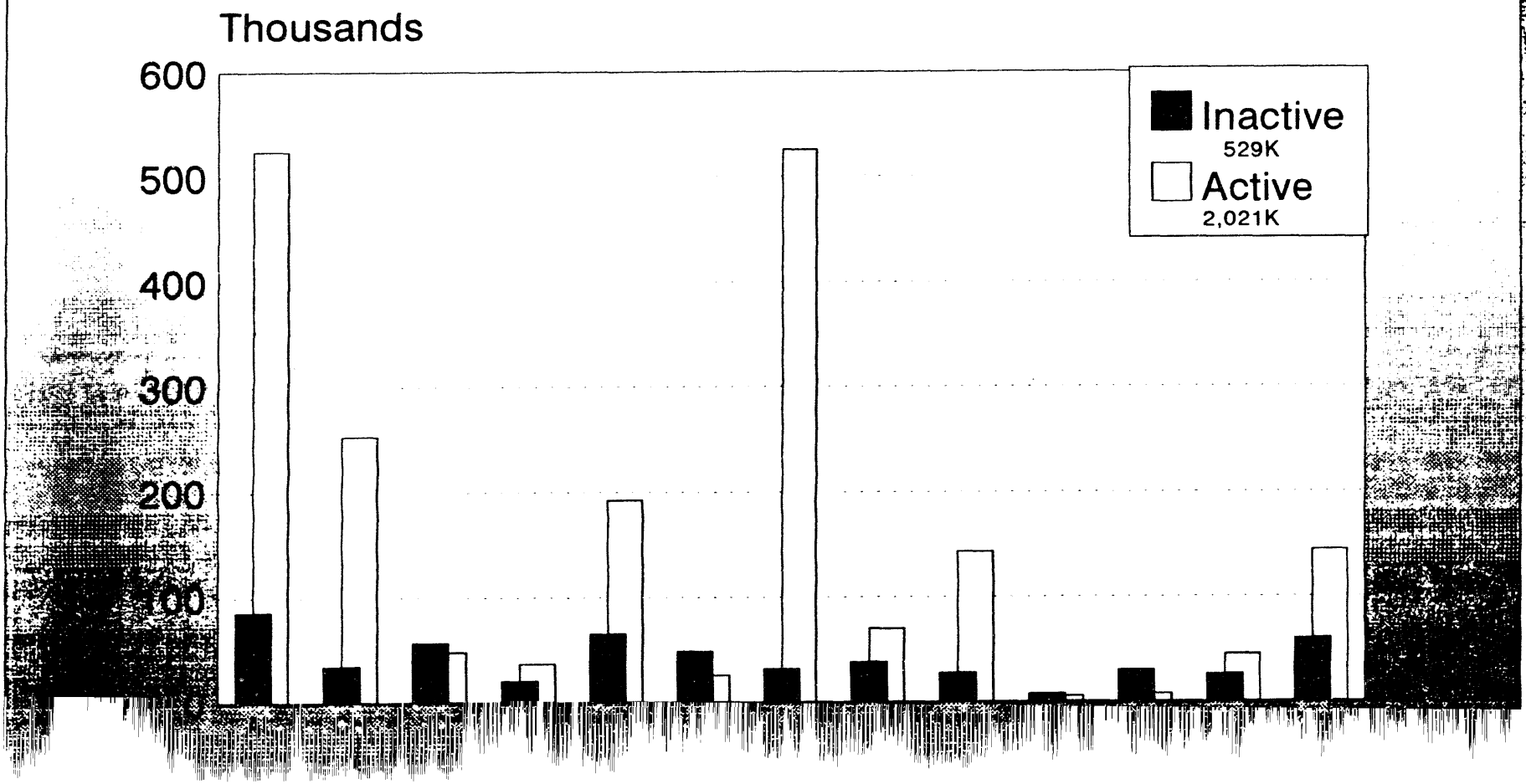
Before joining the Department of Energy, Mary Ann was the Director of the Agency Services Division, National Archives and Records Administration. That Division is responsible for issuing Federal government-wide records management regulations, providing training, and evaluating the effectiveness of records management programs. Under her direction, regulations on the management of electronic records were updated and substantially revised, training programs were expanded, and an information center was established.

Mary Ann has been a frequent speaker on the subject of Federal records management at government and professional meetings. Most recently she spoke about the management of research and development records at the DOE Records Management Conference, and on records management for the New Production Reactors Program at the 1991 NIRMA Symposium.

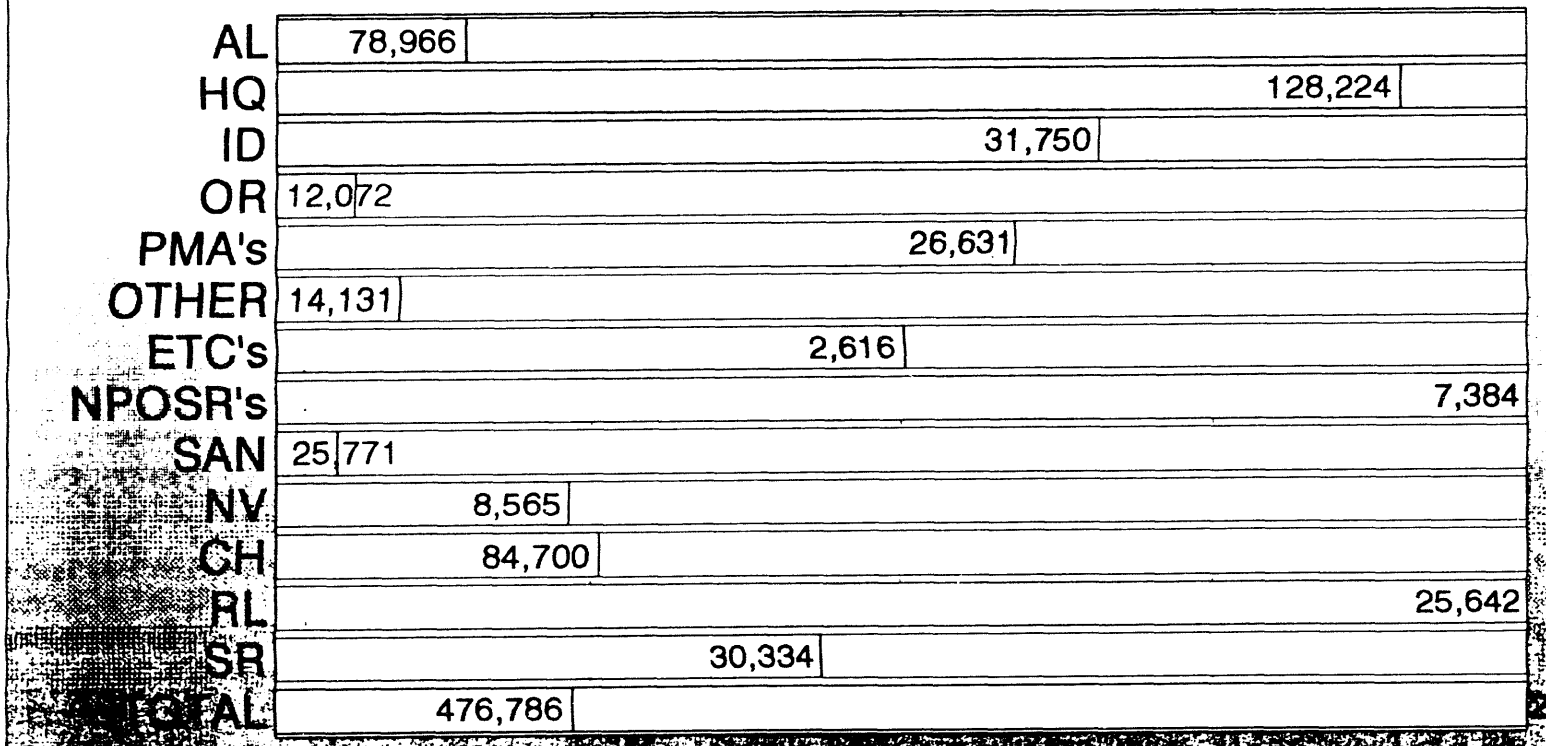
Where Are The Records?



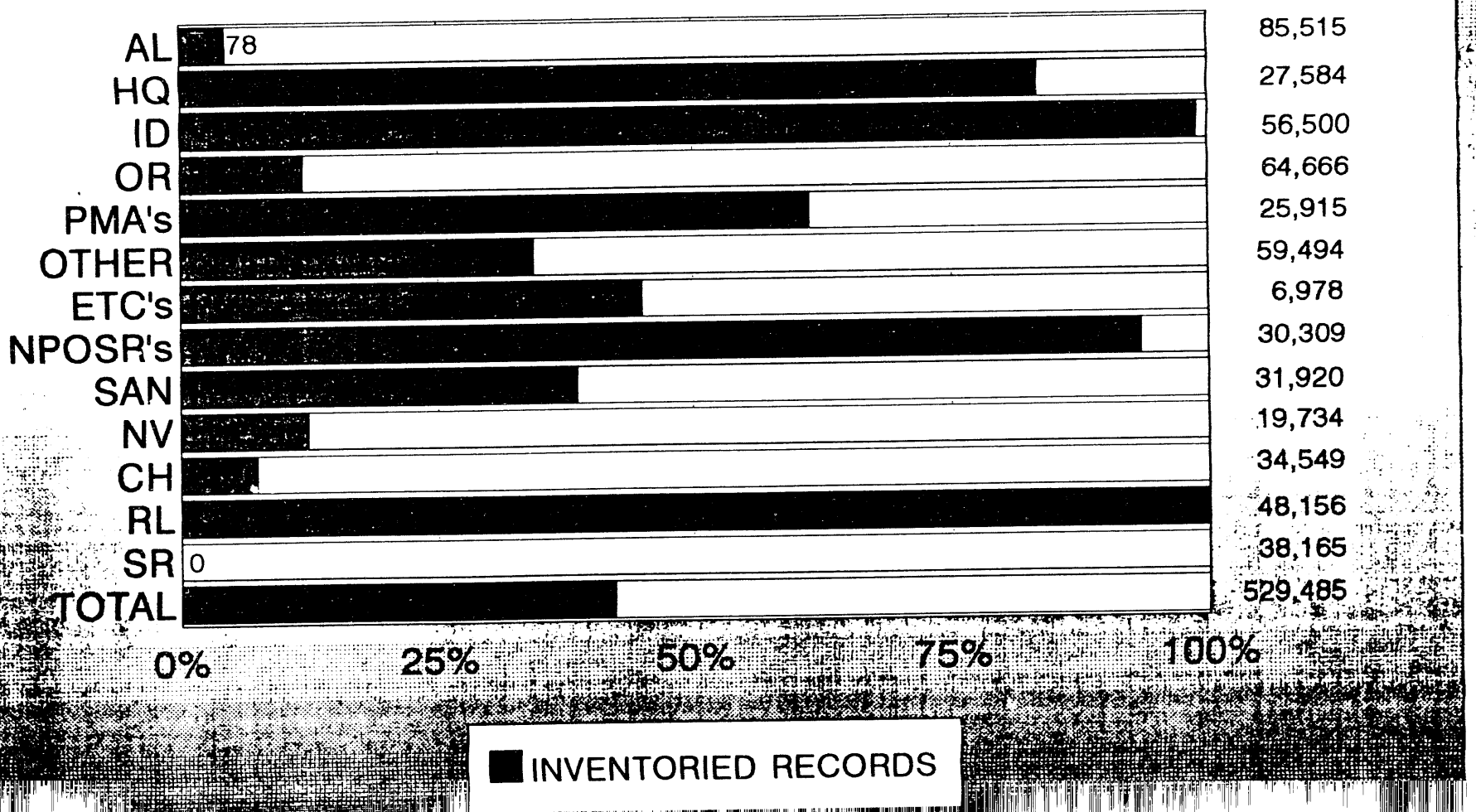
Active Versus Inactive Records



ACTIVE RECORDS INVENTORIED



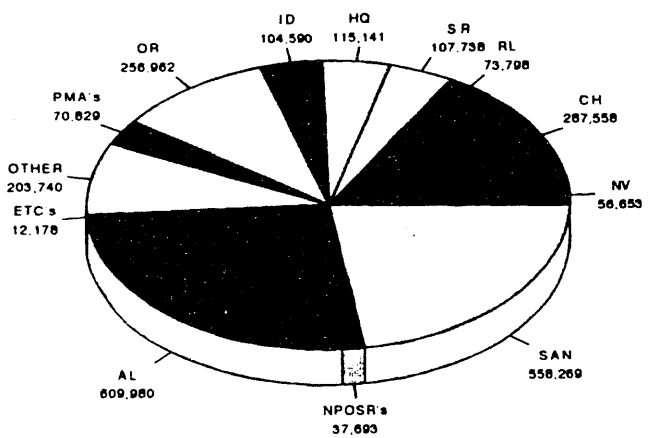
INACTIVE RECORDS INVENTORIED



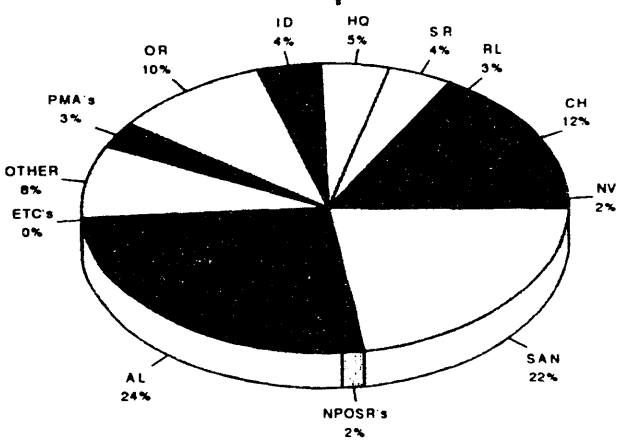
RECORDS INVENTORY - % COMPLETION

- HQ
- ID
- OR
- PMA's
- OTHER
- ETC's
- AL
- NPOSR's
- SAN
- NV
- CH
- RL
- SR

Total Records



% Completion



Current Status and % Progress (6 Months)				
	ACTIVE		INACTIVE	
	(11/91-4/93) % Complete	Percent Accomplished 10/92 - 4/93	(11/91-4/93) % Complete	Percent Accomplished 10/92 - 4/93
AL	15.06%	+10.74%	4.42%	-0.97%[1]
CH	33.48%	+11.66%[2]	7.50%	+5.40%
ID	66.00%	-2.45%[1]	98.90%	+32.30%
NV	23.19%	+20.36%	12.40%	+12.14%
OR	6.28%	+2.49%	11.92%	+5.97%
RL	100.00%	Complete	100.00%	Complete
SAN	4.89%	+4.45%	38.60%	+5.70%
SR[4]	43.60%	+41.41%	0.00%	0.00%[3]
HQ	89.88%	+23.35%	83.43%	+71.15%
ETC's[4]	50.30%	+21.75%[2]	45.00%	0.00%[3]
NPOR's	100.00%	+85.31% (Complete)	93.30%	+87.87%
PMA's	59.30%	+55.90%	61.30%	+59.40%
Project Offices	9.80%	0.0%[3]	34.30%	0.00%[3]
TOTAL DOE	23.59%		42.24%	
		Total DOE Completion		27.47%

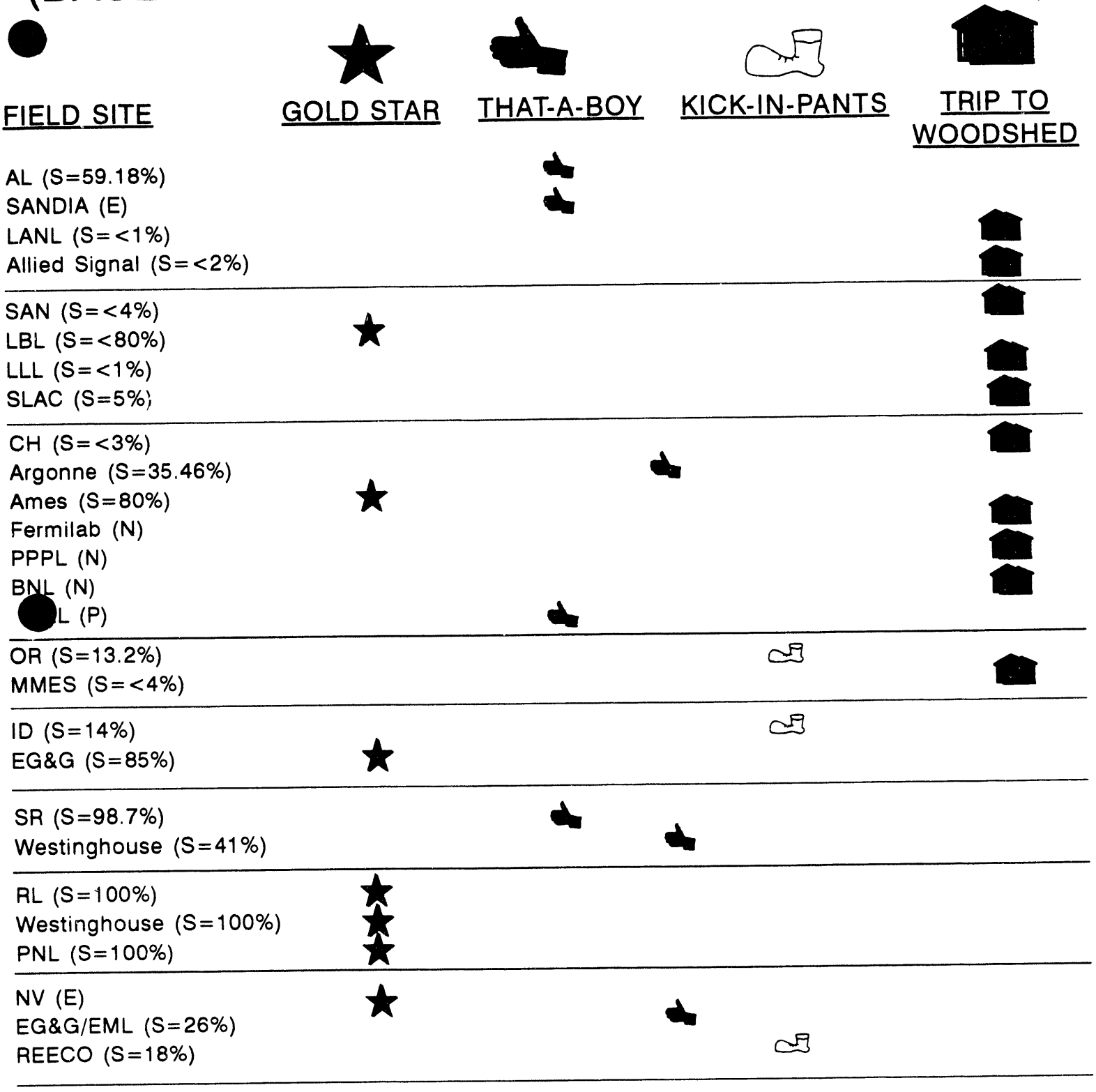
1 10/92 inventorying activity reduced estimated records total.

2 Largest offices did not report.

3 No numbers reported for 10/92.

4 Reports Not verified.

REPORT CARD
(BASED ON PERFORMANCE AND/OR EFFORT)



Current Status
E = Effort
P = Progress Significant in last - 6 months
N = Little or Nothing accomplished

STATUS OF EPIDEMIOLOGIC INVENTORY

Bill LeFurgy
DOE-HQ

1993 DOE Records Conference: Status of Epidemiologic Inventory, Executive Summary.

This presentation will cover the most recent developments in connection with the inventory of epidemiologic records at DOE sites. Subjects for discussion will include inventory planning and coordination, as well as upcoming visits to sites and verification methodology. There will be ample opportunity for audience questions relating to the inventory.

William G. LeFurgy - Biography

Bill has worked for the Department of Energy's Office of Epidemiology and Health Surveillance in Washington, DC, since September 1991. Prior to coming to DOE, Bill spent six years with the National Archives and Records Administration. At NARA, Bill served as the liaison with several large Federal agencies (including DOE) and had extensive opportunities to learn about recordkeeping issues. Bill is also a Certified Records Manager and a Certified Archivist.

(May 1993)

PANEL:

RECORDS SCHEDULING

Barbara Compton
Protection Technology Idaho

Mary Compau
Westinghouse Hanford Company

Anna Nusbaum
Sandia National Laboratories

EXECUTIVE SUMMARY

The "Panel: Records Scheduling" provides three methods of accomplishing the Records Scheduling Initiative mandated by the Department of Energy. Panelists represent DOE-Idaho, DOE-Richland, and DOE-Sandia.

SCHEDULING...A TEAM EFFORT
IDAHO NATIONAL ENGINEERING LABORATORY
EXECUTIVE SUMMARY

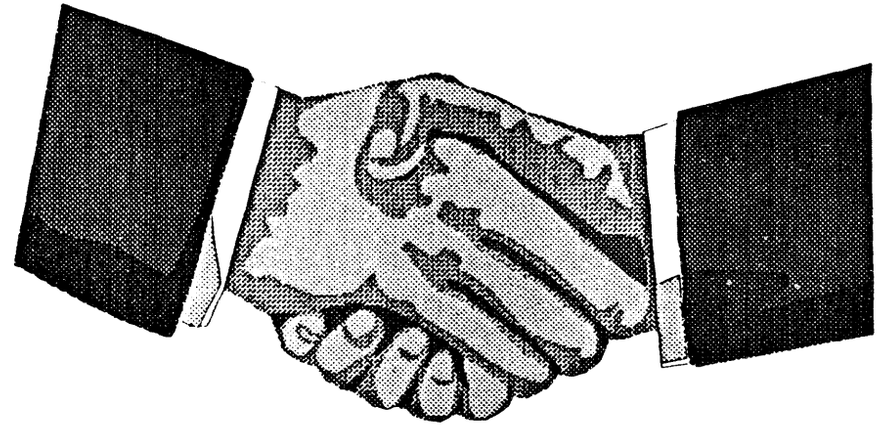
The requirement to address "site-specific scheduling" conjured up all kinds of ideas in the minds of records management experts across the Department of Energy and its contractors. The successful development of a retention schedule consists of clear identification, detailed analysis, and comprehensive documentation. The Idaho National Engineering Laboratory uses its Site Records Committee to effectively manage this process.

SCHEDULING...A TEAM EFFORT
IDAHO NATIONAL ENGINEERING LABORATORY
BIOGRAPHY

PRESENTER: Barbara Compton

Barbara Compton is the Information Resource Management Manager, Protection Technology Idaho, at the Idaho National Engineering Laboratory (INEL). She has a Bachelors Degree in Business Administration and is currently sitting for the Certified Records Manager exam. She is an active member of the Association of Records Managers and Administration (ARMA) and the Nuclear Information and Records Management Association (NIRMA).

SCHEDULING...
A TEAM EFFORT



Idaho National Engineering
Laboratory
June 1993

SCHEDULING....A TEAM EFFORT

Presented at the DOE Records Management Conference

June 17, 1993

Seattle, Washington

by the

IDAHO NATIONAL ENGINEERING LABORATORY

Records Management Officer
DOE-ID
Toni M. Love
(208) 526-5235

Contractor Records Officers

Babcock & Wilcox (B&W)
Myrna Wirth
(208) 526-6765

EG&G Idaho, Inc.
Boyd O. Anderson
(208) 526-9639

M-K Ferguson of Idaho
Dave Fountain
(208) 526-4356

Protection Technology Idaho (PTI)
Barbara Compton
(208) 526-6888

West Valley Nuclear Services (WVNS)
Dolph Bonenberger
(716) 942-4210

Westinghouse Idaho Nuclear Company, Inc. (WINCO)
Scott Ward
(208) 526-3601

INEL RECORDS COMMITTEE

- 1989 - Formed to address common records issues
- 1990 - Began working on dispositions for unscheduled records

Idaho National Engineering Laboratory

SCHEDULING PROCESS

- Identification
- Fact Finding
- Documentation
- Consensus/Concurrence

INEL
Idaho National Engineering Laboratory

IDENTIFICATION

- Comprehensive Records Inventory process
- Centralized collection points
- Quality Check/Appraisal Review
- Tracking

Idaho National Engineering Laboratory

IDENTIFICATION (Cont.)

- Committee Review/Second Quality Check
- Categorization
  - Group like records
  - Facilitate research
  - Eliminate duplication
  - Work assignments

FACT FINDING

- Gather detailed information
- Links to other records series
- Assess value
- Recommended retention time
- Presentations

Idaho National Engineering Laboratory

DOCUMENTATION

- Identify records series and provide details
- Justification for retention period
- Identify file cutoff and transfer instructions
- Committee review/contractor expert review

INEL
Idaho National Engineering Laboratory

CONSENSUS/CONCURRENCE

- Custodian and/or technical expert signatures
- Committee member prepares SF115
- Committee members concurrence memorandum
- SF 115 forwarded by DOE-ID
- Legal review
- DOE-HQ/National Archives and Records Administration

INEL
Idaho National Engineering Laboratory

THE BLACK HOLE

- Obstacles
  - Volume
    - 392 "Active" and 91 "Inactive" Unscheduled Records
    - 15 SF 115s submitted to DOE-HQ with proposed retentions for 20 records
  - Schedule Approval
  - Limited Resources

Idaho National Engineering Laboratory

THE BLACK HOLE (Cont.)

- Recommendations
  - Identify all unscheduled records DOE-Wide
  - Categorize
  - Apply team concept in developing schedules with commonality

Idaho National Engineering Laboratory

REQUEST FOR RECORDS DISPOSITION AUTHORITY

(See Instructions on reverse)

LEAVE BLANK (NARA use only)
JOB NUMBER
DATE RECEIVED
NOTIFICATION TO AGENCY

TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

1. FROM (Agency or establishment)	
Department of Energy (DOE)	
2. MAJOR SUBDIVISION	
DOE Idaho Operations Office	
3. MINOR SUBDIVISION	
4. NAME OF PERSON WITH WHOM TO CONFER	5. TELEPHONE
Toni M. Love	(208) 526-5235

DATE	ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

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

DATE	SIGNATURE OF AGENCY REPRESENTATIVE	TITLE
	Draft	

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	**GENERAL AUDIT/APPRAISAL/SURVEILLANCE/SELF-ASSESSMENT RECORDS (Exclusive of financial and Inspector General audits)** Compliance in the areas of environmental, safety, health quality, performance, management, and organization requirements must be verified. Verification of compliance is achieved through internal self-assessments, periodic and random informal interactions between managers and employees, independent appraisals, audits, and surveillances. These activities measure all functions to test compliance to standard practives and procedures within an organization. The activities are normally safety, industrial hygiene, health physics, quality assurance, operations, administration, safeguards and security, maintenance, and environmental protection. Appraisal, surveillance, self-assessment files include records required to verify that practices are in compliance with Federal and State Government regulations, DOE Orders, directives, contract requirements, and company policies. These files include audits, surveillances, appraisals, self-assessments, root cause analysis resulting from audit findings, corrective action plans, non-conformance reports, trend analysis,		

INSTRUCTIONS

GENERAL

Use Standard Form 115 to obtain authority for the disposition of records. Submit two signed copies to the National Archives and Records Administration (NIR), Washington, DC 20408, and retain one copy as your suspense copy. NARA will later return one copy as notification of the items approved for disposal or archival (permanent) retention. This copy will also indicate any items withdrawn or disapproved. GAO's written approval must either accompany each SF 115 requiring Comptroller General concurrence or be requested prior to the submission of the SF 115 to NARA. The SF 115 may be accompanied by Standard Form 115A, Continuation Sheet, by schedule items entered on blank stationery formatted similar to the SF 115A, or by pages formatted to conform to the agency's published records disposition schedule.

SPECIFIC

Entry 1 should show the name of the Executive Branch department or independent agency, Legislative Branch agency, or the Administrative Office of the U. S. Courts for the Judicial Branch that is submitting the request.

Entries 2 and 3 should show the major and minor organizational subdivisions that create or maintain the records described on the form. If more than one subdivision maintains records described in the submission, the various office names should be specified in entry 8.

Entries 4 and 5 should provide the name and telephone number of the person to be contacted for information.

Entry 6 must be signed and dated by the agency official authorized to certify that the retention periods for records proposed for disposal are adequate to meet the agency's needs, and that GAO requirements have been met (check appropriate box). Unsigned SFs 115 will be returned to the agency.

Entry 7 should contain the item numbers of the records identified on the form in sequence, beginning with "1." Lower case letters and numbers may be used to designate subdivisions of an item (1a, 1b, 1b(1), 1b(2), etc.). Agency file numbers should not be entered in this column, but may be included in entry 8.

Entry 8 should describe the records to be scheduled. Follow these steps in describing the records:

(a) Include centered headings for groups of items to indicate the office of origin if all records described on the form are not those of the same office, or if they are records created by another office or agency such as, for example, records inherited from a defunct agency.

(b) Identify separate collections of nontextual records, such as photographs, sound recordings, maps, architectural drawings, or magnetic tapes or disks, as separate and distinct items. If such records are interspersed with textual records, as in case files, their presence should be noted in the description of the textual file.

(c) Describe completely and accurately each series of records proposed for disposal or transfer to the National Archives. See 36 CFR 1228 for more detailed requirements. Failure to comply with the provisions of that regulation will result in the return of the SF 115 for corrective action.

(d) Provide clear disposition instructions for each item and subitem. These instructions should include file breaks; the time after which records will be retired to Federal records centers, if applicable; for temporary records, the time after which they may be destroyed; and for archival (permanent) records, the time after which they will be transferred to the legal custody of the National Archives.

(e) If immediate disposal or transfer to the National Archives is proposed for non-recurring records, indicate the volume and inclusive dates of the records and the Federal records center accession and box numbers, if applicable.

(f) If future or continuing disposition authority is requested, state the retention period in terms of years, months, etc. or in terms of future actions or events. Ensure that any future action or event that must precede final disposition is objective and definite.

(g) If records are converted to electronic form, schedule both the original records and the electronic media, unless covered by the General Records Schedules.

(h) If permanent or unscheduled records are converted to microform, the disposition for both the original and microform copies must be approved on an SF 115. The SF 115 covering the microform must contain the certifications required by 36 CFR 1230. Approval is not required for the disposition of microform copies of records authorized for disposal, as specified in the regulation cited above.

Entry 9 must include the previous NARA disposition job and item numbers; General Records Schedule and item numbers, if applicable; and agency directive or manual and item numbers, if applicable, as required by 36 CFR 1228. If such information is missing from column 9, the SF 115 will be returned without action. Leave column 9 blank only if the records are being scheduled for the first time.

Entry 10 is for NARA use only and should be left blank.

administrative values for problem identification, and lessons learned.

All records described in this retention schedule pertain to both hard copy and electronic media, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Office Within Agencies.

a. Audit* files generated in the performance of DOE and cost type contractor operations. The records consists of, but are not strictly limited to, reports and revisions of audits, analysis, concurrences, comments, reports relative to action taken on recommendations including pertinent correspondence and meeting minutes, and related work papers. Work papers include documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents included in the audit file.

(1) Files relating to DOE-wide audits* conducted by or in behalf of DOE Headquarters.

Draft

Retention period: Destroy 10 years after cutoff.

Place in inactive files when case is closed. Cut off inactive file at end of fiscal year.

(2) Files relating to audits of individual DOE organizations and contractors, conducted by or in behalf of DOE Field organizations or the Headquarters.

(3) Files generated by M&O contractors performing internal audits*.

Retention period: Destroy 6 years after cutoff or longer if required by current regulations or requirements.

Place in inactive files when case is closed. Cut off inactive file at end of fiscal year.

b. Sundry memorandum reports, not covered elsewhere in this schedule, summarizing activities pertaining to audits and inquiries, together with related correspondence reflecting specific requests for information and records.

Retention period: Destroy when 3 years old.

*Includes Audit, Appraisal, Surveillance, and Self-Assessment Records.

DOE F 1324.5#
(5-87)

OMB Control No.
1910-1700

U.S. DEPARTMENT OF ENERGY
REQUEST FOR RECORDS DISPOSITION AUTHORIZATION

2a Organizational Unit and Routing Symbol Performance & Assessment, Org. No 1400, MS 3604	2b Departmental Organization Contractor Organization Control # INEL-57
3. Volume (Cu. Ft.) Annual estimated accumulative rate: 3.5 cu ft	4. Record Dates (From/To) 1987 to current

5. Identification of Filing Unit (include type of record, function performed, security classification, and other descriptive facts)

GENERAL AUDIT/APPRAISAL/SURVEILLANCE/SELF-ASSESSMENT RECORDS (Exclusive of financial and inspector general audits)

These files include records required for verification that practices are in compliance with Federal and State Government regulations, DOE Orders, directives, contract requirements, and company policies. Compliance and performance self-assessment evaluations include audits, surveillance, appraisals, root cause analysis resulting from audit findings, corrective action plans, non-conformance reports, and trend analysis. Each of these activities have administrative value for trending, problem identification, and lessons learned.

All records described in this retention schedule pertains to both hard copy and electronic media, as provided in GRS 20, Electronic Records, and GRS 23, Records Common to Most Offices Within Agencies. .

[ ] See Continuation Page

6. Appraisal (Include justification for retention period in current files, low cost storage, and final disposition - destruction or transfer to Archives)

Compliance in the areas of environment, safety, health, and quality compliance, performance, management, and organization requirements must be verified. Verifications of compliance is achieved through internal self-assessment and periodic and random informal interactions between managers and employees, independent appraisals, audit and surveillance. These activities are normally conducted in areas such as industrial safety, industrial hygiene, health physics, quality assurance, operations, administration, safeguards and security, maintenance, and environmental protection. The activities could measure all functions within an organization to test compliance to standard practices and procedures.

Draft

[ ] See Continuation Page

7. Recommended Disposition
See attached.

8 Concurrence Signatures *	Title	Organization	Date
a.	Mgr. Management Evaluation	Management Evaluation	5/21/92
b.	Mgr. Performance Assessment		5/21/92
c			
d.			
e			

* Program, Legal, Historical Organization, and Others, as required by local policy

9. Name, Signature, and Organization of Requestor — Date

10. Records Officer Concurrence — HQS [ ] — Field [ ] — Date

a	Audit* files generated in the performance of DOE and cost type contractor operations. The records consist of, but are not strictly limited to, reports and revisions of audits, analysis, concurrences, comments, reports relative to action taken on recommendations including pertinent correspondence and meeting minutes, and related work papers. Work papers includes documents such as rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents included in the audit file.	
	(1) Files relating to DOE-wide audits* conducted by or in behalf of DOE Headquarters.	Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff.
	(2) Files relating to audits of individual DOE organizations and contractors, conducted by or in behalf of DOE field organizations or the Headquarters.	Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 10 years after cutoff.
	(3) Files generated by M&O contractors performing internal audits.	Place in inactive files when case is closed. Cut off inactive file at end of fiscal year. Destroy 6 years after cutoff or longer if required by current regulations or requirements.
b.	Sunary memorandum reports, not covered elsewhere in this schedule, summarizing activities pertaining to audits and inquiries, together with related correspondence reflecting specific requests for information and records.	Destroy when 3 years old.

* Includes Audits, Appraisals, Surveillance, and Self-assessment Records.

Draft

SITE SPECIFIC RECORDS COMMITTEE
CONCURRENCE SIGNATURES

Title of Record INEL-57 General Audit/Appraisal/Surveillance/Self-Assessment Records

Recommended Disposition 10 years, 6 years, 3 years (See 1324.5 Request)

EG&G Idaho, Inc. _____ Date 5/21/92
(Boyd O. Anderson)

Babcock & Wilcox Idaho, Inc. _____ Date 5/21/92
(Myrna L. Wirth)

MK-Ferguson of Idaho _____ Date 5/26/92
(Kathleen Orr)

Protection Technology Idaho _____ Date 5/21/92
(Barbara J. Compton)

Westinghouse Idaho, Inc. _____ Date 5/21/92
(Randy W. Snell)

Draft

SUBMITTED 1324.5/SF-115s

CONTROL #	APPROVED NO.	DESCRIPTION	DATE	REMARKS
INEL-31	SF-115 to Ther. Re: RS-03-93	ERP Project File	1/6/93	ER&WM (Glen Barnette)
INEL-33	SF-115 to Webb Re: LCT-22-92	Release Tag	5/8/92	ES&Q (G. L. Fife)
INEL-35	SF-115 to Webb Re: RS-30-93	Warning Communications Center Records	2/12/93	Safeguards/Sec. (Terry Taylor)
INEL-36.	SF-115 to Appl. Re: LCT-42-92	Technical Publications ("Exchange" Newsletter)	8/12/92	Computer Ops. (Judie Boltz)
		Company Newsletter Articles	8/12/92	Public & Emp. Comm. (Colleen Hammon)
INEL-37.	SF-115 to Appl. Re: LCT-42-92	Power Reactor Programs Standard Practices	8/12/92	Power Reactors (Ginnie Obenchain)
INEL-41.	SF-115 to Appl. Re: LCT-42-92	Technical Papers	8/12/92	ISC Computional (Mariel Heglund)
		Form 28's - Review and Release of External Unclassified Technical Documents	8/12/92	Technical Pubs (Erin Hansen) changed to Tonya Erickson 8/17/92
INEL-42.	SF-115 to Webb Re: LCT-14-92	Classified Document Receipts (DOE Order 5635.1a recommends 5 years)	4/1/92	Security (Lori Fell)
INEL-43.	SF-115 to Webb Re: LCT-14-92	Material Safety Data Sheets (MSDS) - Company controlled copies - each individual area copies - chemicals not in use	4/1/92	OSH (Rebecca Cheek)
INEL-53.	SF-115 to Webb Re: LCT-22-92	SF-701 - Activity Security Checklist	5/8/92	B&W (Myrna Wirth)
INEL-54.	SF-115 to Webb Re: LCT-22-92	SF-702 - Security Container Check Sheet	5/8/92	B&W (Myrna Wirth)
INEL-56	SF-115 to Webb Re: LCT-22-92	DOE F 5631.20 - Request For Visit or Access Approval	5/8/92	DOE Security (Dee Ann Marshall)
INEL-57	SF-115 to Appl. Re: LCT-32-92	General Audit/Appraisal/ Surveillance/Self-Assessment Records	5/8/92	INEL Site Records Committee
		Internal Environmental Program Appraisals and Audits	6/24/92	PO&A (Neal McKay)
		PO & A Internal Technical Discipline Audits	6/24/92	PO&A (Neal MacKay)
		PO & A Internal Technical Safety Appraisals	6/24/92	PO&A (Neal MacKay)

SUBMITTED 1324.5/SF-115s

CONTROL #	APPROVED NO.	DESCRIPTION	DATE	REMARKS
INEL-58	SF-115 to Appl Re: LCT-42-92	Administrative and Program Management Records Incl. records sets of formal directives procedural, and operating manuals	5/8/92	INEL Site Records Committee
		PSAP Program File Plans	8/12/92	PTI (Barbara Compton)
		PSAP Program File Procedures	8/12/92	PTI (Barbara Compton)
		PO & A Standard Practices	8/12/92	PO&A
INEL-60	SF-115 to Webb Re: RS-30-93	Personnel Security Pre-employment Background Investigation Files	2/12/93	Pers. Security (John Seward)

BIOGRAPHY

Mary E. Compau is the Hanford site project manager for the Records Scheduling Initiative. As the Records Scheduling project manager, Mary coordinates and oversees the efforts of a Hanford-wide task team represented by each of the four Hanford contractors. Mary attended Columbia Basin College and Central Washington University. Mary has been employed at Hanford for 10 years with five years Records Management experience, and is currently employed by Westinghouse Hanford Company.

Hanford Records Scheduling Initiative

Records Management Specialist
Westinghouse Hanford Company
P.O. Box 1970, Richland, Washington 99352
(509) 372-3984

79303084.1

Schedule Development Committee

- Multi-Contractor Team
- DOE-RL's request

793051472

Unscheduled Records

- RIDS database
- Composite list
- "Scrubbed" list

793051473

Project Plan and User's Guide

- Sample schedule
- Records Inventory Form
- Automation of SF 115 and DOE F1324.5

RECORDS INVENTORY

1. Date Prepared	2. Persons Interviewed (include Division, Department, Group, or Section)
3. Inventory Performed By (Name, MSIN, Phone)	4. Record Location (Building, Room, Area)
5. Record Series Title	6. Inclusive Dates
7. Record Category (i.e., Environmental, Research & Development, Administrative)	
8. Record Series Description	

9. Medium

- [ ] Paper
- [ ] Microform
- [ ] Electronic (also complete Information Systems Inventory)
- [ ] Audiovisual
- [ ] Other

14. Reference Activity (after cutoff)

- [ ] Current (at lease once a month per file unit)
  For how long after cutoff?
- [ ] Semicurrent (less than once a month per file unit)
- [ ] Noncurrent (not used for current agency business)

10. Arrangement

- [ ] Subject File
- [ ] Alphabetical by Name
- [ ] Alphabetical by Subject
- [ ] Geographical by (specify)
- [ ] Numerical by (specify)
- [ ] Chronological
- [ ] Other (specify)

Finding Aids

15. Duplication:

Are documents in this series:

(a) Available in another place or medium?
[ ] Yes [ ] No If yes, explain

(b) Created or utilized by other Hanford contractors or DOE sites?
[ ] Yes [ ] No If yes, explain

11. Volume (in cubic feet)	16. Other Regulatory Drivers
12. Annual Accumulation (in cubic feet)	17. Classification (C, U, S, UCNI), Restrictions on Access/Use
13. Cutoff (e.g., end of FY)	18. Condition of Records [ ] Good [ ] Fair [ ] Poor Comment:

19. Recommended Disposition for Unscheduled Records

Schedule Writing Assignments

- Contractor specific
- Common

Internal Contractor Plan

- Management support
- Research
  - Policies and procedures
  - Mission and charter statements

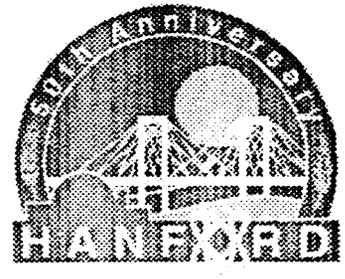
793051477

Representative Schedules

- Level of comfort
- Manhour baseline
- "Test" system
- Lessons learned

Requirements Research

- Laws, regulations
- Tri-Party Agreement



Schedule Concurrence Phase

- Contractor
- Department of Energy
  - DOE-RL
  - DOE-HQ
- National Archives and Records Administration

Schedule Tracking

Approved schedule distribution

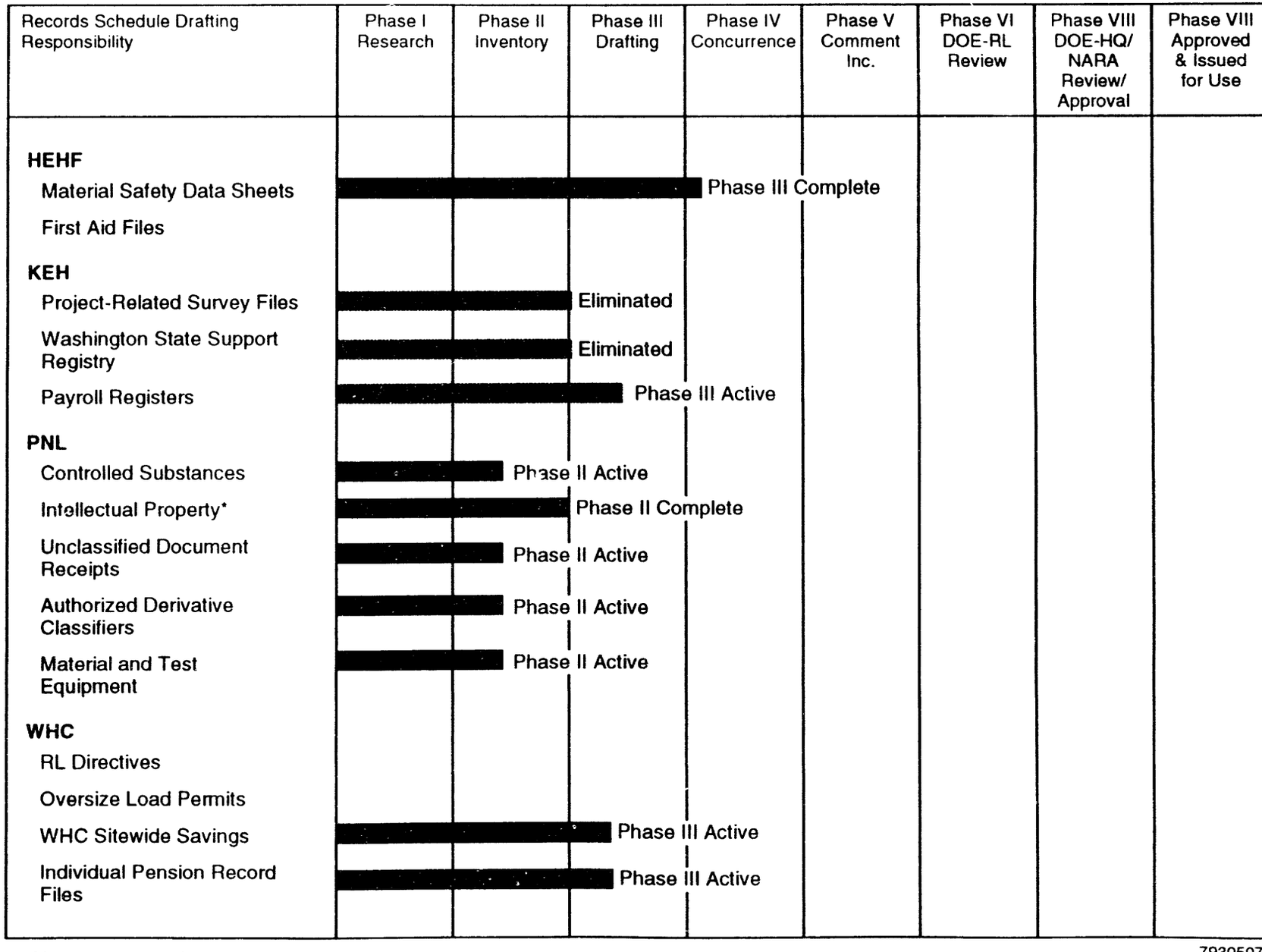
7930514712

Status Reporting

- Monthly
- Semiannually

DOE-RL Records Scheduling Initiative

May 1993 Monthly Report



*Non-representative

79305074

Executive Summary

Scheduling Records at Sandia: This presentation discusses the approach being planned for developing the retention schedule at Sandia. We recognize that every contractor and field office will have a different approach and the purpose of this presentation is to show one way of tackling the diverse information gathered during the inventory process.

Biographical Sketch

Anna Nusbaum has been with Sandia National Laboratories for five years, primarily in the Corporate Policy development areas and as the project leader for the Records Inventory Project. Prior to coming to Sandia, she spent 11 years with Hewlett-Packard in a variety of positions, including site reporting, corporate accounting, software implementation, and training. She has a BA in Sociology from the University of California at San Diego and a Masters in Business Administration from San Jose State University (California). She has been certified in Data Management and sat for Part VI of the Certified Records Manager exam in May (but doesn't know whether she passed yet).

Scheduling Records At Sandia

1993 DOE Records Management Conference

June 15, 1993

Presented by: Anna W. Nusbaum
Recorded Information Management Dept. 7145
Sandia National Laboratories
Albuquerque, NM 87185-5800
(505) 845-9440 (voice)
(505) 844-2621 (fax)

This work performed at Sandia National Laboratories supported by the U. S. Department of Energy under contract DE-AC04-76DP00789.
SAND93-1246C

srdermc.drw

Scheduling Records at Sandia

Sort the data

- Obvious non-record stuff
  - reference, copies, class materials
- Obvious DOE/GRS matches
  - Medical records, standard employee files
- Likely DOE-wide stuff
  - ES&H, Facilities
- Likely Sandia-unique stuff
  - R&D efforts, TLC programs
- Heaven only knows stuff

srderm1.drw

Scheduling Records at Sandia

Obvious DOE 1324.2A/GRS Stuff

- Make a match to equivalent item in the DOE/GRS schedules
- Draft the Sandia specific description
- Submit to probable owning organization
  - Review for reality
  - Approve for ownership, retention
- Incorporate in Sandia schedule database

srderm2.drw

Scheduling Records at Sandia

Sandia-unique stuff

- Draft series description
  - Use the forms and the database
- Research the "legal" requirements
  - What did customers indicate as drivers
- Refine description if necessary
- Resolve any other questions
  - Vital, QA, Privacy Act, Classification, etc.
- Take to owning organization
  - Reality check, approval & acceptance

srderm3.drw

Scheduling Records at Sandia

Heaven only knows stuff

- Process of working through the DOE/GRS eligible stuff and the Sandia unique stuff should provide clues to this stuff
- Resort the "heavenly" stuff into non-record, DOE/GRS eligible, and unique
- Draft the series descriptions
- Do the "legal" research for the unique items
- Refine descriptions, if necessary
- Resolve any other questions
- Take to owning organization
  - Reality check, approval & acceptance

srderm4.drw

Scheduling Records at Sandia

Prepare the Schedule

- Functional vs. Organizational
  - Ideal situation will be to time organizational buy-in so that organizational specific series can be folded into functional series
  - Murphy continues to be an optimist
- We'll do the best we can
- Retention Schedule is a living organism
  - Once we're "done" we've only just begun
- Plan is to continue to refine as approved schedules are implemented

srderm5.drw

Scheduling Records at Sandia

Get the schedule approved

Phase I

- First and foremost, the series has to have an:
  - Owner
  - Office of Record
  - Someone who agrees to be responsible
- Then this owner approves the description, designators, retention period
- Logical packets are put together for internal approval
  - Not too many approvals
  - Records Manager, Legal, Executive VP

Scheduling Records at Sandia

Get the schedule approved

Phase II

- The Sandia stuff we mapped to existing approved schedules, we'll implement after internal approvals
- The Sandia stuff that we determined to be unique will go on to the external approval channel
  - DOE/AL
  - DOE/HQ
  - NARA
- THEN we'll implement

srderm7.drw

Scheduling Records at Sandia

Likley DOE-wide Stuff

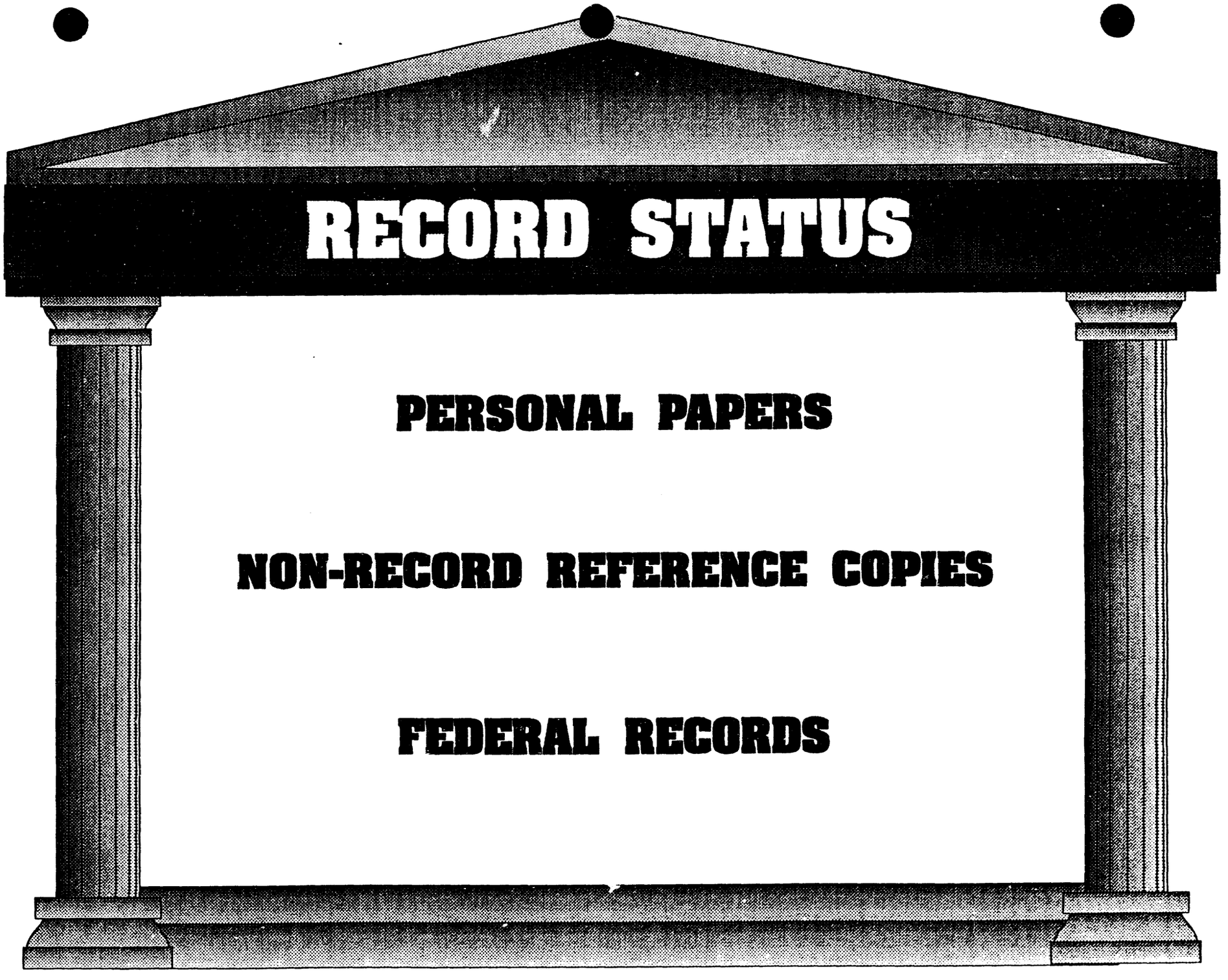
- How to handle this, if done on a complex-wide basis, has to come from HQ.
- It will be tricky to coordinate
- We're willing to participate

srderm8.drw

DISPOSITION OF RECORDS AND PERSONAL PAPERS

Jeanne Young
NARA

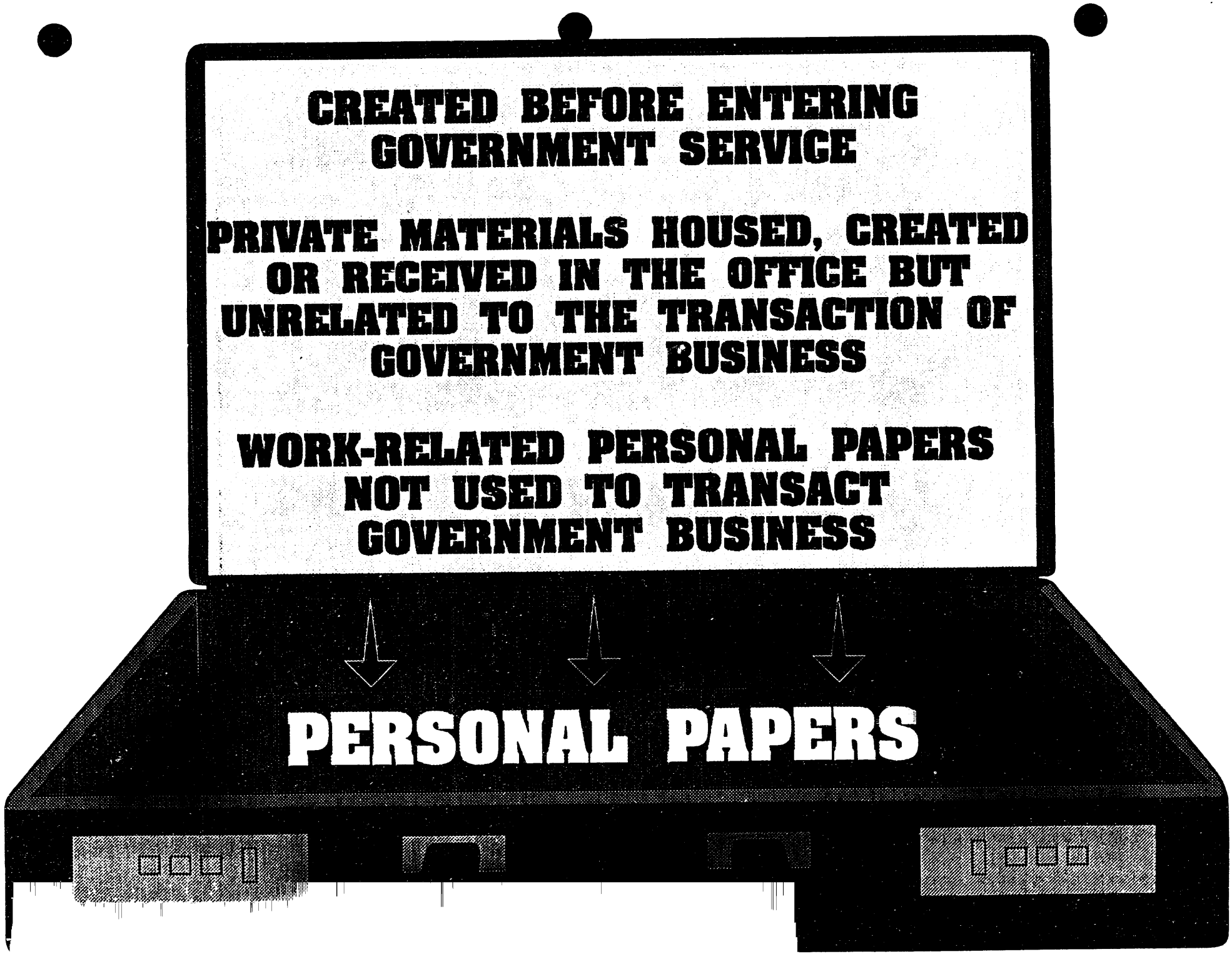
JEANNE YOUNG


RECORD STATUS
PERSONAL PAPERS
NON-RECORD REFERENCE COPIES
FEDERAL RECORDS

Historical Interest

Does Not

Determine Records Status

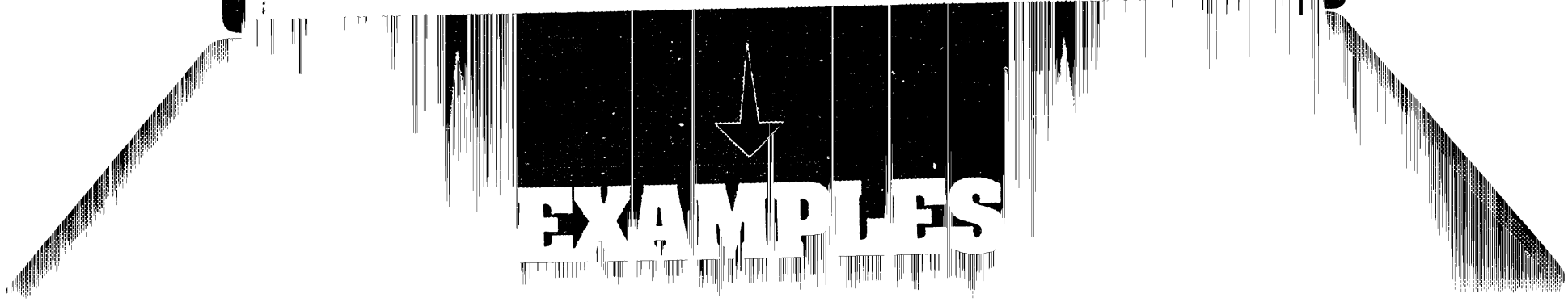

CREATED BEFORE ENTERING GOVERNMENT SERVICE
PRIVATE MATERIALS HOUSED, CREATED OR RECEIVED IN THE OFFICE BUT UNRELATED TO THE TRANSACTION OF GOVERNMENT BUSINESS
WORK-RELATED PERSONAL PAPERS NOT USED TO TRANSACT GOVERNMENT BUSINESS
PERSONAL PAPERS

PREVIOUS WORK FILES

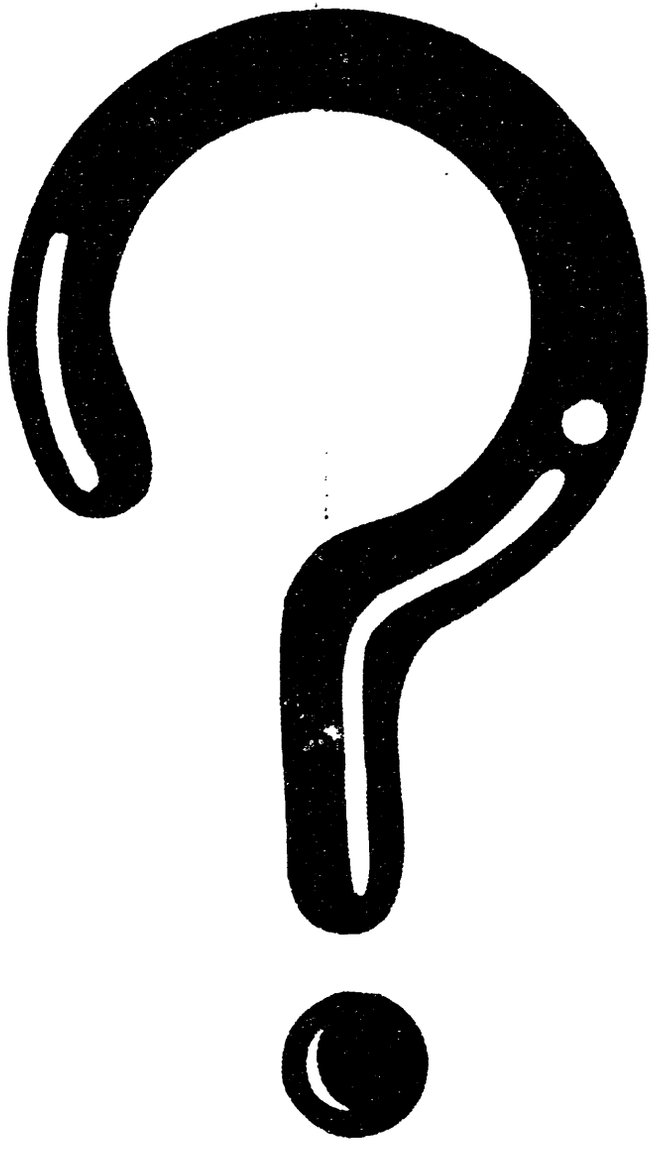
POLITICAL MATERIALS

MANUSCRIPTS AND DRAFTS FOR ARTICLES AND BOOKS

DIARIES, JOURNALS, NOTES



CRITERIA FOR DETERMINING RECORD STATUS

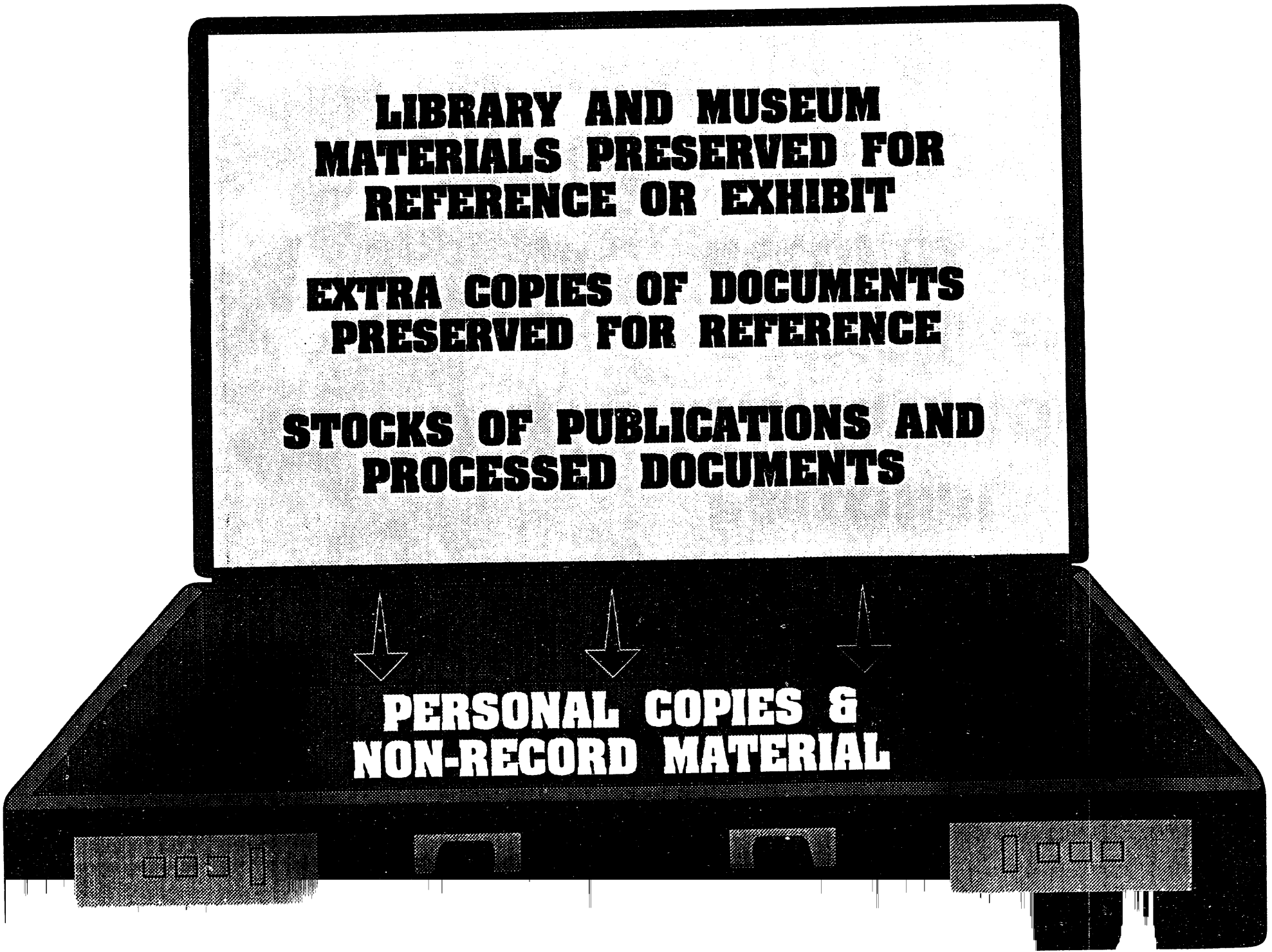


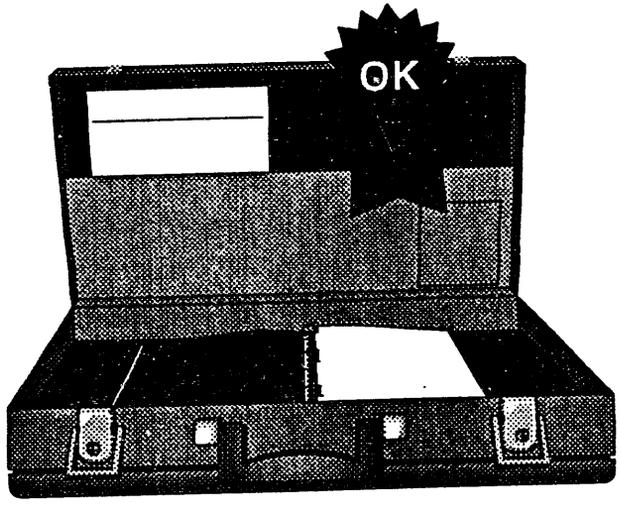
Creation
Content
Purpose
Distribution
Use
Maintenance
Disposition
Control
Segregation

USE ALONE IS NOT CONCLUSIVE

AGENCY MANDATED REQUIREMENTS FOR CREATION AND RETENTION

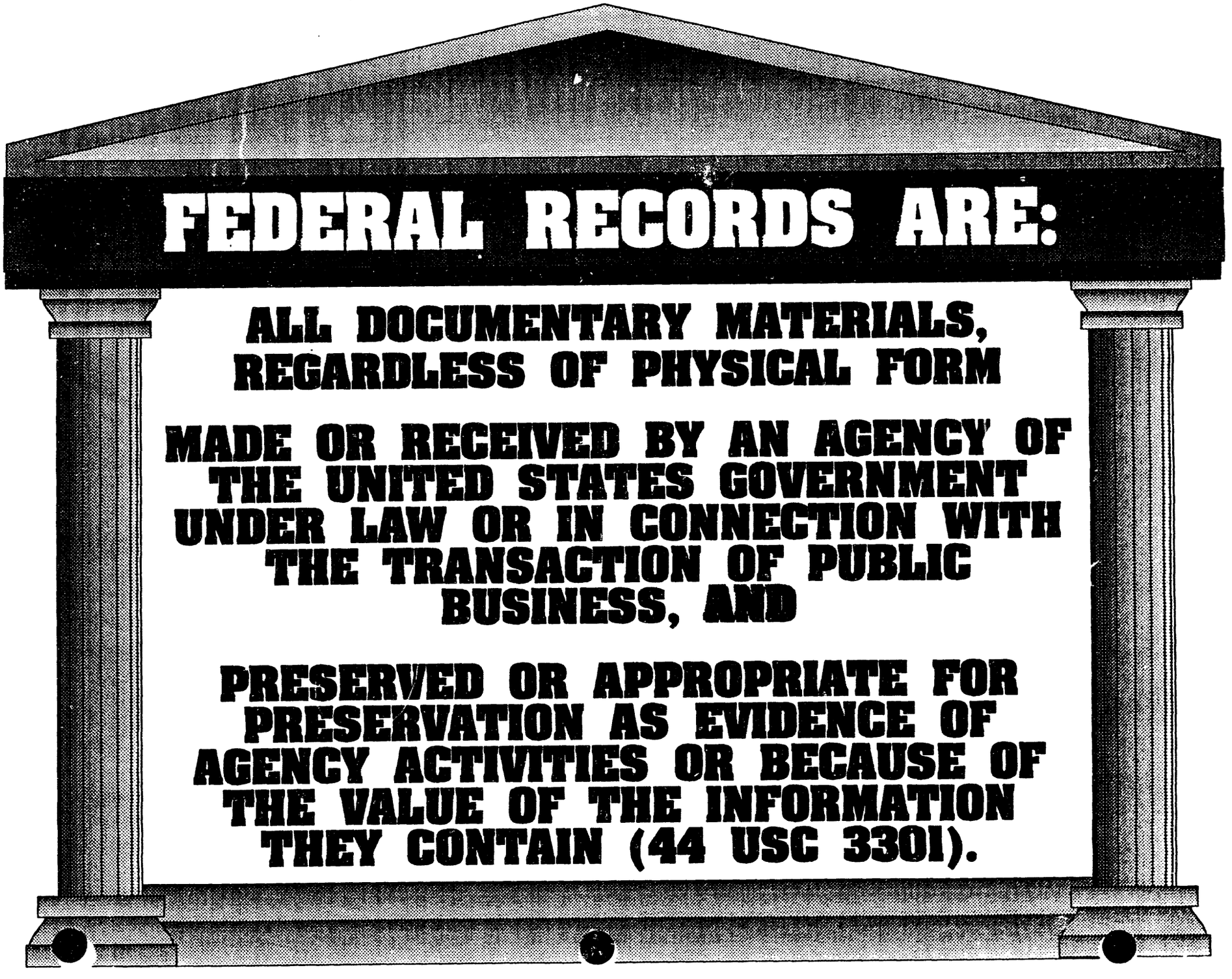
ADVISE OFFICIALS TO SEGREGATE PERSONAL PAPERS FROM GOVERNMENT RECORDS


LIBRARY AND MUSEUM MATERIALS PRESERVED FOR REFERENCE OR EXHIBIT
EXTRA COPIES OF DOCUMENTS PRESERVED FOR REFERENCE
STOCKS OF PUBLICATIONS AND PROCESSED DOCUMENTS
PERSONAL COPIES & NON-RECORD MATERIAL

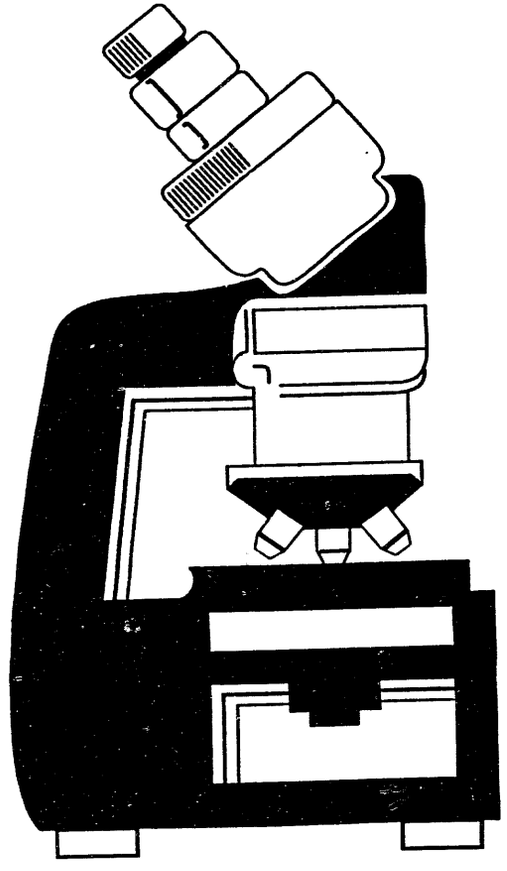


GOVERNMENT OFFICIALS MAY TAKE NON-RECORD COPIES OF DOCUMENTS ONLY WITH AGENCY APPROVAL

DEPOSIT IN A RESEARCH INSTITUTION WITH PERSONAL PAPERS CAN SERVE THE NEEDS OF HISTORICAL SCHOLARSHIP


FEDERAL RECORDS ARE:
ALL DOCUMENTARY MATERIALS, REGARDLESS OF PHYSICAL FORM
MADE OR RECEIVED BY AN AGENCY OF THE UNITED STATES GOVERNMENT UNDER LAW OR IN CONNECTION WITH THE TRANSACTION OF PUBLIC BUSINESS, AND
PRESERVED OR APPROPRIATE FOR PRESERVATION AS EVIDENCE OF AGENCY ACTIVITIES OR BECAUSE OF THE VALUE OF THE INFORMATION THEY CONTAIN (44 USC 3301).

SCIENTIFIC AND TECHNICAL RECORDS CREATED AND MAINTAINED BY SCIENTISTS IN THEIR WORK AREAS INCLUDE:



--research proposals & justifications
--feasibility studies
--institutional & peer reviews
--budget documentation
--project design & change information
--building & equipment plans & drawings
--laboratory notebooks
--raw & analyzed data
--interim & final reports

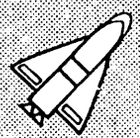
DELIVERABLES SPECIFIED IN CONTRACTS ARE FEDERAL RECORDS

NARA POLICY UNDER DEVELOPMENT

NATIONAL RESEARCH COUNCIL STUDY

TWO SAMPLING APPROACHES

SELECT BY CASE FILE IF:



--REFLECT SCIENTIFIC BREAKTHROUGH

--AROUSED CONTROVERSY/PUBLIC INTEREST

--ELICITED CONGRESSIONAL COMMITTEE INUESTIGATION

--PROJECT MANDATED BY CONGRESS

SELECT BY SUBJECT IF:

--IMPORTANT AREA

(splitting the atom; building and testing the first atomic bomb)

RECORD STATUS OF WORKING FILES

TWO TESTS IN THE CFR:

1. ARE THEY CIRCULATED FOR COMMENT?

2. DO THEY CONTAIN UNIQUE INFORMATION?

LABORATORY NOTEBOOKS

RECORDS IF CREATED IN A GOVERNMENT LABORATORY

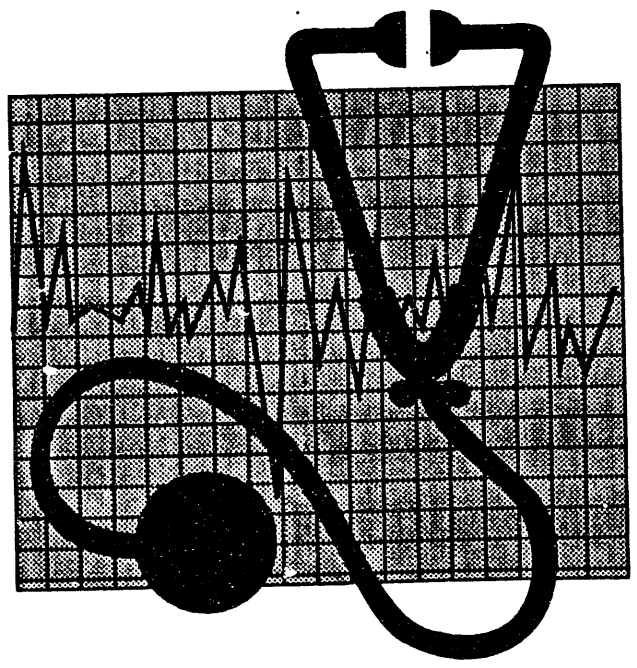
RECORDS IF CREATED IN A CONTRACT LABORATORY AND ARE SPECIFIED AS A DELIVERABLE IN THE CONTRACT

NOT
PERSONAL PROPERTY

TRADITIONALLY
NOT TAKEN BY THE NATIONAL ARCHIVES

EXCEPTIONS:
IMPORTANCE OF SUBJECT;
RIGOR OF REVIEW

RAW DATA INCLUDING:



TEST RESULTS

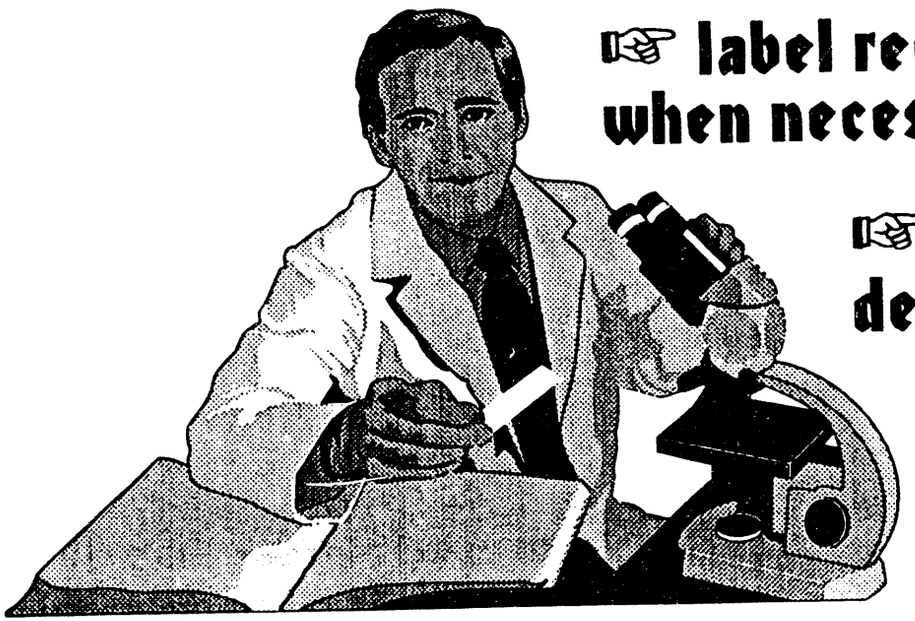
AUTOGRAPH/GAUGE READINGS

OBSERVATION STATISTICS

TRADITIONALLY
NOT RETAINED BY NARA

ESSENTIAL STEPS TO HELP SCIENTISTS AND ENGINEERS IMPROVE MANAGEMENT OF THEIR RECORDS:

- ☞ become familiar with agency recordkeeping requirements
- ☞ ensure that Federal records are filed according to agency quidelines
- ☞ ensure that records have been scheduled and appraised by NARA
- ☞ cut off files periodically and retire older records to inactive storage



- ☞ label records so that others can use them when necessary
- ☞ know when records are to be destroyed or transferred to NARA
- ☞ file personal papers separately from government records

ESTABLISHING A VITAL RECORDS PROGRAM

Karen Strange
Juli Stewart
Martin Marietta Energy Systems

Establishing A Vital Records Program

Executive Summary

Martin Marietta Energy Systems, Inc. enhanced their Vital Records Program using a formal Performance Improvement Process in order to gain upper management awareness, line management buy-in, and comply with DOE Orders 1324.8 and 5500.7B. By translating their efforts to individual situations, they can benefit the DOE community.

Bio Sketches

Juli G. Stewart

Juli is the Site Records Program Manager at the Oak Ridge National Laboratory. She has a M.A. in History from the University of Alabama and has been in the Records Management field for 15 years.

Karen T. Strange

Karen is the Vital Records Coordinator at Martin Marietta Energy Systems, Inc. in Oak Ridge, TN. She has been in the Records Management field 19 years.

NOTE: Also of interest, Karen is lead singer of a rock 'n country band called "Strange Brew" and performs every weekend in the East Tennessee area. She also has a 2 year old grandson! There's probably not many Records Managers that are rock 'n rolling grandmothers, too.

MARTIN MARIETTA

VITAL RECORDS PROTECTION PROGRAM

PERFORMANCE IMPROVEMENT PROCESS
PIP NUMBER: PMC-140

J. G. Stewart, Co-Chair
K. T. Strange, Co-Chair
B. K. Robinette, Sponsor

Presented
November 17, 1992

MANAGED BY
MARTIN MARIETTA ENERGY SYSTEMS, INC.
FOR THE UNITED STATES
DEPARTMENT OF ENERGY

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THE VITAL RECORDS PROGRAM, MARTIN MARIETTA ENERGY SYSTEMS: REVIEW AND REORGANIZATION

REPORT OF THE PIP PROJECT PMC-140

by
Karen T. Strange and Juli G. Stewart
PIP Team Co-Chairs

PIP Team Participants

Karen T. Strange and Juli G. Stewart, Co-Chairs
Betty K. Robinette, Sponsor
David Medovich, Facilitator
Robert L. Elling
Jack T. Hill
Martha Johnson
Jack Lewis
Mark A. Miller
David W. Neubauer
A. Sandra Roberts
Doris H. Shrader
Scott D. Wilson
Rebecca J. Verastegui
Rebecca A. Lawson
Cathy S. Marciante (DOE-ORO)

Other Contributors

D. Joseph Inman
John D. Bolling
W. J. Derossett
Roy Hill
Michael W. Knazovich
Barry L. Maupin
J. E. McNabb
J. Ray Wright
Jan Shotts
James D. Kennedy
Alice C. Lay
Po-Yung Lu
Barbara G. Sage
Al Keith

October 8, 1992

INTRODUCTION

Our Performance Improvement Process (PIP) team began meeting in September 1991 and was chartered in January 1992 to review and enhance the Martin Marietta Energy Systems Vital Records Protection Program. Our goal was to define vital records requirements for Energy Systems and develop a plan encompassing regulations and requirements.

Our PIP team focus was on (1) developing level 1 standards to identify requirements of the Energy Systems Vital Records Protection Program and (2) defining roles and responsibilities of Energy Systems staff. Also, the team focused on reviewing and revising the Energy Systems Vital Records List (a list required by DOE).

SCOPE OF THE PIP PROJECT

The scope of the PIP project includes all five Energy Systems sites.

PIP TEAM CHARTER

1. To identify and define Energy Systems requirements, roles, and responsibilities of the Energy Systems Vital Records Protection Program

2. To create subcommittees to identify emergency operating and rights & interests records

3. To review recommendations of the subcommittees and submit them to Energy Systems and DOE (where applicable) for approval

BACKGROUND OF THE PROJECT

The Vital Records Protection Program is functionally assigned to the Records Analysis Department within the Information Services Division and is managed by the Vital Records Coordinator under the guidance of the Records Analysis Department Head. While reviewing the program for improvements, the coordinator and the department head decided that line managers having the responsibility for maintaining vital records should be brought into a decision-making group to determine requirement collectively, review responsibilities, and revise the Vital Records List. The DOE-approved list was not a correct indication of vital records within Energy Systems. In addition, to be in compliance with DOE Order 5500.7A, "Vital Records Protection Program," and with the newly issued orders on this subject (DOE Orders 5500.7B and 1324.8), line management needed to take a larger role in identifying and maintaining vital records. Another reason to take this step was that DOE Order 5500.7A was baselined as a category A order. Thus, this project was addressed through the Performance Improvement Process.

PRODUCTS OF THE PIP PROCESS

The PIP team identified requirements in the areas of emergency operating records and rights & interests records as contained in DOE Order 5500.7B, "Emergency Operating Records Protection Program," and in DOE Order 1324.8, "Rights and Interests Records Protection Program." The requirements were then clarified and interpreted for Energy Systems employees in *Policy, Standards, and Procedures* ESS-EM-112, "Emergency Operating Records Protection Program," and ESS-IO-102, "Rights and Interests Records Protection Program." Both level 1 standards state that requirement fulfillment must be assigned to a specific job title and that a process must be required for periodic review of the Vital Records List. As a result of developing standards, the program responsibilities are uniformly presented across Energy Systems, and all those with roles in meeting compliance with these DOE orders have been identified and have been assigned responsibilities.

ESS-EM-112, "Emergency Operating Records Protection Program," provides a list of what emergency operating records must be included as a minimum. Sites must develop a list of specific records and ensure that the records are available at or near the Emergency Operating Center. Also, a call-in roster of persons needed to access and interpret the documents must be maintained. A formal relationship has been established between central records groups that have emergency operating records responsibilities and staff that have assigned line responsibilities in this area. Training is required.

ESS-IO-102, "Rights and Interests Records Protection Program," requires a specific list of records developed from the categories of records listed in the standard. This list must include contact persons and location of records. Maintenance and storage requirements are included, and training is required for staff members involved in the creation, use, and maintenance of rights and interests records.

Subcommittees were organized to develop these standards. Both subcommittees identified areas that required additional activity to resolve questions affecting major functions of Energy Systems operations. The Rights and Interests subcommittee determined that a five-site PIP team was necessary to identify those research and development records that should be included in the rights and interests category of vital records. Many issues must be clarified before this question can be answered. The Emergency Operating Records subcommittee determined that engineering drawings and other records involved in critical industrial processes merited in-depth discussion. Questions to be resolved include which of these records to include in the emergency operating records category and what criteria can be developed to judge Emergency Operating Records in the future.

RECOMMENDATIONS FROM THE PIP TEAM

1. The PIP team recommends that a five-site PIP team be chartered before the end of the calendar year (1) to identify research and development records that should be included in the rights and interests category of vital records and (2) to establish criteria for evaluating research and development records created in the future as rights and interests records as defined in DOE Order 1324.8, "Rights and Interests Records Protection Program."

2. The PIP team recommends that a five-site PIP team be chartered before the end of the calendar year (1) to identify engineering drawings and other records documenting critical industrial processes that should be included in the emergency operating records category of vital records and (2) to establish criteria for evaluating these records in the future as emergency operating records as defined in DOE Order 5500.7B, "Emergency Operating Records Protection Program."

Establishing a Vital Records Protection Program

Juli G. Stewart - Oak Ridge National Laboratory
Site Records Program Manager

Karen T. Strange - Energy Systems Vital Records
Protection Program Coordinator

June 15, 1993

MARTIN MARIETTA
MARTIN MARIETTA ENERGY SYSTEMS, INC.

MARTIN MARIETTA ENERGY SYSTEMS

Martin Marietta Energy Systems is a government contractor to the Department of Energy. We operate five facilities located in three different states. Over 20,000 people are employed. Our activities are diverse and include programs in energy research and development, nuclear materials maintenance, Work for Others, technology transfer, and uranium enrichment. Facilities are:

- The Oak Ridge National Laboratory in Oak Ridge, Tennessee;

- The Y-12 Plant in Oak Ridge, Tennessee;

MARTIN MARIETTA

MARTIN MARIETTA ENERGY SYSTEMS, INC.

MARTIN MARIETTA ENERGY SYSTEMS (cont.)

- The K-25 Plant in Oak Ridge, Tennessee;
- The Portsmouth Gaseous Diffusion Plant in Portsmouth, Ohio; and
- The Paducah Gaseous Diffusion Plant in Paducah, Kentucky.

As a government contractor, we are accountable to and perform work for the Department of Energy. The Department of Energy Oak Ridge Field Office provides oversight and direction as does our parent company, Martin Marietta Corporation.

VITAL RECORDS PROTECTION PROGRAM

Two Categories:

- Rights and Interests - DOE Order 1324.8
- Emergency Operating - DOE Order 5500.7B

RIGHTS AND INTERESTS RECORDS

Records documenting rights and interests of personnel and Martin Marietta Energy Systems and public health and safety

Examples: Benefit records
Environmental regulation permits
Medical records

EMERGENCY OPERATING RECORDS

Records necessary to keep us operating and get us through an emergency

Examples: Site emergency plans
Site and area maps
Location of special nuclear material inventories

BACKGROUND

- Review of the Vital Records Protection Program
- Order became high priority to Martin Marietta Energy Systems
- Making the Program a Shared Activity
- Addressing required storage issues necessitated proper identification

PIP Membership

Organizations (5-Site Representation):

- Business Services
- Quality
- Procedures & Records Management
- Information Services
- Finance, Materials, & Services
- Information Management (DOE/OR)
- Development
- Health, Safety, Environment, & Accountability
- Medical
- Engineering
- Computing & Telecommunications
- Legal Counsel - Advisor

REQUIREMENTS SUBCOMMITTEE MEMBERSHIP

Organizations:

- Quality
- Procedures & Records Management
- Information Services
- Information Management (DOE/OR)

EMERGENCY OPERATING RECORDS SUBCOMMITTEE MEMBERSHIP

Organizations:

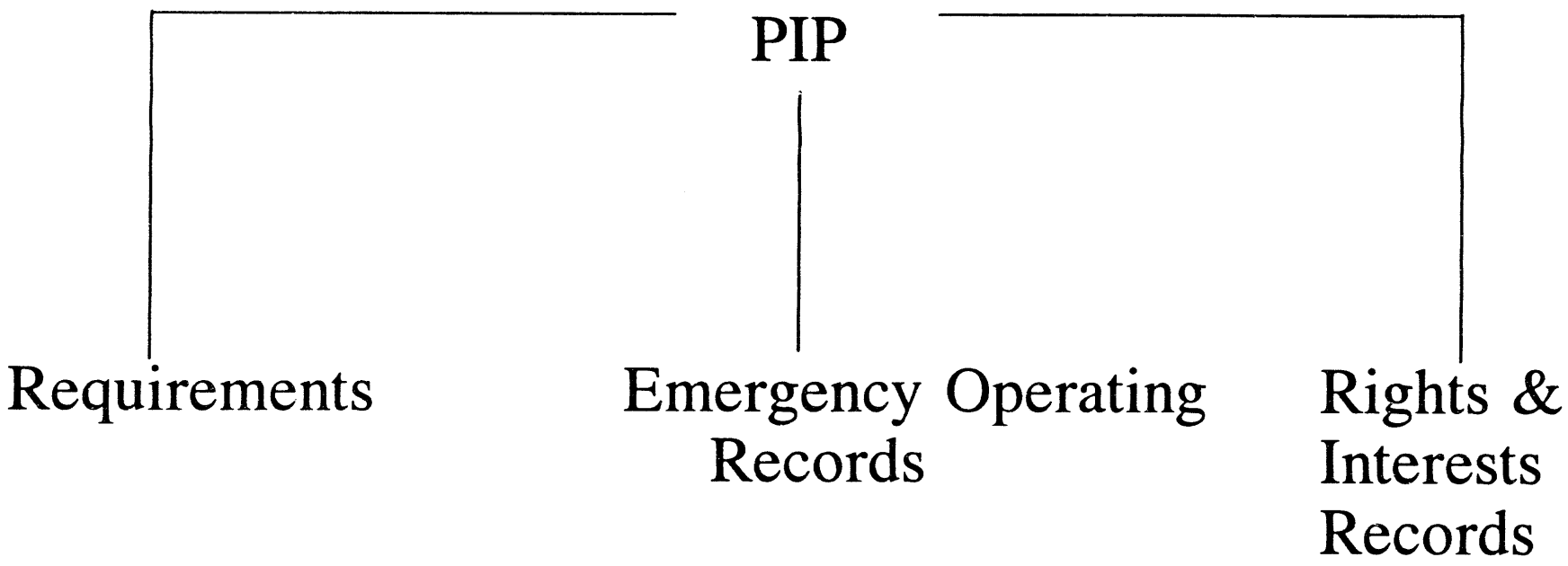
- Plant Protection
- Lab Protection
- Business Services
- Emergency Preparedness
- Procedures & Records Management
- Information Services/Engineering Services
- Safeguards & Security

RIGHTS & INTERESTS RECORDS SUBCOMMITTEE MEMBERSHIP

Organizations:

- Office of the General Counsel
- Program Management
- Health, Safety & Environmental Management
- Health & Safety
- Development
- Health, Safety, Environment & Accountability
- Medical
- Office of the Controller
- Office of the Treasurer

COMMITTEE STRUCTURE



SUBCOMMITTEES

Detailed work of the PIP was assigned to subcommittees:

- Requirements
- Emergency Operating Records
- Rights & Interests Records

REQUIREMENTS SUBCOMMITTEE

- Reviewed DOE Orders
  - DOE 5500.7A Vital Records Protection Program
  - DOE 5500.7B Rights & Interests Records Protection Program
  - DOE 1324.8 Emergency Operating Records Protection Program
- Reviewed company-level Procedure
  - ESS-IO-101 Records Management

EMERGENCY OPERATING RECORDS SUBCOMMITTEE

- Reviewed needs, requirements, and consistency
- Developed ESS-EM-112 Emergency Operating Records Protection Program

RIGHTS & INTERESTS RECORDS SUBCOMMITTEE

- Conducted a selective Energy Systems survey to determine:
  - Needs
  - Requirements
  - Consistency
- Developed ESS-IO-102 Rights & Interests Records Protection Program

CONTINUING ACTIONS

- Charter a five-site PIP to identify research and development records that should be included in the Rights & Interests Records Protection Program.

- Charter a five-site PIP to identify engineering drawings and other records that document critical industrial processes which should be included in the Emergency Operating Records Protection Program.

BENEFITS

- Clear interpretation
- Buy-in
- Broad-based representation
- Cost savings
- Compliance

MOVING THE MOUNTAIN: PLANNING FOR INACTIVE RECORDS STORAGE

Catherine E. Pasterczyk
Sandia National Laboratories

DOE RECORDS MANAGEMENT CONFERENCE 1993

BIOGRAPHICAL SKETCH

Catherine E. Pasterczyk earned a B.S. in Applied Mathematics/Biology from Brown University in 1979, and a MSLS from the University of Kentucky in 1983. She joined Sandia National Laboratories in 1987 as a Technical Information Specialist and became interested in records management while working in the Technical Library. She is currently working on becoming a CRM, and she is working in a degree program on paralegal studies.

EXECUTIVE SUMMARY OF TALK

Sandia National Laboratories has for the past 20 years stored inactive records at Manzano Base. Base owners have asked DOE and Sandia to examine the feasibility of moving out. Experiences and strategies for this process will be shared during this talk.

MOVING THE MOUNTAIN:
PLANNING FOR INACTIVE RECORDS STORAGE

DOE Records Management Conference June, 1993

Presented by:
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MOVING THE MOUNTAIN:
PLANNING FOR INACTIVE RECORDS STORAGE

- Facility in use - some pros and cons
- Cyclical history of requests
- Current cycle results

CYCLES EXIST IN SANDIA R&D WORK IN SPACE PROPULSION

- SNAP, 1965, joint program headed by AEC, first nuclear reactor in space
- SP-100, 1983, funded by DOE, SDIO, and NASA
- Topaz, 1990, joint program headed by SDIO

MANZANO BASE WAS "FREE" STORAGE

- Owned by the Air Force
- Multiple tenants
- Multiple uses
- No rent
- Excellent features

CYCLICAL HISTORY OF AIR FORCE REQUESTS REPEATS AGAIN

- 60 day move out plan
- 18 month move out plan
- Permit renewal

OUT-OF-MANZANO COMMITTEE WAS CHARTERED

- Purpose - Move out of Manzano in 18 months
- Scope - Originally security related items only
  Expanded to include all items
  Suggested to find most cost-effective solution that meets all applicable requirements
- Members - Organizations that "owned" stored stuff
- Deliverable - Project plan with costs

OPTIONS WERE BRAINSTORMED WHICH RANGED FROM SUBLIME TO....

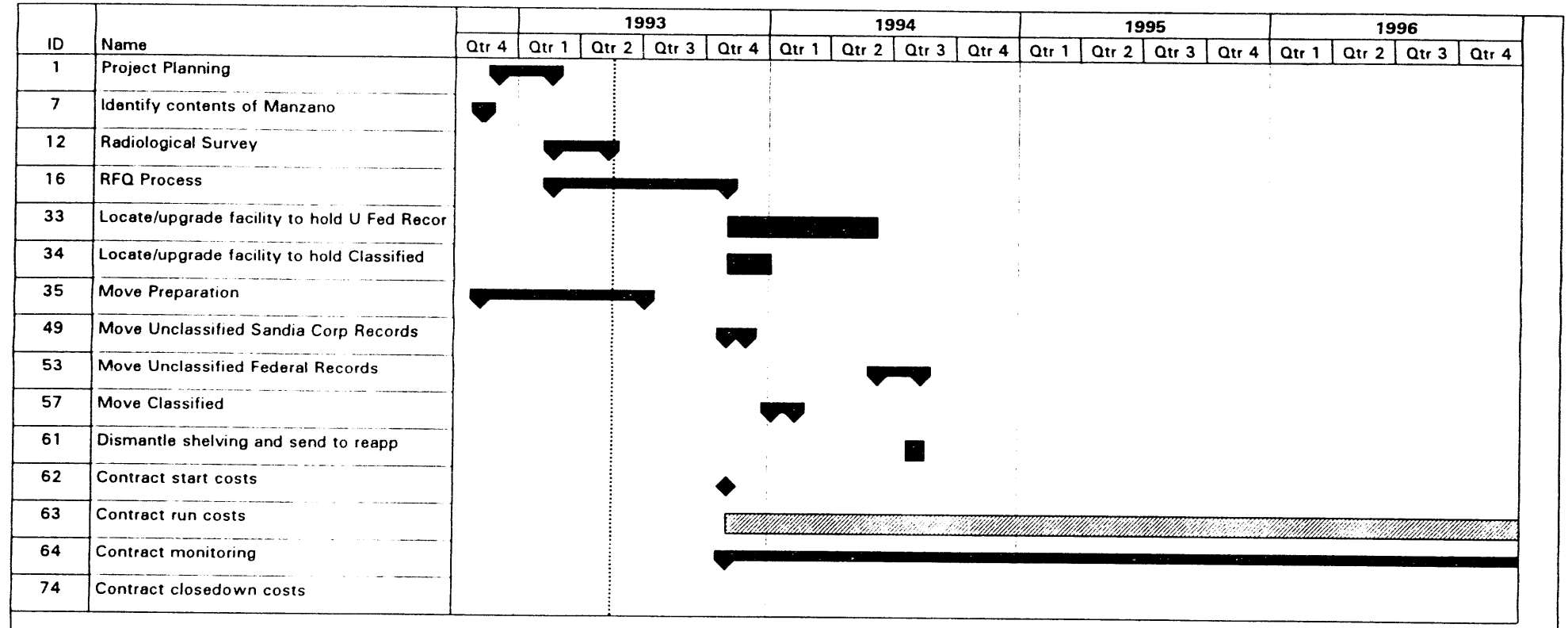
- Status quo
- Optical disk
- Toss
- Microfilm
- Lease space
- Find space
- Build space
- Borrow space
- Contract for service
- Federal Records Center
- WIPP
- Administrative land transfer with upgrades
- Send records back to "owners"

MANY CONSTRAINTS MEANT PROBLEM AS POSED WAS UNSOLVABLE

- Constraints limited options
- Impossible to meet 18 month deadline
- Stored materials other than records drove lack of solution
- Positive result of inactive records storage strategy

LESSONS LEARNED FROM THIS STUDY

- Know your requirements
- Translate your requirements into understandable language
- Use project management software to improve accuracy and credibility
- Use committee as opportunity to educate
- Planning promotes consistent messages



Project: Manzano Records
Date: 5/17/93

Critical
Noncritical
Progress
Milestone
Summary
Rolled Up

ESTABLISHING AN ADMINISTRATIVE RECORD

Kaye Bentzen
EG&G Rocky Flats

Biographical Sketch

Kaye Bentzen has over 13 years experience at EG&G Idaho, Inc., in the areas of facilities planning, technical publications, records management, document control, and configuration management. In her capacity as Records Manager for the EG&G Idaho New Production Reactor Department, Ms. Bentzen participated as a member of the Records and Configuration Management Working Groups established by the DOE HQ Office of New Production Reactors. She has recently transferred to EG&G Rocky Flats where she is currently the Manager of Records and Documentation for the Environmental Restoration Management Department.

The Administrative Record

The Administrative Record (AR) is the collection of all documents relied upon by the Department of Energy in selecting a response action for the clean-up of a hazardous waste site. Requirements for administrative records are established under Section 113 (k) of the Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), as amended by the Superfund Amendments and Reauthorization Act of 1986 (SARA).

This presentation addresses the purpose and scope of the AR, the types of documents specified for inclusion in the AR, and the unique requirements for maintenance of the AR collection at the Rocky Flats Plant (RFP). Particular emphasis will be placed on recent initiatives to enhance the processes utilized to manage administrative records to ensure that AR documentation is sufficient for necessary management and legal purposes and is processed in a consistent, cost-effective manner.

TEAM HANFORD: RECORDS MANAGEMENT IN A MULTI-CONTRACTOR ENVIRONMENT

Erik N. Anderson
Pacific Northwest Laboratory

Tom V. Anderson
Kaiser Engineers Hanford

John W. Munch
Hanford Environmental Health Foundation

Charles N. Potter
Westinghouse Hanford Company

Team Hanford: Records Management in a Multi-Contractor Environment

BRIEF BIO SKETCHES:

Erik N. Anderson manages the Publication Services and Records Management Department of Battelle, Pacific Northwest Division, which operates DOE's Pacific Northwest Laboratory. The department provides prepublishing review and guidance, and printing, mail, records management, and document control support to the laboratory. Erik earned a degree in Printing Management from California Polytechnic State University and accumulated 20 years of management experience in printing, publishing, and communications. He is a member of Research Institute Publishing Executives, In-Plant Management Association, Association of Records Managers and Administrators, Nuclear Information and Records Management Association, and serves on the advisory board of the Tri-City Area Vocational Skills Center.

Tom V. Anderson has over 16 years experience in the Records Management profession, nearly all of which have been in the nuclear industry. Tom received both undergraduate and graduate-level academic training in Records Management at Western Washington University, which included internships with Weyerhaeuser Company and the National Archives and Records Administration. As Configuration Management Manager for Kaiser Engineers Hanford, Tom is responsible for program and organization management for the Configuration Management, Document Control and Records Management functions for the Hanford Site's Architect-Engineer/Construction contractor. Previous employment was with Washington Public Power Supply System as a Corporate Records System Specialist and WNP-2 Records Manager, and with Management Analysis Company as a Records Management Consultant to nuclear utilities.

John W. Munch, R.R.A. is the Manager, Company Records and Communications Department for Hanford Environmental Health Foundation. The Department provides records management, document control, resource center, policy and procedure writing and publication and central communication control services company wide. John has over 10 years experience in records management ranging from medical records management to occupational health records management in the private sector. He is a member of the American Health Information Management Association (formerly American Medical Record Association) and a member of Washington State Health Information Management Association. Previous employment includes positions as Director or Assistant Director of Medical Records in three hospitals, reimbursement consultant, and as Occupational Health Records manager for General Electric Company's GE Lighting.

Charles N. Potter manages the Documentation and Records Services activities of Westinghouse Hanford Company's Information Resource Management functions. This department provides policy guidance, systems development, and records/document processing services to project and support organizations. Chuck attended Washington State University and has accumulated 35 years of management experience in the private sector, including senior administrative positions in the contracts and marketing sectors. He is a member of the National Contract Management Association.

Team Hanford: Records Management in a Multi-Contractor Environment

Erik N. Anderson
Pacific Northwest Laboratory

Tom V. Anderson
Kaiser Engineers Hanford

John W. Munch
Hanford Environmental Health Foundation

Charles N. Potter
Westinghouse Hanford Company

Abstract

Expanding technology, increased emphasis on cost containment, and an ever growing list of requirements and regulations present challenges to records managers. The multi-contractor environment of the Department of Energy's (DOE) Hanford Site further complicates the picture. In an effort to strengthen the site's records management program, representatives of DOE's Richland Operations Office and its four Hanford contractors joined forces. This synergistic Team Hanford approach continues to spawn success and is looked on as a model for similar DOE sites.

The Environment at Hanford

The Hanford site covers 583 square miles, located in southeastern Washington. The Richland Operations Office (DOE-RL) has oversight responsibility for the site. Presently, there are four prime contractors functioning onsite to carry out DOE's mission:

Westinghouse Hanford Company (WHC)

WHC, a wholly owned subsidiary of the Westinghouse Electric Corporation, is the maintenance and operations contractor leading cleanup and environmental restoration of the site. WHC manages DOE facilities at Hanford, including the multipurpose Fast Flux Test Facility, engineering development, chemical processing and defense waste facilities; the decommissioning of surplus reactor facilities; and site support services. Boeing Computer Services Richland, subcontractor to WHC, manages site information resources, including records management.

Pacific Northwest Laboratory (PNL)

Battelle Memorial Institute operates PNL as a national multi-program laboratory for the Department of Energy, employing 4,300. PNL's mission is to conduct research and development to meet national needs in energy, environment, and national security. A major part of PNL's activities is focused on resolving environmental issues, such as waste cleanup at Hanford and global climate change. PNL forms partnerships with universities, industry, and other federal laboratories to assist in meeting PNL's programmatic responsibilities, to enhance the economic competitiveness of the nation, to diversify the economy of the region, and to provide for the education of future generations of scientists and engineers.

Kaiser Engineers Hanford (KEH)

Kaiser is the on site architect-engineer/construction contractor for DOE-RL. They provide engineering and design services for nuclear process, research and development, environmental and waste management programs, and support facilities. Kaiser also performs project management, construction and construction management, procurement, maintenance and repair, fabrication, nondestructive examination, well drilling, asbestos abatement, and seismic analysis services. Kaiser employs approximately 1,400 people at Hanford, including 700 engineers, construction, and management professionals; 200 administrative and office support personnel; and 500 craft employees.

Hanford Environmental Health Foundation (HEHF)

HEHF provides occupational medicine and non-radiological industrial hygiene services to the site. HEHF has provided these services on-site for 27 years. Presently HEHF is undergoing a transformation in the delivery of these services from just doing examinations to providing primary care to the almost 17,000 employees onsite. These redefined services will encompass everything from medical care of lacerations to ergonomic assessments and rehabilitation services. In addition, HEHF is integrating the occupational medicine and industrial hygiene services in order to provide a comprehensive occupational health program in an effort to assess exposure risk and potential health outcomes before an incident actually occurs.

In 1988, the site mission changed from nuclear product production to environmental restoration and remediation and energy research; our records challenges have also been modified. Technological advances, cost containment pressures, and additional requirements and regulations present additional demands. To meet these challenges, Team Hanford was formed a few years ago to jointly manage the myriad of tasks and initiatives in records management. The strength in Hanford's records management program comes from the joining of forces with representatives from the DOE Richland Operations Office and the four prime contractors. Team Hanford meets weekly with the goals of these meetings being to:

- anticipate and meet the metamorphosis and increasing demands to efficiently, effectively, and consistently manage DOE's records
- provide the opportunity for open dialogue between the contractors and DOE
- evaluate Hanford's combined records management program, including policies and procedures, and to propose improvements for efficiency, effectiveness, and economy
- identify DOE, NARA, NQA-1, and other regulatory requirements and guidelines for consistent application by the contractors
- resolve inter-contractor and/or contractor/DOE records issues

- streamline records management by eliminating duplication of effort, develop consistent applications, as appropriate, and increase efficiency and effectiveness, while acknowledging each contractor's unique mission and differing management and cultural philosophies and styles.

During the weekly meetings, task teams consisting of representatives from each of the contractors are established to address specific initiatives, develop joint milestones that are tracked and documented, and cultivate our long range strategic plan.

Accomplishments

The single thing that seems to make the "team" in Team Hanford a reality is a combination of good will and trust among the members. We feel fortunate to have achieved a certain chemistry from the outset that not only facilitates specific job and work related matters, but causes us to spontaneously look out for each other's interests in ways not restricted to the usual formalities. One result of these relationships has been a form of joint leverage, raising the visibility of records management both within our own organizations and on the site as a whole. We are pleased with our mutual accomplishments, some of which are highlighted below.

Cooperation, Teamwork, Added Value

- On several occasions, one contractor records manager or another has picked up the tab on travel costs or logistical support, where the timing or expenditure was inconvenient to other contractors' ability to expend the resources.

- Administrative and procedural matters are routinely discussed in weekly meetings of senior records management personnel, chaired by the DOE-RL Records Officer. This interface is further enhanced by planned, quarterly, open forum meetings between records specialists from each contractor.

Training and Professional Development

- Technology planning, implementation, and demonstrations are routinely sponsored by one contractor for the benefit of comment and continuity among all contractors.

- One of the contractor Records Specialists prepares and distributes a monthly list of available training resources for records professionals.

- At the suggestion of the team, an on-site NQA-1 course was reworked and a special course, geared to records management staff, was prepared and made available to all Hanford contractors.

- Driven by DOE's records scheduling initiative, one contractor worked with the National Archives and Records Administration to tailor their scheduling course and bring it to Hanford. This became a pilot for other DOE sites.

- The Hanford contractors' records staff are heavily involved in the local chapter of the Association of Records Managers and Administrators, serving as officers and committee members. They are also represented on Nuclear Information and Records Management Association committees.

Hanford Initiatives

- The databases used to administer the records holding area and records inventory and disposition schedules, while managed by one contractor, are cooperatively shared and available to all contractors.

- Working in multi-contractor teams, the group drafted Field Office implementing procedures for Records Restoration, the overall Hanford Records Program, the Records Holding Area, and Vital Records.

- The group completed an extensive review of options to allow the Hanford site to comply with NQA-1 storage requirements.

- A multi-contractor task team was formed for Hanford's response to DOE's records scheduling initiative.

National DOE Initiatives

- Last year, a six-person team from Hanford spent the better part of a month in Washington D.C. to help EM-30 develop a records management system. In addition, one of the records managers helped develop procedures for a management systems review for EM-50 and another is working on a committee to help DOE deal with potentially contaminated records.

- Over the past 18 months, the Hanford team hosted 20 visitors from 11 DOE sites.

Future Plans

While Team Hanford has had a number of success stories such as those discussed above, there are still some considerable challenges and issues facing us that we will be focusing on over the next several years. These can be grouped into two areas: Programmatic Issues that relate to our Records Management activities, and Site Issues that relate the overall environment at Hanford that we're working within.

Programmatic Issues

Some of the Programmatic challenges facing Team Hanford include:

- Records Storage problems. We have not yet completed our efforts to obtain an NQA-1-compliant records storage facility for our nuclear QA Records, and in the meantime are operating under the "dual copy" approach using predominantly hard copy (paper) medium. Further, the records destruction moratorium that all of us are under is creating a shortage of records storage space in both DOE-RL's local Records Holding Area (RHA) and NARA's Federal Records Center in Seattle. In fact, just three weeks ago we received a "No Room At

The Inn" message from the RHA, informing us they're unable to accept any more records for storage until they can shift some material to Seattle. We're filling up!

- Document Control issues. While Team Hanford has focused considerable attention on integrating our records management activities, our document control processes have not yet received the same level of effort towards integration and sharing. We contractors are basically operating to the same document control systems/processes that we inherited from predecessor contractors, which are characterized by fragmentation and redundancy. This is especially true in our information management systems that support document control functions, and we're currently working towards gaining conceptual agreement of the need for establishing a single DOE-owned database that all site contractors will work within for their document control requirements. Just as we share the design media (drawings, design changes, etc.) for the facilities we're working on, we must also share the information about the documents.

- Quality Assurance changes. Like the rest of the DOE sites, Team Hanford is attempting to deal with the new view of quality assurance embodied in DOE Order 5700.6C. Through this revision "C" of the Headquarters' Quality Assurance Order, the previous 18 QA program criteria - which were based on the Nuclear QA concepts of NQA-1, have been replaced by 10 QA Program criteria based on TQM (Total Quality Management) principles. The changing Hanford mission, from nuclear production to environmental restoration, is giving us still another view of QA through the development of Environmental QA principles. We haven't yet felt the impacts of these QA changes to our records programs, but know we will need to make some adjustments. As of now, all of the contractors have implemented training programs in the various TQM philosophies (Crosby, Covey, Deming) and are working on revising our QA programs to implement 5700.6C.

- Electronic Records challenges. Team Hanford is only in the early stages of incorporating electronic records into our records management programs, so nearly all aspects of establishing the necessary programmatic controls still need to be looked at. We're starting with a comprehensive inventory of our electronic records, as well as establishing closer interfaces with our information systems management organizations to enable us to better plan for electronic records. One of our team members is now working with an optical imaging system, that will open up some new opportunities for the entire site to operate more efficiently. We're not able to move images over our local area network yet due to the current limitations of our telecommunications system, but a fiber optics-based system is being installed that will solve that problem. Once our network can handle the traffic, we can see some extensive electronic document control applications for an optical imaging system.

- Programmatic linkages. We still have a lot of work to do to improve the interfaces/linkages between our records management programs and related processes, such as document control and configuration management. Like the fragmentation and redundancy within our document control programs that was mentioned above, there similarly is duplication of effort and data between our programs. Establishing closer interfaces between these programs will require Team Hanford's records managers to do more teaming with the document control and configuration management managers.

Site Issues

In the area of Site Issues, some of the major challenges facing Team Hanford include:

- ERMAC contract award. DOE-RL is establishing a new Environmental Restoration Management Contract (ERMAC) at Hanford, whose job will be to manage site restoration activities performed primarily by subcontractors. The impact to Team Hanford will be the

addition of another "major-league" player to our group, as well as a probable need to modify portions of our records management processes (turnover, retirement, etc.) to accommodate another source/type of records belonging to DOE-RL. It's not yet guaranteed that this contract will be awarded, in that the initial award is caught-up in an official protest by one of the losing bidders.

- Existing contract uncertainties. The ERMAC isn't the only contractual area that might cause a change to the Team Hanford players roster. The award to Kaiser of the Architect Engineer/Construction Management contract is also in an official protest status, so the AE/CM contractor's representative on Team Hanford may change sometime in the near future. Also, the presidents of Westinghouse Hanford and Kaiser Engineers Hanford recently formed four "Integration Task Teams" to review areas where the two companies are providing similar services, and to recommend and develop plans for integrating those services. The initial plans are due next week, so the impact to Team Hanford is not yet known.

- New approach to site services. Another area that could alter the dynamics of our records management activities at Hanford are the Privatization Initiatives, whereby certain site-wide services are being evaluated for possible turnover to private non-government contractors. The inactive records storage function has received scrutiny as a candidate for privatization.

While the above issues pose some considerable challenges, we're confident that our odds of success in meeting them are substantially greater if we address them as a team instead of as individual companies. We've proven it to ourselves time and again that the strength of Team Hanford is derived from the synergistic effects of communication, collaboration, and cooperation.

MANAGING POTENTIALLY CONTAMINATED RECORDS: A CASE STUDY

Brian Sprouse
Westinghouse Hanford Company

WHC-SA-1706-A

Managing Potentially Contaminated Records: A Case Study

B. S. Sprouse

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January 1993

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WHC-SA-1706-A

MANAGING POTENTIALLY CONTAMINATED RECORDS: A CASE STUDY

B. S. Sprouse

ABSTRACT

The nuclear industry has some special records management problems, especially with the attention focused on the environmental cleanup of the Hanford Site, the nation's largest Superfund site. Special importance is being given to analytical laboratories that perform detailed sampling and analysis of the Site's radioactive samples. Because the analyses are conducted within radiologically control areas, the potential for generating a record that could become contaminated has put a new twist on the protection and management of records.

The 222-S Analytical Laboratory within the Hanford Site in Richland, Washington, has some interesting approaches to managing records generated within radiation zones during the past 10 years. A backlog of some half million records had to undergo stringent surveying for potential contamination before they could be archived with other records generated on the Site.

A study was performed to determine the best approach to archiving the records in accordance with U.S. Department of Energy records schedules while still ensuring that the records did not pose any threat to employee and public safety. Through the study, it was determined that microfilming would provide the surest way to protect the records and comply with archiving requirements. However, the most interesting aspect of the study showed that by microfilming within the radiological area, the lengthy process of radiological surveying

could then be focused on microfilm instead of paper. The time and energy needed to survey microfilm is far less than that required to survey paper.

THE RECORDS MANAGEMENT MATRIX: USING A RECORDS COUCIL TO MEET REQUIREMENTS AND PROVIDE SERVICES IN A DECENTRALIZED ENVIRONMENT

David B. Gaynon, CRM
Sandia National Laboratories

Biographical Information

David B. Gaynon is a Records Management Analyst at Sandia National Laboratories in Albuquerque, New Mexico. He had experience as an archivist, a corporate historian, and a records manager before joining Sandia's Recorded Information Management Department in 1992. He has Master's degrees in History, Library Science, and Business, and is a Certified Records Manager.

Executive Summary

A Records Council has been established within the Environmental, Safety and Health (ES&H) organizations at Sandia National Laboratories, to bring together all the people working with ES&H records to share expertise. This paper gives the background and goals for the Records Council.

THE RECORDS MANAGEMENT MATRIX:

Using the ES&H Records Council to Meet Requirements and Provide Services in a Decentralized Environment

1993 DOE Records Management Conference

June, 1993

Presented by:

David B. Gaynon, CRM

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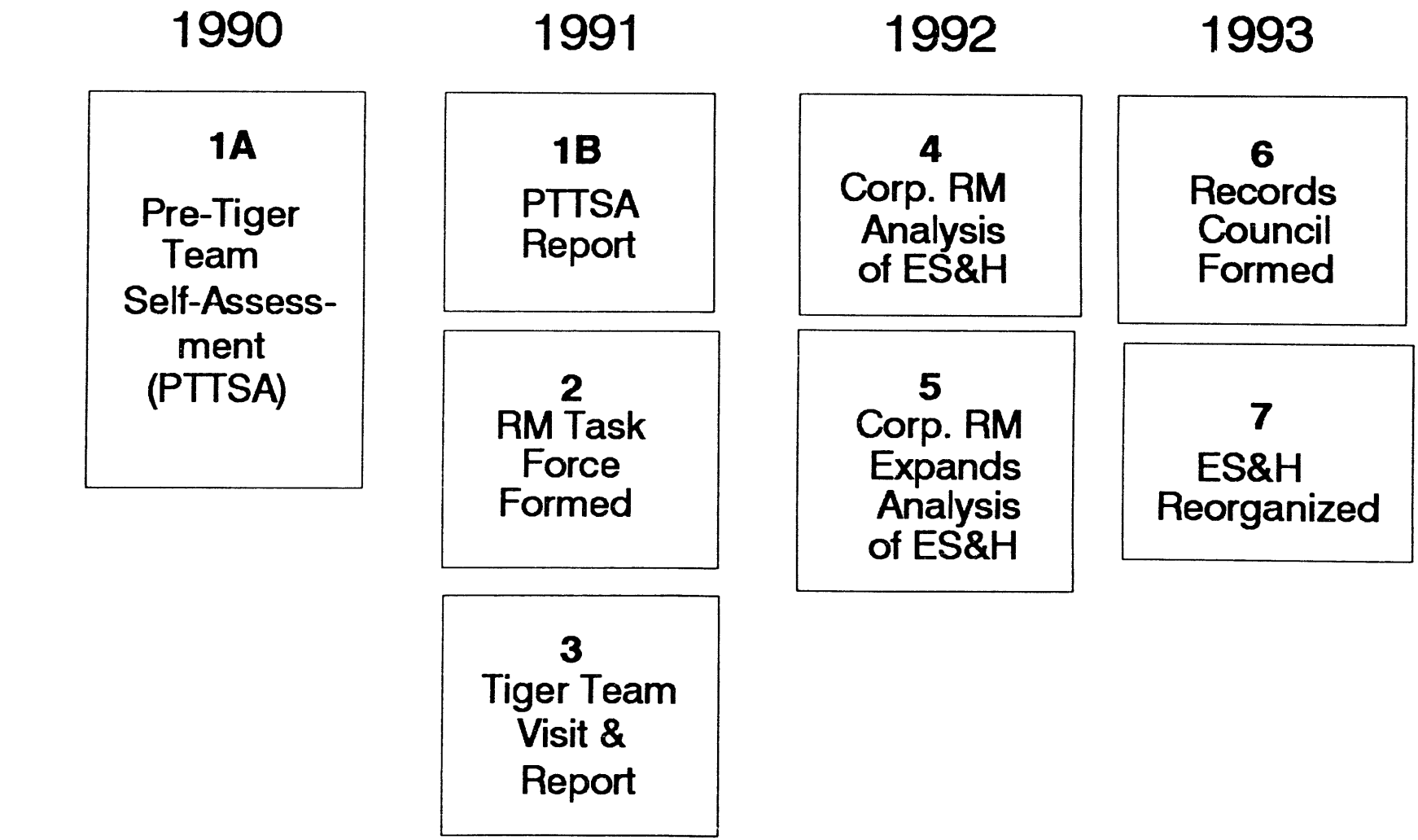
Recent Efforts to Improve ES&H Records Management Break Down Into Seven Segments



1. PTTSA Report/Key Finding 14 Describes Records Management Within ES&H as Inadequate

- Unable to Support Audit Requirements
- Confusion over Records Disposition
- Technical Staff without Records Management Expertise or Understanding

2. ES&H Records Management Task Force

Formed in Response to PTTSA Report (1991)

- Managerial Support and Participation
- Records as a Corporate Asset
- A Driver for Records Inventory Project
- Focus Lost in Reorganization

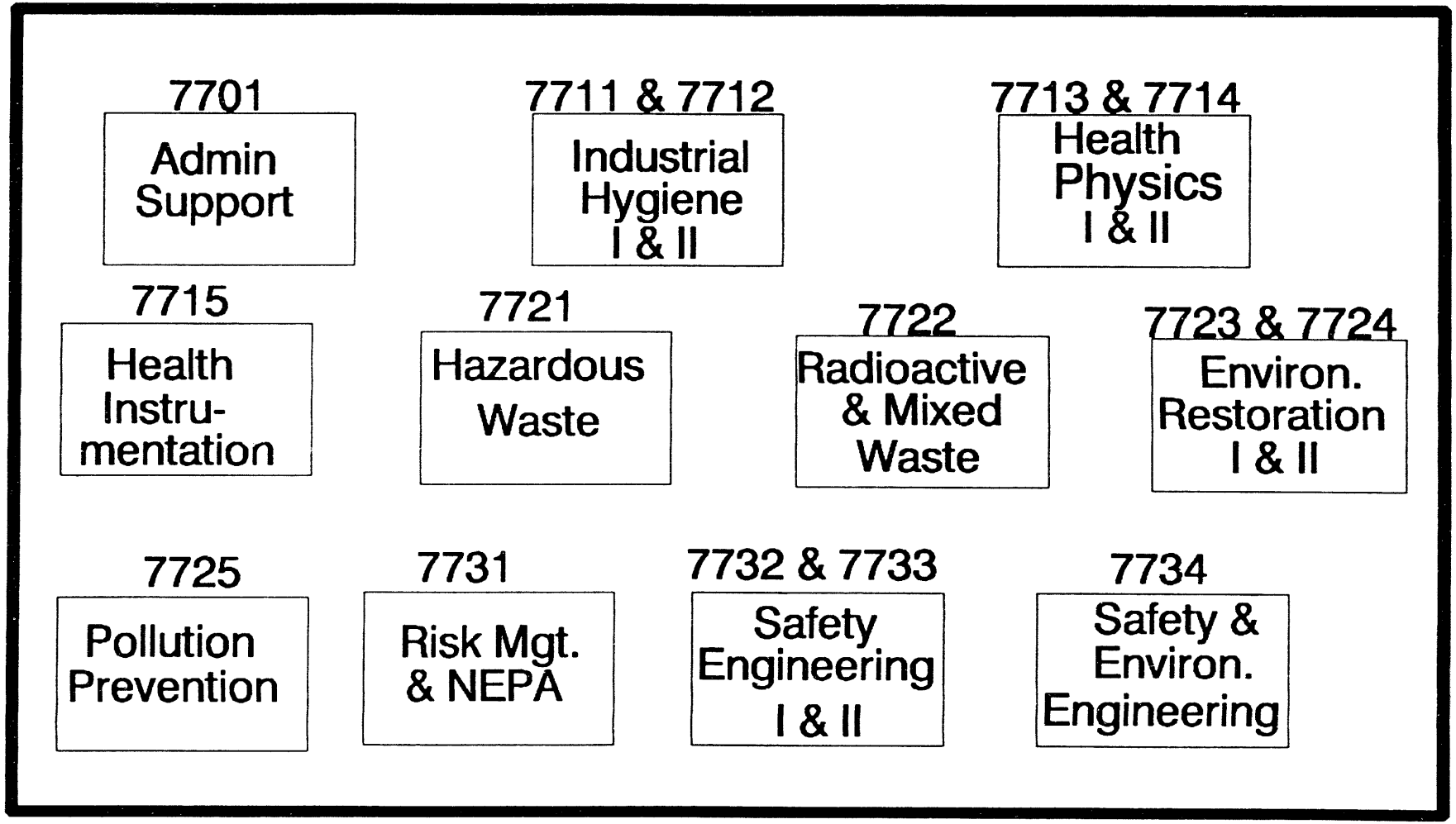
3. Tiger Team Identified Records Management Problems in ES&H (1991)

- Records Maintenance
- Records Security
- Records Preservation
- Access to Important Records
- Storage of Records

4. ES&H Asks Corporate Records Management to Review and Analyze its Records Management Services (1992)

- Design of Analysis
- Findings
- Preliminary Recommendations

Review of ES&H Records Management Included



1992

5. ES&H Program Office Asks Corporate Records Management to Expand its Review to Include:

- ES&H Assessment
- ES&H Program Management
- Medical Administration
- Preventive Medicine
- Project Management Office of Safeguards and Security Center
- ES&H Training
- Sandia California -- ES&H Offices
- DOE/Kirtland Area Office -- ES&H

5. Expanded Review Finds Obstacles to Effective Records Management Similar to Those Identified In the Preliminary Study

- Confusion over Facility Requirements
- Document Location/Tracking Problems
- Staffing Difficulties
- Recommends Creation of Records Council To Improve Records Management Services for the Line Organizations

5. Suggested Areas of Concern for the Records Council were:

- Facilities
- Staffing Plan
- Reducing Duplication of Effort
- A Forum to Share Lessons Learned And To Shorten Time Spent Bringing Staff Up To Speed
- Improved Coordination of Policies & Procedures

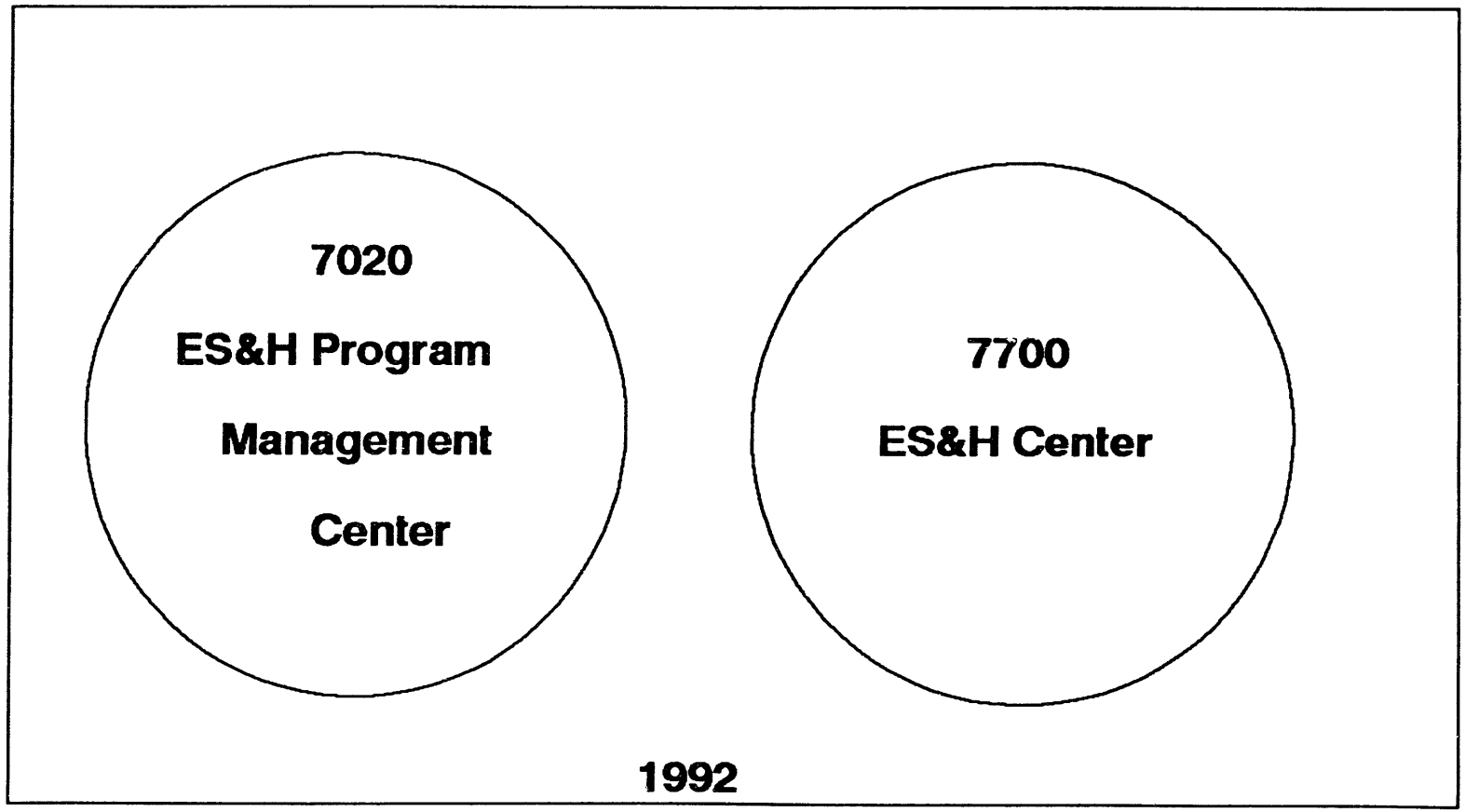
6. ES&H Records Council Organized (1993)

- Recorded Information Management Department Provided Minimal Training
- Sharing Knowledge of Operations Accelerates Training of Records Staff
- Record Center Directory Drafted
- Progress on Common File Code
- Charter Under Development

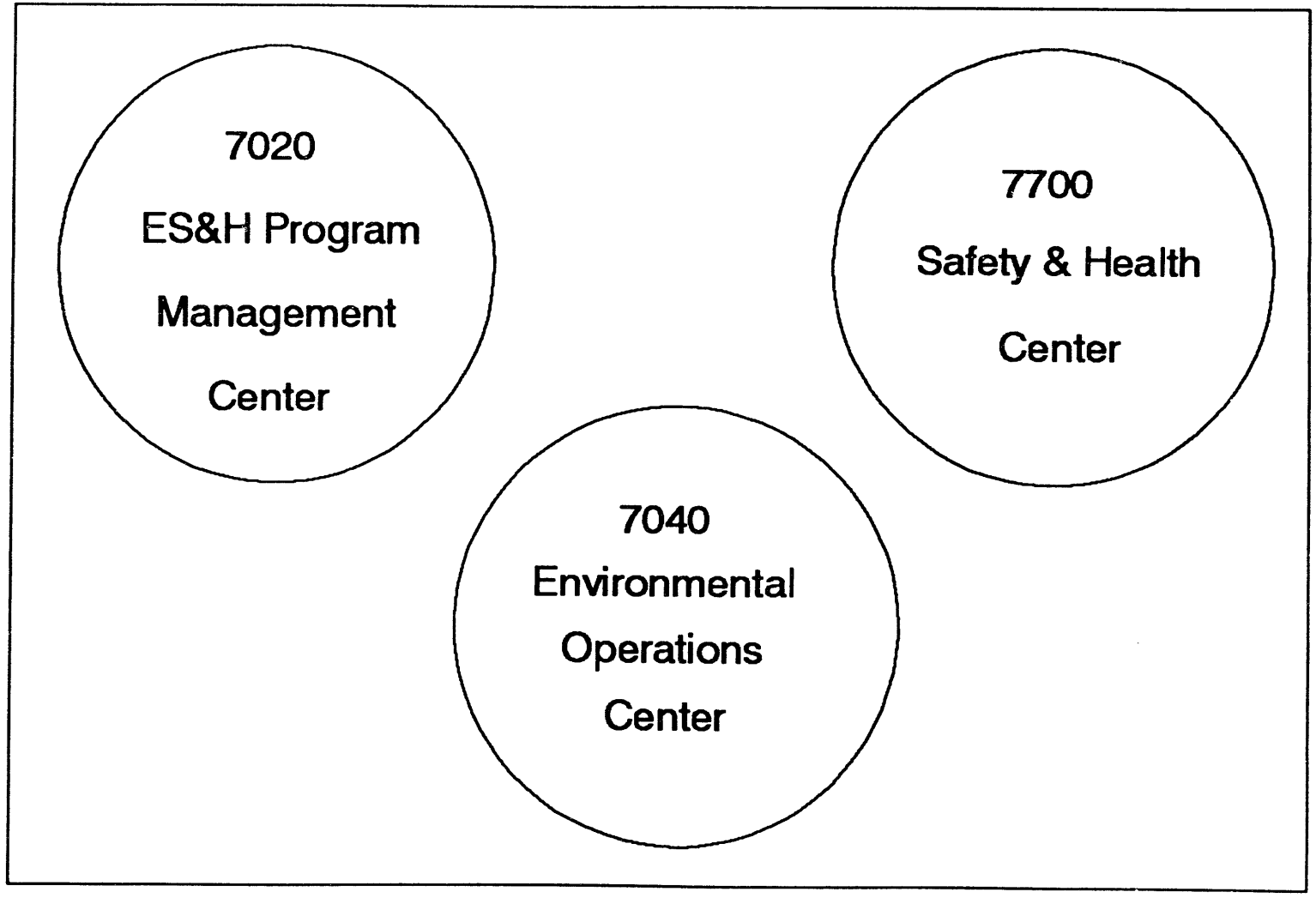
6. Developments Parallel to ES&H Records Council Formation

- Generic Automated Data Base (Oracle) in Testing Stage
- Two Major Active Record Centers Are Evaluating Closer Cooperation
- Major Reorganization in ES&H

In April 1993 ES&H Re-Organized From This Structure



To This Organizational Scheme



April 1993

Future Directions May Include:

- Documentation
- Self-Appraisal
- Policy and Procedures template
- File Plan template
- Customer Analysis

Questions to Consider in Applying this to Other Programmatic Areas

- Do Centralized Operations Run Contrary to Your Corporate Culture and Values?
- Does Your Records Program Suffer from a Lack of Standardized Policies and Procedures?
- Are Communications Between Departments a Major Problem in the Effective Operations of Your Records Management Program?

TECHNICAL DATA ARE RECORDS. AREN'T THEY?

Jan Statler
Science Applications International Corp.

Technical Data Are Records. Aren't They?

The issues related to technical data management and records management of technical data challenge the staff at the YMP.

BIOGRAPHY OF JAN STATLER
SAIC

Jan Statler is the Manager of the Data Administration Department of Science Applications International Corporation in Las Vegas, Nevada. She has been involved with the DOE/Office of Civilian Radioactive Waste Management (OCRWM) program since May of 1987. First in Washington , D.C. and then in Las Vegas, she has been instrumental in the development of the records and data management programs. Her masters degree in East Asian History and 15 years in computerized litigation support were good preparation for dealing with the issues related to the management of information at the Yucca Mountain Site Characterization Project.

TECHNICAL DATA ARE RECORDS. AREN'T THEY?

May 12, 1993

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ABSTRACT

Technical data are in many forms. Strip charts. Laboratory notebooks. Pulses registered on disks that can only be "read" by specialized equipment. Maps. Seismographs. Video tapes. Data sheets. Well logs. Computerized data bases in a wide variety of off the shelf and special purpose software.

What are technical data? Are these records? When do they become records? Are they quality assurance (QA) records? Does it matter? Regardless of "when" the technical data that are records become records, when should records and information managers be involved with the development and management of technical data. Does records management have anything to do with technical data management? The Department of Energy (DOE) Yucca Mountain Site Characterization Project (YMP) has had to address these, and other, equally puzzling questions.

When the YMP first started managing its technical data, one of the primary questions was "What is it?" A working definition was created; it evolved over time. And now, four years later, as new people join the YMP, bringing their new perspectives, the same question still arises.

Initially, the records management system was used to facilitate the management of data. This seemed to be a reasonable solution because the records management system was in place and working and data were considered to be the major portion of record material. However, concerns arose over whether or not records and information managers should be involved with technical data prior to its "completion" and authentication -- assuming that it was quality-affecting data. That question led to the severance of the technical data management processes from the records management system, until technical data record packages were "complete".

Completeness is also an issue with the identification of data to persons other than

the generator. The retention of data by the scientist until publication and the timing and grouping of data for submittal to the records management system are also concerns related to completeness.

When or if technical data are QA records has always been a big issue. What responsibilities, if any, records managers should have with regard to technical data prior to its "completion" and authentication is another. From a Federal records management perspective, information in any form is a record. Nuclear QA is not an issue. Do the needs of Federal records management override the limitations that QA requirements might seem to impose on the relationship between technical data and records management? Or visa versa? Or, are the two sets of requirements actually compatible?

There is also a question as to the roles and responsibilities of technical staff and information management staff in the overall management of technical data. Who should be responsible for what aspects of the management of technical data?

This paper addresses these issues as they have been or are being dealt with by the YMP. Many of these issues have been resolved on the YMP. Others seem, like a bad penny, to reappear as issues after being settled. Some are now being addressed for the first time. But that is what makes records and information management on the YMP so challenging and so much fun!

WHAT ARE TECHNICAL DATA?

One of the basic questions that continues to puzzle people is the definition of technical data. The current definition at the YMP is as follows:

> Scientific, environmental, socioeconomic, and engineering numerical values or factual information resulting from data acquisition or data development activities. Technical data can be qualitative, quantitative, or graphic. Samples (core, soil, grab, water, etc.) are not in and of themselves technical data. (AP-5.1Q, item 3.10)

Technical data at the YMP include computerized data, and they also include, among other forms, strip charts, lab and field notebooks, data sheets, graphs, drawings, maps, photographs, videos and technical reports. Scientific, environmental, socioeconomic and engineering information in any form is considered to be technical data.

However, some forms of data, in their very rawest form, are not useable without translation. Pulses on metal disks, analog data tapes, measurements gathered by specialized equipment and other such items are not usable for analysis until they have been "translated" or converted to a more readable format. Because of the inability of others to utilize these data in their original form, it has been generally

determined that the data that will be identified, maintained and provided to the YMP and other interested parties is the "translated version". In these cases, the translated data are considered the raw or acquired data.

Other raw data can be used for analyses in their original form. Numbers or measurements in digital form, drawings or notes, maps, videos and other data are "readable" by the human eye or generally available equipment. These raw data are tracked, managed and made available at the YMP.

However, new people bring welcome new perspectives to any task. As contractors change or new staff get involved with the process of technical data management at the YMP, the definition of technical data and the processes that manage them get reevaluated. Each time, the systems are improved and refined to make them more effective or the definition of technical data becomes more precise.

ARE TECHNICAL DATA RECORDS?

The definition of a Federal record states:

> "Records" includes all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. (USC 3301)

Clearly, technical data acquired and developed by the YMP are Federal records under this definition. It should be noted that samples, though excluded from the YMP definition of technical data, are also federal records.

NQA-1 defines QA records as follows:

> Records that furnish documentary evidence of quality. (NQA-1, Section 17)

The DOE has developed the Office of Civilian Radioactive Waste Management Quality Assurance Requirements and Description document (QARD) that defined the requirements to which the DOE, including YMP, will adhere to assure quality.

The QARD defines QA records as:

> A completed document (or other medium) that furnishes evidence that items or work comply with QARD requirements. (QARD, Glossary)

Records that furnish evidence of compliance with the QARD are a subset of all of the Federal records generated at the YMP. The largest part of the technical data generated on the YMP are QA records.

The QARD further states:

> Individuals creating quality assurance records shall ensure that the quality assurance records are legible, accurate, and complete. (QARD, Section 17.2.2.B)

Here, standards are imposed relative to accuracy, legibility and completeness of the documents that will become QA records.

WHEN DO TECHNICAL DATA BECOME RECORDS?

The definition of Federal records does not address completeness as an issue. In fact, for the YMP, documents, including technical data reports, that are not concurred with and, therefore, are never completed, become records - assuming that the documents meet other inclusion criteria. The requirement for documents that are not concurred on to become records is specified in 10 CFR, Part 2, Subpart J. Federal records do not have to be authenticated. The official copy of all DOE correspondence is the concurrence copy, not the signed one. The Federal definition of records clearly states that all documentary materials " . . . regardless of physical form or characteristics . . ." are records.

Most, though not all, technical data at the YMP are QA records. As such, the data cannot be considered QA records until they are complete and have been authenticated. However, since technical data are Federal records even though they are not complete or authenticated, they should probably be considered records at inception.

Even though they are Federal records, submitting individual pieces of technical data to the records management system as the data are acquired or developed is neither feasible nor practical. Principal Investigators need to use the data that are generated for some period of time after the data are acquired or developed. The participating organizations need time to review and verify the data and document discrepancies, if any. As a result, at the YMP, most technical data are submitted to the records management system in record packages.

Record packages are logical groups of related records that are submitted as a unit for processing. The package and the individual records or items within the package are all indexed. If the data collection activity is continuing over a long period of time, record packages of the data may be submitted at specified intervals, when the Principal Investigator can part with them. The packages are then related to each other by various descriptors in the records management data base and by direct cross-references in the Technical Data Tracking System. If the activity will be completed in a reasonable amount of time for grouping the data into record packages (a year or less), the data may be submitted to the records center in record package segments. The segments are stored until the activity is completed, and the record package is closed out. In order to distinguish clearly when technical data must meet records management standards, the YMP has determined that data will not be evaluated against records management criteria until they are submitted to the records management organization. When submitted as record package segments, data are held -- preserved and protected -- until the package is complete. No further records management processing is done until the record package is complete and signed off on or authenticated by the principal investigator.

It seems clear that all technical data are Federal records from the moment that the data are acquired or developed by the YMP. Some of these records are QA records. Technical data are not QA records until they have been appropriately verified and authenticated, but they are records at inception.

WHEN ARE TECHNICAL DATA COMPLETE?

The question of completeness concerns the managers of technical data. Somehow, a technical data management system must balance the need by the scientist to have possession of his or her data until it can be verified with the need for other YMP personnel, the Nuclear Regulatory Commission (NRC), the State of Nevada and other oversight groups to know about and have access to technical data as soon as possible. Agreements between the NRC and the DOE have attempted to define the process and timing for advising the NRC about the existence of data. But, those agreements hinge upon the acquisition of the data or the completion of the acquisition, which leads to the question of "completeness" again. Are the data complete upon acquisition or after they have been verified? If the answer is "upon verification", does that mean that the raw data are not a record? As was noted above, QA records must be complete before they are authenticated. Federal records include information in any form.

At the YMP, it is important that all data be retained and made available to oversight groups. Even data that are not "good" must be retained and identified in the technical data management system and the records management system. That would include incomplete data. The only data that are potentially excluded are data that are not readable or have no traceability. Otherwise, data are

tracked and are submitted to the records management system.

The YMP is also sensitive to the historical need by scientists to publish in order to further their careers. One of the issues related to completeness is whether the data should be identified to others -- and therefore potentially requested by those others -- before the responsible scientist publishes the results of his findings or analyses. Premature release of data may be detrimental to a staff member's best interests, which could lead to the discouragement of the YMP technical staff. At the YMP, it has been decided that data will be identified in the YMP Tracking System within 45 days of the acquisition of the data or on an approved schedule. At that time, the data will be available upon request.

Completeness is also an issue in the interface between the records management system and the technical data management system. Should data be placed in the care of the records management system for safekeeping until the record package is "complete"? Or should the data remain with the Principal Investigator? When should a record package be considered complete for the purposes of submitting it to the records management system for processing? At the completion of the activity, which might be five or ten years? At predefined points in the activity or project life? Completeness is not an easily defined term when discussing scientific and engineering endeavors.

Because of the need to have data available to other participating organizations and oversight groups as quickly as possible, the YMP has encouraged scientists to prepare and submit record packages in logical interim groups for on-going investigations. Activities that occur continuously, such as radiological or environmental monitoring, may submit technical data record packages on a quarterly or semiannual basis. Other activities may produce better groupings of data on an annual basis or at the completion of a report or journal article. Regardless, the scientists are making the data available throughout the process, rather than waiting until the end of the activity.

WHERE DOES TECHNICAL DATA MANAGEMENT END AND RECORDS MANAGEMENT BEGIN?

This question has caused a great deal of discussion at the YMP. When the current records management program was being developed in 1988, a function called a Local Records Center (LRC) was defined. The LRCs provided records management services within each participating organization. The LRC inspected records received from records sources, duplicated the records and retained a second copy while the first was in transit to the YMP Central Records Facility (CRF) for processing. The LRC staff performed retrievals, provided records management training and provided other records management support services.

The LRCs were also designated as places where records could be stored from the

time that they were completed until the Principal Investigator was ready to send them to the CRF. Principal Investigators were encouraged to group the records that they developed into record packages before sending them to the CRF. The records that were intended to be part of a future record package were submitted to the LRC as record package segments until all the records that belonged in a package were ready to be transmitted. This process enabled the records management staff to preserve and protect the records until they were transmitted and permitted knowledge of and controlled access to the record package segments.

When the technical data management system was being implemented in 1989 - 1990, the YMP decided that it made sense to use existing processes and systems, rather than creating new ones. The procedures for the control and tracking of technical data specified that technical data should be submitted to the appropriate LRC as record package segments as soon as the Principal Investigator could part with it. When it was submitted to the LRC, it was identified in the Technical Data Tracking System through the creation of a Technical Data Information Form (TDIF). The TDIF was sent to the CRF so that the CRF staff could enter the metadata (descriptive information about the data) in the Tracking System. A copy of the TDIF was retained with the data (record package segment) and was transmitted with the record package segment when the completed package was sent to the CRF. The TDIF provided indexing information for the CRF to use in the records management data base. The CRF staff also provided a cross-reference in the Technical Data Tracking System to the accession number used to index the data in the records management data base.

In late 1991, several things caused the separation of these two processes. During an audit of one participating organization, the YMP QA organization became concerned because the LRC was accepting record package segments from Principal Investigators and storing the records without having inspected them for compliance with all records management criteria. At about the same time, the YMP Records Manager became concerned about the need to keep the functions, responsibilities and budgets of records management and technical data management separate. There was also a need by participating organizations to store data in various places and formats so that it was accessible to the appropriate staff or was available in an electronic format. As a result, the Technical Data Tracking System was severed from the records management system until the completed record packages were ready to be sent to the CRF.

Separate functions called Participant Data Archives were established to perform the temporary storage functions. The staff responsible for the Participant Data Archives also entered the TDIF information into the Technical Data Tracking System. When the package was received in the CRF, the TDIF was still used to provide some indexing information and the CRF personnel still provided the cross-references in the Technical Data Tracking System.

These actions resulted in some confusion on the part of records management

personnel and Principal Investigators. The Principal Investigators became confused about which were records management requirements and which were technical data management requirements. Since the Principal Investigators had to meet both sets of requirements for the management of their data, they had to sort out when those requirements applied. The records management staff were also unsure about when they should be involved with the technical data.

WHEN DO RECORDS MANAGEMENT REQUIREMENTS APPLY TO TECHNICAL DATA?

If one assumes that technical data are Federal records at inception, it would appear that records management requirements should be considered in the generation of that data. Standards for legibility and completeness, methods of error correction, processes for supersession and revision should be applied from the time that data are being generated.

Records managers at the YMP have historically been very proactive in their approach to managing YMP records. In addition to providing a safe haven for completed records prior to their official submittal for processing, records managers have provided training on records management requirements, and, in many participating organizations, have worked with Principal Investigators as data were being generated to ensure that the records were developed and handled to meet all requirements. Fireproof safes and file cabinets were provided in close proximity to work areas -- even at the Nevada Test Site -- to protect data while they were still in process. Records management staff help Principal Investigators prepare record package segments for submittal to the LRC and record packages for submittal to the CRF.

When records management and data management were severed, the resulting confusion led to some duplication of efforts. Records management staff have been hesitant to involve themselves in the management of technical data due to the division of responsibilities. The staff in the Participant Data Archives were, in essence, managing record package segments (now called data package segments). In order to assist Principal Investigators in the compilation of record packages, the Participant Data Archives staff had to understand and apply records management requirements.

When the technical data are submitted to the LRC, the records management staff inspect the record packages to ensure that records management requirements are met. Any problems have to be worked out with the Principal Investigator, often with the assistance, or through, the Participant Data Archives staff. The records management staff also need to interact with the technical staff so that an understanding of the technical data is sufficient to process it. These discussions are often conducted through the Participant Data Archives staff.

Regardless of the division of labor, records management personnel are becoming increasingly involved with the technical data earlier in the acquisition and development processes. Training, workshops and one-on-one support by records management personnel help educate people as to the QA, Federal and DOE requirements for records. As the records management staff become more involved with the Principal Investigators and Participant Data Archives personnel in the processing of technical data, the Principal Investigators and Participant Data Archives staff become more aware of the need to have the data being generated by the YMP meet all records management requirements from the time of generation.

Corrective action is always more costly than doing it right the first time. The involvement of records management personnel early in the process can save a good deal of future corrective action. Procedures being developed to govern tests and analyses can be written to specify clearly the information that will be generated and its disposition. The influence of records management can help assure that the data are generated in accordance with legibility and completeness standards. The data can be generated on or transferred to media that are acceptable for processing and storage by the records management system. Corrections, qualifications and supplements can be created and documented appropriately. If records management staff wait until the technical data are submitted for processing before becoming involved in the process, significant rework is likely to be necessary. And some data will be lost in the process because it will be illegible, untraceable, in a format or medium that is not usable or otherwise deficient.

WHAT RULES APPLY?

Federal record requirements, the QARD requirements, other DOE requirements and program requirements all apply to technical data generated at the YMP. Some of these requirements are, or appear to be, in conflict. An example is the designation of retention periods for records. The QARD specifies that records should be designated as lifetime or non-permanent. Federal requirements identify the designations of permanent, temporary, and non-record material. Although sometimes confusing, these are not actually conflicting. Both of the QARD categories are temporary. The QARD does not envision the need to retain records for the life of the republic for nuclear quality assurance purposes.

The National Archives might determine, through its review of the DOE's proposed disposition schedules, that some or all of the technical data records should be designated as permanent. In this, and other cases of real or apparent conflict, the most stringent requirements must be applied while ensuring that the application of lesser requirements can also be verified. In this example, the records determined to be permanent would be classified as such. But they would also need to be flagged as lifetime or non-permanent for QA purposes.

WHOSE SYSTEM IS THIS ANYWAY?

One of the issues at the YMP was who should manage technical data. Should it be the information resources management staff who are charged with providing the most efficient, cost effective systems? Or should it be the scientific staff who are defining the tests and overseeing the site characterization efforts? Or should it be the engineers who are going to use the data generated by site characterization to do performance assessment and, potentially, to design a repository?

Since the term "data" conjures up bits and bytes to computer people, some in the information resources management organization initially believed that they should manage technical data. However, further investigation showed that technical data included much information that was not computerized. Technical data comes in a wide variety of forms and media.

The primary concern of technical data management is the traceability of data to precedent data and samples from which they were derived. Traceability is necessary to ensure that the results of tests and analyses are verifiable. Also of concern are (1) having the appropriate data available when and in a form that is required and (2) meeting the agreed-to goal to identify that data exists soon after they are acquired or developed. With nine major participating organizations performing work at the YMP that relies upon data generated by others, both traceability and availability are important. Project management must ensure that the tests and analyses are conducted in the appropriate sequence so that data needed by one participant is available when it is needed by another participant to do its work. And agreements with the NRC and other oversight bodies require that the existence of data be publicized and made available for use within an agreed-upon time frame.

The primary goal of information resources management with regard to technical data is to make sure that the appropriate systems are available to manage the data effectively and that the data are shared, where appropriate, rather than duplicated. Information resources management also wants to make sure that the technical data is available in the form it is needed during the life of the YMP and afterward, as appropriate, to the National Archives.

It soon became obvious at the YMP that technical data had to be managed by the technical staff. Since the primary focus of the YMP at this time is to perform scientific investigations to determine if Yucca Mountain Nevada is a suitable site for the potential high level nuclear waste repository, the management of technical data logically falls to the Regulatory and site Investigations Division. However, the technical data management staff must coordinate closely with the engineering and performance assessment staff to assure that data are available when needed. And, the technical data management staff must work closely with information resources management. Information resources management provides the

infrastructure within which technical data management manages its data. Computer, software and telecommunications systems are critical to the acquisition, development, analysis and management of technical data. And an effective records management system must work hand-in-glove with the technical data management system to ensure responsiveness to requests for information. They must also work effectively together to ensure that technical data is available to the records management system in the appropriate form at the appropriate time with the appropriate traceability to support a license application.

SUMMARY

The issues surrounding technical data as records at the YMP are many and complex. Technical data are records; all are Federal records at the YMP; and some are QA records. Technical data become records when completed (verified and authenticated for QA) or when submitted to the records management system. Technical data management and records management address different needs for many different purposes. Information resources management provides the infrastructure for the management of technical data. Ensuring the availability of technical data to those who need the data when they need the data and providing traceability for the data are among the primary concerns of both technical data management and records management.

At the YMP, these two processes are interrelated and well interfaced to meet the requirements of both systems from the initial acquisition of technical data through its use to its final disposition.

DEFINITIONS OF TERMS

Central Records Facility: An organization at the YMP responsible for receiving, controlling, indexing, imaging, storing, preserving, retrieving, distributing, and disposing of official program records.

Local Records Center: An organization designated to receive, inspect, protect, and retrieve records and to transmit records to the Central Records Facility.

Oversight Groups: The Nuclear Regulatory Commission, the State of Nevada, affected local governments (county, city, town), affected Native Americans, environmental groups, and other parties involved or interested in the potential siting of a high-level nuclear waste repository at Yucca Mountain, Nevada.

Participant (Participating Organization): An all-inclusive term used to describe the various organizations involved in the Project. This term includes the DOE Project Office, support contractors, national laboratories working on the Project, the United States Geological Survey (working under an interagency agreement), and their subcontractors, consultants and vendors.

Participant Data Archive: A facility or computer system or both that provides controlled interim storage of acquired or developed data prior to transfer of the data to the Central Records Facility.

Principal Investigator: The individual who has technical responsibility for a particular technical task. This responsibility includes, but is not limited to, planning and cost control, the day-to-day technical direction and control of the item or activity, and the assembly of a support team to accomplish the item or activity. This term may be synonymous with task leader or project engineer.

Technical Data Tracking System: An information management system designed to maintain descriptions of data resulting from acquisition and development activities.

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ADDENDUM TO PAPER

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT OVERVIEW

The Nuclear Waste Policy Act of 1982 (NWPA) established a national policy for safe storage and permanent disposal of spent fuel and high-level radioactive waste. Congress assigned primary responsibility for development of a radioactive waste management system to the Department of Energy. The concept of a deep geologic repository was selected as the safest and most feasible method for permanent disposal of high-level radioactive waste.

The Department of Energy/Office of Civilian Radioactive Waste Management (DOE/OCRWM) was formed in 1983 to administer the responsibilities delegated to the DOE by the NWPA. In February 1983, DOE/OCRWM identified Yucca Mountain, Nye County, Nevada, as one of nine potentially acceptable repository sites. The sites were evaluated as to their suitability. In May 1986, the number of potential sites were reduced to three. In 1987, based upon further evaluations, the NWPA was amended directing the DOE to characterize only the Yucca Mountain site, and to suspend characterization studies in Washington and Texas.

The Yucca Mountain Site Characterization Project Office (YMPO) in Las Vegas, Nevada, has local responsibility for the scientific investigations to determine if Yucca Mountain is a suitable repository site. The Yucca Mountain Site Characterization Project (YMP) involves the scientific investigation of Yucca Mountain and surrounding areas and the engineering analysis of natural and man-made barriers to the movement of radionuclides to the accessible environment.

The YMP work force includes scientists from diverse disciplines as well as engineers and other support personnel employed by the DOE, its contractors, several national laboratories, the United States Geologic Survey, and many colleges and universities.

Extensive testing, engineering analyses and modeling are required to determine if Yucca Mountain is a suitable site for the potential deep geologic repository. A 6,000 page document, the Yucca Mountain Site Characterization Plan, was required to describe the numerous surface, underground and climatological studies that must be performed to evaluate the site's suitability. During site characterization, the DOE/OCRWM must also evaluate environmental and socioeconomic conditions that are not defined in the Site Characterization Plan.

All data gathered during site characterization must meet strict quality assurance requirements to be acceptable for Nuclear Regulatory Commission licensing. While some of the site characterization activities will rely on "cutting edge"

technology and some of the country's top scientists to gather and analyze data, exemplary scientific work alone is not enough. Project staff and their contractors have to follow stringent Quality Assurance procedures to ensure that all data are verifiable. The Nuclear Regulatory Commission will require traceability of all scientific samples and data gathered or generated during site characterization.

Site characterization will require approximately ten (10) years, assuming that no disqualifying condition is uncovered prior to the completion of characterization activities. Throughout that time, contractor companies and Project personnel will change, as they have during the early evaluation and preparation phases of the program. In addition, samples or data acquired or developed by one contractor or laboratory may be used by one or more other contractors or laboratories for further analysis. Therefore, the tracking system must handle more complex interrelationships among data over longer periods of time.

The Nuclear Waste Policy Act of 1982, as amended, specifies a that the licensing process for construction authorization must be completed within a three-year time period (with a possible one-year extension). That period of time is shorter than that typically required to license most nuclear power plants -- on the average 10 years.

Because of the short licensing time frame, data must be made available to interested parties in advance of the submission of the license application so that independent investigations may be performed to substantiate or dispute those of the DOE.

TECHNICAL DATA ARE RECORDS AREN'T THEY?

PRESENTED TO

DOE RECORDS CONFERENCE

PRESENTED BY

JAN STATLER
SCIENCE APPLICATIONS INTERNATIONAL CORPORATION

JUNE 15, 1993

DEFINITIONS

- **Central Records Facility**

  An organization at the YMP responsible for receiving, controlling, indexing, imaging, storing, preserving, retrieving, distributing and disposing of official Program records.

- **Local Records Center**

  An organization designated to receive, inspect, protect, and retrieve records, and to transmit records to the Central Records Facility.

DEFINITIONS

(CONTINUED)

- **Oversight Groups**

  The Nuclear Regulatory Commission, the State of Nevada, affected Local governments (county, city, town), affected Native Americans, environmental groups, and other parties involved or interested in the potential siting of a high-level nuclear waste repository at Yucca Mountain, Nevada.

DEFINITIONS

(CONTINUED)

- **Participant (participating organization)**

  An all-inclusive term used to describe the various organizations involved in the Project. This term includes the DOE Project Office, support contractors, national laboratories working on the Project, the United States Geological Survey (working under an interagency agreement), and their subcontractors, consultants and vendors.

DEFINITIONS

(CONTINUED)

- **Participant Data Archive**

  A facility or computer system or both that provides controlled interim storage of acquired or developed data prior to transfer of data to the Central Records Facility.

DEFINITIONS

(CONTINUED)

- **Principal Investigator**

  The individual who has technical responsibility for a particular technical task. This responsibility includes, but is not limited to, planning and cost control, the day-to-day technical direction and control of the item or activity, and the assembly of a support team to accomplish the item or activity. This term may be synonymous with task leader or project engineer.

DEFINITIONS

(CONTINUED)

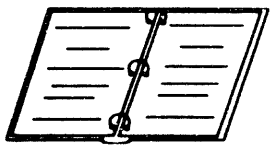
- **Technical Data cking System**

  An information management system designed to maintain descriptions of data resulting from acquisition and development activities.

PROJECT OVERVIEW

- Nuclear Waste Policy Act of 1982
- DOE Office of Civilian Radioactive Waste Management - Established 1983
- Yucca Mountain selected as a potentially acceptable repository site - 1983
  (Yucca Mountain Project Office was established)
- Scientific Investigation - Site Characterization
- Licensing process must be completed within 3 years of application

TECHNICAL DATA ARE RECORDS AREN'T THEY?



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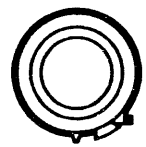

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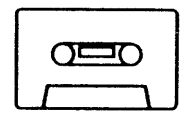

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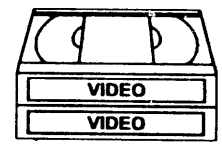

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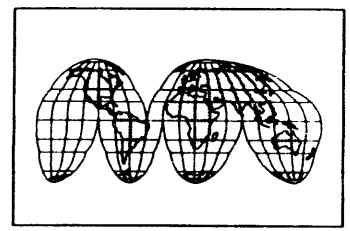

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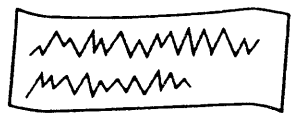

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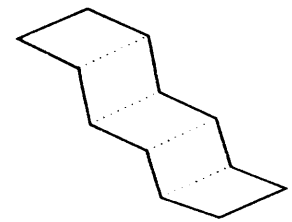

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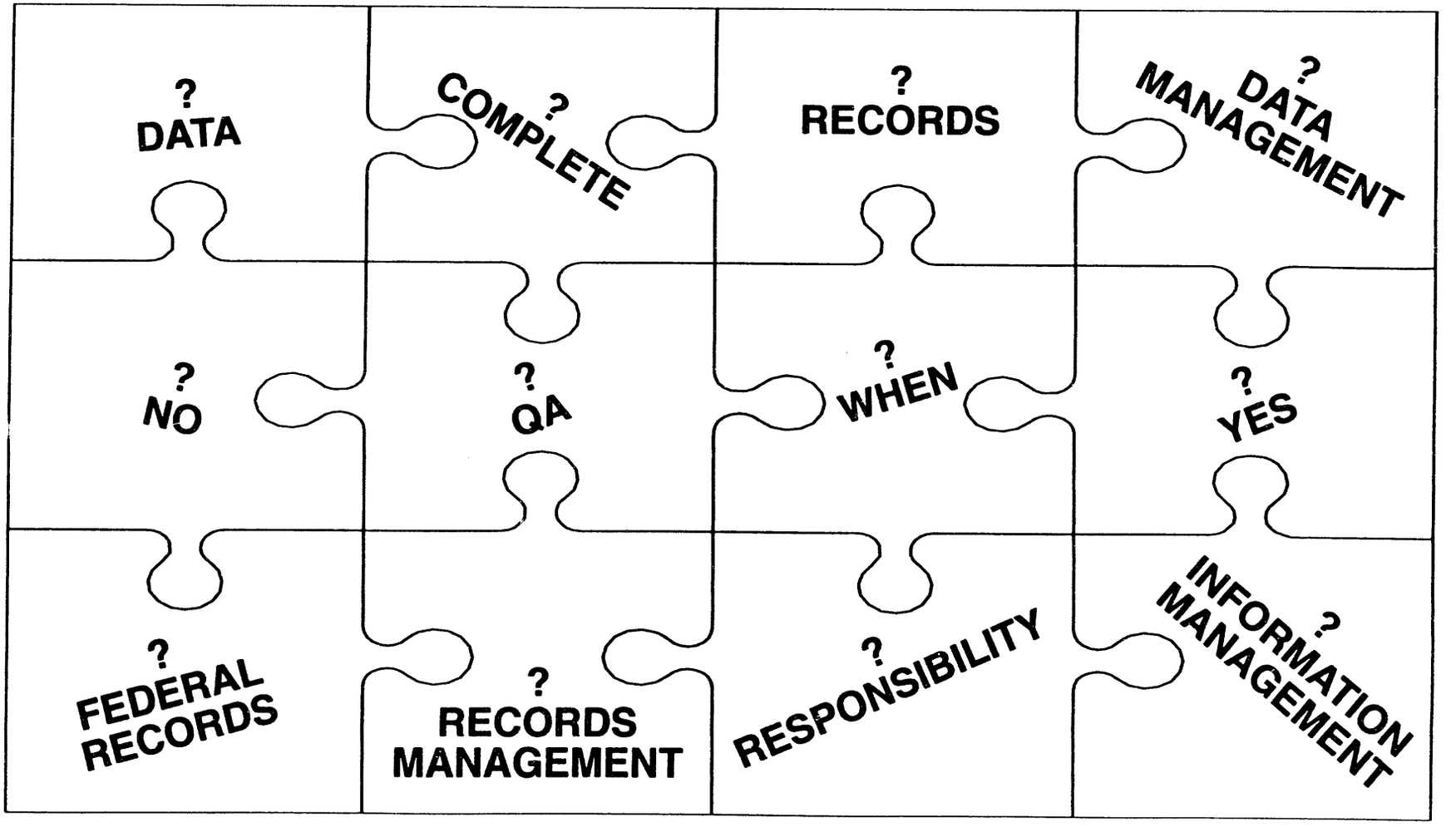
PUZZLING QUESTIONS



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TECHNICAL DATA

- Scientific, environmental, socioeconomic, and engineering numerical values or factual information resulting from data acquisition or data development activities.

- Technical data can be qualitative, quantitative, or graphic. Samples (core, soil, grab, water, etc.) are not in and of themselves technical data.

(AP.5.1Q, Item 3.10)

TECHNICAL DATA RECORDS

QA RECORDS

Records that furnish documentary evidence of quality. (NQA-1, Section 17)

Records that furnish evidence that items or work comply with QARD Requirements. (QARD, Glossary)

FEDERAL RECORDS

"Records" includes all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal Law or in connection with the traction of public business, and preserved or appropriate for preservation by that agency or its successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government or because of the informational value of data in them. (USC 3301)

WHEN DO TECHNICAL DATA BECOME RECORDS?

FEDERAL RECORDS PERSPECTIVE

At the time of acquisition or development

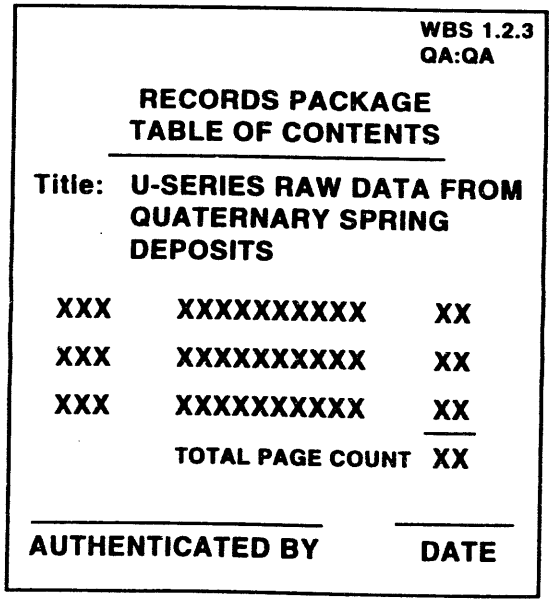
QUALITY ASSURANCE RECORDS PERSPECTIVE

Complete and authenticated.

WHEN DO TECHNICAL DATA BECOME RECORDS?

(CONTINUED)

YMP RECORDS PERSPECTIVE



WBS 1.2.3
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RECORDS PACKAGE
TABLE OF CONTENTS

Title: U-SERIES RAW DATA FROM QUATERNARY SPRING DEPOSITS

XXX	XXXXXXXXXX	XX
XXX	XXXXXXXXXX	XX
XXX	XXXXXXXXXX	XX
	TOTAL PAGE COUNT	XX

AUTHENTICATED BY _____ DATE _____

Records packages are logical groups of related records that are submitted as a unit for processing.

WHEN ARE TECHNICAL DATA COMPLETE?

- Issues
  - Premature release of data may be detrimental to principle investigators' and Projects' best interest
  - Responsibility and interface between technical data management and records management must be defined
  - Need for data to be available to other participating organizations and oversight groups as quickly as possible

WHEN ARE TECHNICAL DATA COMPLETE?

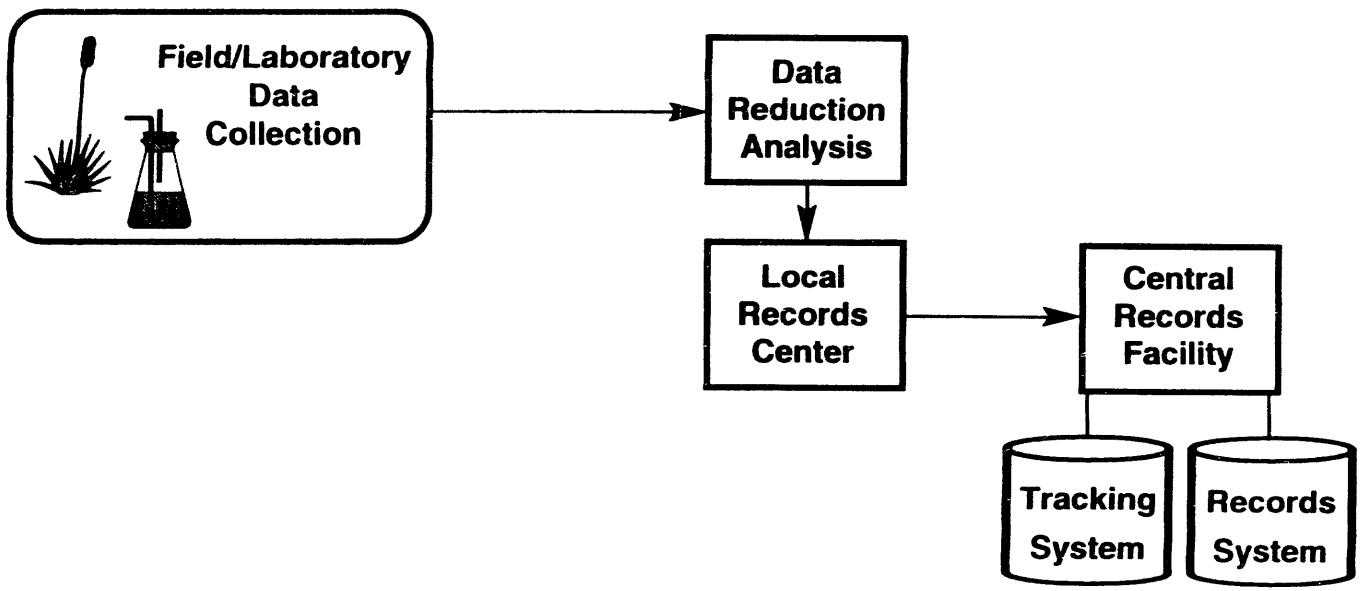
(CONTINUED)

- YMP Resolution
  - Scientists must identify data in tracking system as soon as acquired and developed
  - Data must be submitted to the CFR in logical groupings based on predefined schedule (considered complete for records purposes)

WHERE DOES TECHNICAL DATA MANAGEMENT END AND RECORDS MANAGEMENT BEGIN?

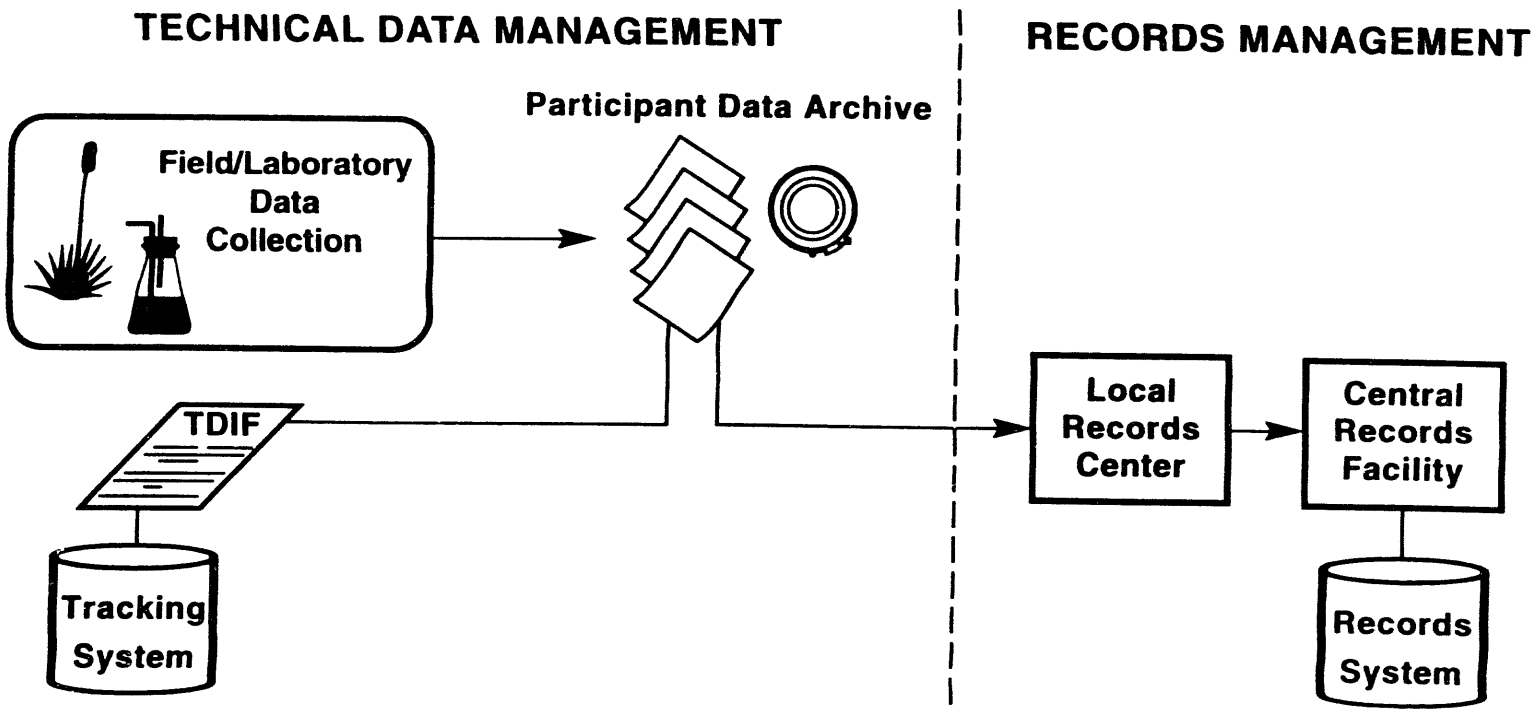
History of YMP Technical Data Management

1989 - Local Records Center originally stored and tracked technical data as records package segments.



WHERE DOES TECHNICAL DATA MANAGEMENT END AND RECORDS MANAGEMENT BEGIN?

1990-91 - Technical Data Management separated from records management.
- Participant data archives established to temporarily store data.



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WHERE DOES TECHNICAL DATA MANAGEMENT END AND RECORDS MANAGEMENT BEGIN?

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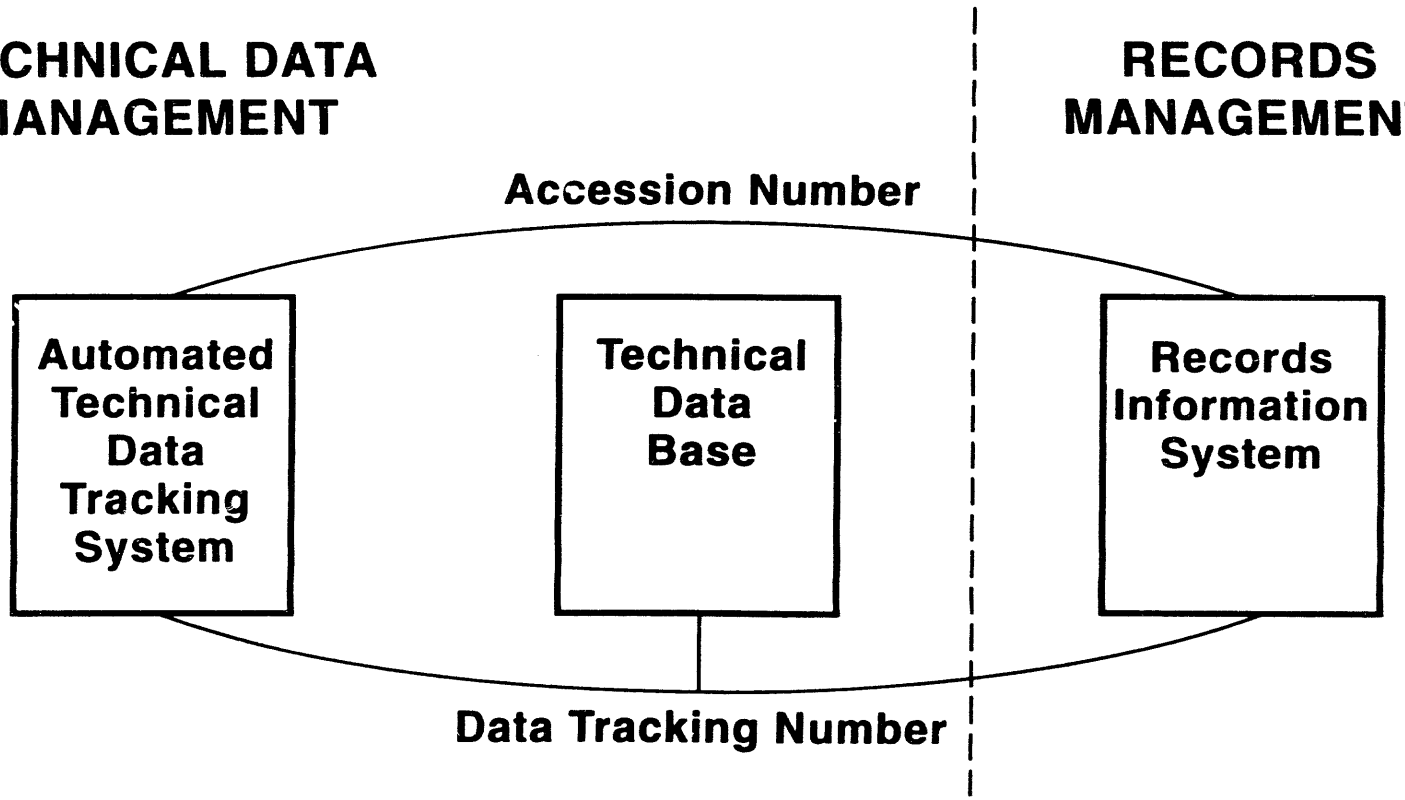


WHERE DOES TECHNICAL DATA MANAGEMENT END AND RECORDS MANAGEMENT BEGIN?

(CONTINUED)

- Each system has defined responsibility from acquisition through final disposition of the data.
- Because the data are records, records requirements apply when data are acquired.
- Together the two systems meet the needs and requirements of the Project.
- The system interfaces provide traceability of technical data.

WHAT RULES APPLY?

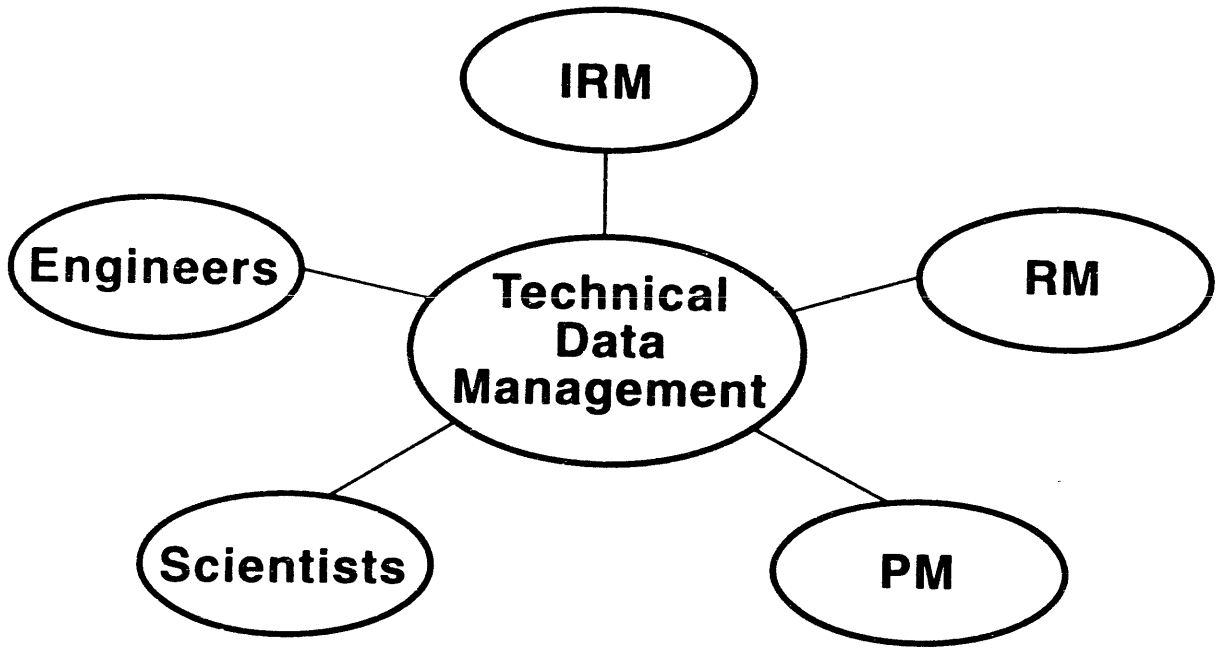
- Federal Records Requirements
- NQA-1 Requirements (quality assurance records)
- DOE Requirements
- Program Requirements

WHOSE SYSTEM IS THIS ANYWAY?

- Information Resources Management?
- Records Management?
- Technical Data Management?
- Project Management?
- Engineering Staff?
- Scientific Staff?

WHOSE SYSTEM IS THIS ANYWAY?

(CONTINUED)



Technical data management is at the hub, coordinating with all of the interfacing functions.

SUMMARY

- Technical data appear in many forms
- Technical data are records
- The need for protecting data as well as the need for sharing data can be balanced
- Technical data management and records management together provide traceability and availability of data
- The management of technical data requires interface coordination
- The many questions and complexities about technical data <u>can</u> be resolved

ELECTRONIC MAIL - LEGAL AND RECORDS ISSUES

Tom Dercola
DOE-HQ IRM

ELECTRONIC MAIL - LEGAL AND RECORDS ISSUES

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ELECTRONIC MAIL - LEGAL AND RECORDS ISSUES

A Speech Presented by Thomas P. Dercola
Senior Management Analyst, DOE Records Management Division
at the
1993 DOE Records Management Conference
June 16, 1993

Good morning!

Well, here we go into the second half of our Conference and I'll take this opportunity to add my personal thanks to the Conference Committee for all of the hard work they've done to bring this off again this year. Congratulations! Actually, this is the first Conference I have attended in the most recent series, and it is good to see some of the old familiar faces again. I guess some of you people are just gluttons for punishment to hang in there all of these years! And Bill Hatmaker from Oak Ridge --- you had escaped out of records management years ago, and now look at you -- you are back again! Bill! Get a life! I'm just kidding, my friend -- good to see you here. And Biff Henley, retired former DOE Departmental Records Officer, now an 8A contractor-type -- Biff: Wouldn't you rather be down in Hilton Head playing 18 a day? I don't get it, but it's good seeing you all again!

Earlier this year, when District Court Judge Charles Richey made his rulings in the Scott Armstrong vs. George Bush case, I was asked by my office to work up a synopsis of the case and to make a recommendation on what DOE Headquarters should do, if anything. As I read the lengthy text of the case, with all of the footnotes, the numbing legal citations and cross references, and

so on -- one thought kept going through my mind: Why me, Lord? I'm not a lawyer -- I don't even <u>like</u> lawyers! (And by the way: Do you know the difference between a dead skunk in the road and a dead lawyer in the road? The skunk has skid marks in front of him!)

At one point in reading the case, I had to wade through a deposition taken from an expert on the PROFS E-mail System, which is a prominent factor in the Armstrong case. The PROFS techie explained in excruciating detail <u>all</u> of the technical aspects of the system, and the same thought went through my mind: Why me, Lord? I'm no expert in E-mail! Well, eventually my synopsis was completed -- the deed was done.

And now, 5 months later, I stand here this morning -- a living example of one of my favorite of Murphy's Laws: "No good deed goes unpunished."

Actually, what I would have preferred to do <u>instead</u> this morning is to wow you with my <u>real</u> talent: I was going to bring out the ol' squeeze box and play a couple of hundred choruses of "Lady of Spain," complete with the ever-popular "bellows shake." Unfortunately, my monkey died last week and playing the squeeze box without the monkey around is as hard for me to do as talking intelligently about the subject for this morning.

But, to get serious for a moment: It's a real rush for me to be

here with so many folks who are so sharp, who are doing some really neat things, and who bring a fresh perspective to some of these nagging problems we face today. And some of you are so young! I heard a couple of you yesterday give terrific presentations, which was remarkable insofar as you were introduced as only being in the records management game since the late 1980s. You know, I've got SF-115s that have been waiting for my review that are older than that! But, anyway, let's just say that I've been inspired by your enthusiasm and interest this week, and if you'll bear with me a little while, I'll try to wade through my topic for this morning. Eventually I'll get back to the Scott Armstrong case -- which is the main thrust of this discussion -- but first, before I begin, I'd like for us all to take an instant survey about electronic mail. This will serve a couple of purposes: to gather data, and mostly, to see if you're still awake at this point!

Would you please raise your hand and keep it raised if you are an E-mail user. Now, of those of you who have your hands raised, if you have ever sent an E-mail message which had nothing to do with official business, please take your hand down. Are there any hands still up there? Well, I'm surprised to see a number of hands still in the air! Well, you are hereby awarded the "Federal Purity in Electronic Mail Award" and you can pick up your award at the "Goody Goody Two Shoes Booth" outside. For the rest of you, you're probably all criminals worthy of at least one

appearance on "America's Most Wanted."

If you're like me, you've found E-mail to be a very handy tool which has come on the scene. It's convenient, it's fast, and usually your communication is not going to get lost in the mailroom or buried in an office in-box somewhere. But, it certainly is raising new issues and concerns about a number of things such as the privacy issue; and about its role in ensuring what the Federal regulations call "adequate and proper documentation" of the things we do every day in the course of conducting our business. Some view the privacy issue as being of paramount concern. It gets real personal when one is presented with the possibility that those private, office gossip-type messages that one has sent may have been monitored by a supervisor! Yes, Virginia, there is a Santa Claus -- and he may be reading your E-mail! Time Magazine recounted a recent case where two employees sent some disparaging messages back and forth concerning their supervisor at a California subsidiary of Nissan Motor Corporation. The supervisor, who had heard that some steamy conversations were ongoing in the company's E-mail system, began monitoring messages. After she discovered the disparaging messages of which she was the subject, she threatened the two employees with dismissal. The employees then filed a grievance complaining that their privacy had been violated; and they were fired. The employees sued for unlawful termination, but their case was dismissed. Simply put, Nissan effectively argued that

the company owned the computer system and its supervisors had every right to monitor its contents.

The way the Electronic Communications Privacy Act of 1986 reads, unless there's proper authorization, such as a search warrant, the law prohibits "outside" interception of E-mail by a third party -- such as the government, the police, or an individual. But the law doesn't cover "inside" interceptions, such as the Nissan supervisor's listening-in tactics.

Are interoffice communications ever considered to be private? Well, courts have ruled that they've private only if employees had a "reasonable expectation" of privacy when they sent the communications.

Some E-mail diehards are going the extra mile to protect their privacy: They scramble their messages with encryption codes. The problem with that is that it merely complicates things and defeats the thing that makes E-mail so attractive -- convenience!

Well, if privacy is your main legal concern because you insist on using an E-mail system for private communications, or because you're involved in some off-the-wall criminal activity, the advice for you is to limit your discussions to the telephone or, better still, face-to-face conversations!

But seriously folks: If you're a historian, a public policy researcher, a media reporter, or, -- yes -- a records manager, the above-mentioned practical guide to covering your backside will most certainly be met with the gnashing of teeth and pounding of fists, particularly if, for example, top-level agency officials choose to conduct sensitive agency business face-to-face, and shy away from E-mail or, for that matter, any other documentation process. The public has not been shy in continually reminding DOE officials that we in DOE are their civil servants doing the public's business at the public's expense. They remind us from time to time that they have a right to expect that, first of all, those of us in the Government are creating -- or should be creating -- and maintaining documentation in a variety of media, to support the conduct of the Government's business. And guess what? They do know about the Federal Records Act. Second, those folks out there continually remind us that they have a right to access the general body of data and information which we've created and assembled at their expense.

Interestingly, the President -- one could say he's the Nation's #1 civil servant -- also creates, maintains, and disposes of so-called Presidential records, and the President does this under distinctly different authorities which are found in the Presidential Records Act. Even the definition of Presidential records differs from Federal records, whose definition I'm sure

is near and dear to your hearts.

Presidential records are "documentary materials produced or received by the President, his staff, or units or individuals in the Executive Office of the President the function of which is to advise and assist the President." Presidential records, to the extent practicable, must be identified as such (or identified as personal papers of the President) as the records are created or received, and they must be filed separately from Federal records. The President is basically his own disposition authority. Whereas Federal agency records disposition schedules must be approved by the U.S. Archivist, the Archivist does not approve the President's records schedules.

Another distinction regarding Presidential records: They are not subject to being made available to the public through the Freedom of Information Act; whereas Federal records must generally be made available.

So, what does all of this have to do with electronic records and E-mail, which is the subject we started on. Well, there is a now-famous case which has been in the courts for several years, under various names for the litigants, but basically the same case. It involves Presidential records, Federal records, electronic mail, and many other matters which high paid lawyers have dug up to muddy the waters. I'll try to wade with you

through the muddy water, but I could never hope to understand it all, since I'm not a high paid lawyer. (Yay do we all bow to their obfuscation and fuzification of the English language! Amen!)

In 1989, during the final weeks of the Reagan Administration, journalist Scott Armstrong, obviously a curmudgeon of the first order, and a private organization with which he was associated -- the National Security Archive -- teamed up with several other individuals and organizations and sued the President, and later President-Elect Bush, together with Don Wilson, the U.S. Archivist, and the National Security Council. The suit was to stop the White House from erasing any materials stored on their PROFS computer system. PROFS is the IBM-developed E-mail and calendaring system used by the NSC and the Executive Office of the President. Simply put, there was a fear about the imminent loss of these materials which were thought to contain some super high-powered information, such as Iran-Contra discussions. Armstrong alleged that some of these materials were records within the meaning of the Presidential Records Act and the Federal Records Act, and therefore could not be erased without the approval of the U.S. Archivist.

Armstrong and the other Plaintiffs during that period in January 1989, got District Court Judge Parker to sign a temporary restraining order that the White House (I'm using that term

generically) must not dispose of their PROFS tapes for the NSC and the EOP, nor delete nor destroy PROFS backup files. The White House later agreed to maintain the PROFS information until final resolution of the matter. And then they put the lawyers to work to ensure the information would never see the light of day.

The White House claimed that the District Court didn't have the authority to review the President's and the NSC's compliance with the Presidential Records Act and the Federal Records Act. The District Court disagreed.

The White House also claimed that the Plaintiffs had no legal standing to bring the suit in the first place. The Court of Appeals shot the White House down on that one. But the White House was supported by the Appeals Court which ruled that the lower District Court didn't have the authority to review the President's compliance with the Presidential Records Act.

The White House lawyers got shot down again when the Appeals Court also said that the District Court could indeed review whether or not the NSC's recordkeeping guidelines and directives were arbitrary and capricious. Records managers throughout the Federal universe probably should have breathed a sigh of relief when the Court of Appeals also ruled that there could be no private legal action taken to require that an agency's staff must comply with their own recordkeeping guidelines. That is, the

District Court was only authorized to hear a private legal action against the U.S. Archivist or against the head of an agency on an allegation that either one or both of the individuals had not taken action to prevent the destruction of agency records, or that either one or both of them had not taken action to recover records unlawfully removed from an agency.

More to the point throughout these legal maneuvers was the fact that the White House contended that the destruction of any electronic records or E-mail was okay because staff were told to save any electronic records by printing them out in hardcopy, and that by doing this the hardcopy documentation would be adequate for the public record. Thus, their contention that, once converted to paper, the electronic records could be destroyed.

To add more pseudo drama to the matter, the White House lawyers argued that by saving all these electronic records, it would overload the White House computer system, and therefore they needed purging, particularly insofar as they wanted to free up the computers for the incoming Clinton Administration.

Well, feisty District Court Judge Charles Richey wasn't buying it. He barred the Bush Administration from destroying the PROFS backup tapes. To add insult to injury the Judge declared that the White House, indeed, had violated the Federal Records Act, and that their recordkeeping practices were arbitrary and

capricious. Not satisfied with just giging the White House, Judge Richey also found that U.S. Archivist Don Wilson failed to fulfill his duties under the Federal Records Act; that is, he failed to notify Congress of the possible destruction of Federal records by the White House, and he failed to solicit the Attorney General's help to stop it. The Judge ordered Wilson to, in effect, do his job as he was sworn to do it. The White House next tried to get Judge Richey's ruling reversed, so that the electronic records could be destroyed.

The next significant happening was on January 15 when a three-judge Federal appeals panel ordered the White House to preserve unaltered backup tapes of the entire body of materials in the electronic system. But it also allowed White House personnel to clear their computers for the incoming Administration.

Although Judge Richey's decision was partially overturned, the fact is that the data and information still exists in those backup tapes which the appeals panel ordered to be created before the original electronic material could be destroyed.

There's no question but that Judge Richey -- somewhere along the line -- had been highly sensitized to the questionable recordkeeping practices of past Administrations, and was bent on seeing to it that latter day Administrations would straighten up their act. His conclusion that paper copies of materials in the

PROFS system do not contain all of the information included in the electronic version is something that I believe we all know on an intellectual level. But, from a practical standpoint, some of us in the IRM community have been doing the "ostrich" thing and have buried our heads in the sand in hopes that the issue wouldn't jump up and bite us.

If we didn't already know it, the judge found that some, not all, of the electronic information in PROFS and other similar systems meet the definition of Federal records and must be saved, regardless of whether a hardcopy of the material has been created. In his ruling he stated in part:

> "Such information [as found in the electronic records] can be of tremendous historical value in demonstrating what agency personnel were involved in making a particular policy decision, and what officials knew, and when they knew it."
>
> (Sounds familiar, doesn't it? Remember Senator Howard Baker in the Watergate Hearings asking time and time again, "What did the President know and when did he know it?")
>
> The Judge opined that "when left to themselves, agencies have a built-in incentive to dispose of

records relating to their mistakes or simply do not think about preserving information."

So, there you are -- the battle continues today. Judge Richey is still plugging away. While the defendants' lawyers are trying their best to nullify the impact of the court rulings, the Judge has issued a show cause order as to why he shouldn't hold the defendants in contempt for failing to abide by his previous rulings! As for the Plaintiffs, they're hanging in there, too. They've now asked that the Reagan era tapes be returned to the originating White House agencies for copying and that, for the Bush materials, the defendants be ordered to prove that they are being properly stored, and that arrangements have been made to have the ability for the Plaintiffs to review the electronic information. And as a kicker, the Plaintiffs have asked the Court to have that so-called eleventh-hour sweetheart deal, which was entered into by former Archivist Don Wilson and former President Bush, to be declared null and void. And if you haven't heard of the Wilson-Bush deal concerning control of Bush Administration records -- well, I'm afraid that's <u>another</u> program.

Finally, I'd like to mention the National Archives and Records Administration (NARA), the mother of us all. At this point, NARA is apparently holding its breath, waiting for some divine intervention to provide us with the new covenant, the New

Commandments, and yes, a new Archivist.

In a February 11 memorandum to Agency Records Officers, NARA limited themselves to summarizing the findings and orders of Judge Richey to that point in time. The memo stated that "there is not yet a final judicial resolution in this case, since a notice of appeal has been filed. Thus we cannot make any specific recommendations at this time about what changes, if any, Judge Richey's orders might call for in [agency] recordkeeping practices and the National Archives' current and future guidance." NARA goes on by saying that the Judge "did not find fault with current NARA guidance; rather, he took issue with agency implementation of that guidance." According to NARA, the Judge, in fact, found "agency recordkeeping procedures...to be 'arbitrary and capricious' because the agency did not [do the right things, such as] (a) provide sufficient guidance to allow agency personnel to determine what documentary material should be preserved as a Federal records, and prevent the destruction of Federal records; (b) [the agency did not] provide for the retention of transaction data relating to E-mail; and (c) [the agency did not] provide oversight for records status determinations."

A key point here, in my view, is that the Judge said that if individual staff members (such as recordkeepers or file custodians) are given the authority to make determinations, for

example, on whether something is a record or nonrecord, such determinations must be done within management procedures which provide for adequate training, supervision, and review by records management personnel to ensure that Federal records are being identified and preserved.

Now, I know some of you are getting glassy-eyed at this point, but I suggest that this is a remarkable citation from the Court which actually establishes judicial recognition of the personal skills and knowledge that are required of employees to adequately manage records at the most fundamental level! And what it says to me is that if management does not provide for adequate training, supervision, and review of ongoing activities by qualified records managers, then agency managers are, in effect, breaking the law. Of course, we don't see a whole lot of SES-type IRM officials on "America's Most Wanted" because they didn't manage their records program in compliance with the intents and purposes of the Federal Records Act. But then, we can only hope...HA HA! Just kidding, guys.

And before I conclude, I've got to take issue with NARA's February 11 memorandum, which I quoted in part a minute ago. Remember that NARA stated that Judge Richey "did not find fault with current NARA guidance; rather, he took issue with agency implementation of that guidance." Well, maybe NARA lawyers wrote that, I don't know. But, I'd like to quote a couple of passages

of NARA guidance, and you be the stand-in judge this morning to decide whether NARA guidance jibes with Judge Richey's statements about paper printouts of electronic records being an unacceptable substitute for the electronic records. These are taken from NARA's handbook, "Managing Electronic Records," 1990.

> On page 6, NARA makes an observation that: "Most agencies have determined that word processing documents and other office automation documents must be printed on paper and placed in official files."
>
> Elsewhere on page 19 in the handbook, they state that: "Most agencies have decided to meet their recordkeeping requirements for documents that are created using word processing or electronic mail or messaging by printing those documents in hard copy."
>
> NARA continues: "The success of this approach depends on a clear understanding by all employees of the obligation to print out and file all record material. In these cases [listen to this!], employees should be encouraged to destroy electronic versions of documents created by office automation applications as soon as hard copy documents are filed, unless they ["they" meaning the electronic information] are needed for updating and reissuing."

And finally, NARA guidelines include the following on page B-11: "If the computer is used to produce paper that is maintained in official files, the computer files/documents that created the paper are disposable when no longer needed, REGARDLESS OF ANY OTHER CONSIDERATION ABOUT THE PAPER DOCUMENTS." (As they advised elsewhere in the Handbook, NARA goes on to suggest that one might keep electronic copies of things that are periodically revised so as to avoid having to rekey long documents which are usually changed from time to time.)

I simply throw these out for your own judgement as to the validity of this guidance, in light of the Armstrong case and Judge Richey's rulings. There's no question in my mind that, as is usually the case, obtaining an answer to a complex question usually just leads to more and more other complex questions. And so it is with Armstrong. I'm afraid that NARA, the agencies, and you and I will continue to struggle with managing electronic records.

I have just one final thing to say before I turn this over to you for any questions: The views expressed in the foregoing presentation are the speaker's, and do not necessarily represent the views of DOE, my coworkers, my friends, my neighbors, nor the Academy.

Thank you.

PANEL:

INVENTORYING ELECTRONIC RECORDS

Anna Nusbaum
Kathryn Olson
Sandia National Laboratories

Executive Summary

Inventorying Electronic Records: Sandia faces some challenges in inventorying electronic records due to the variety, volume, and usage of computing equipment in place. We used a team approach to develop guidelines for the records managers to use in inventorying electronic systems. This presentation discusses how the approach was developed and what the outcomes were.

Biographical Sketch

Kathryn Olson has been with Sandia National Laboratories for seven years, as a programmer analyst for the financial systems and most recently as the Records Management analyst for the Records Inventory Project. Kathryn is setting up the Local Area Network for the Recorded Information Department and is the resource person for the electronic records inventory activities. She has a BA in History from the University of New Mexico and a Diploma in Computer Information Systems Technology from the Albuquerque Technical-Vocational Institute.

Biographical Sketches:

Anna Nusbaum has been with Sandia National Laboratories for five years, primarily in the Corporate Policy development areas and as the project leader for the Records Inventory Project. Prior to coming to Sandia, she spent 11 years with Hewlett-Packard in a variety of positions, including site reporting, corporate accounting, software implementation, and training. She has a BA in Sociology from the University of California at San Diego and a Masters in Business Administration from San Jose State University (California). She has been certified in Data Management and sat for Part VI of the Certified Records Manager exam in May (but doesn't know whether she passed yet).

Kathryn Olson has been with Sandia National Laboratories for seven years, as a programmer analyst for the financial systems and most recently as the Records Management analyst for the Records Inventory Project. Kathryn is setting up the Local Area Network for the Recorded Information Department and is the resource person for the electronic records inventory activities. She has a BA in History from the University of New Mexico and a Diploma in Computer Information Systems Technology from the Albuquerque Technical-Vocational Institute.

Inventorying Electronic Records At Sandia

1993 DOE Records Management Conference

June 16, 1993

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This work performed at Sandia National Laboratories supported by the U. S. Department of Energy under contract DE-AC04-76DP00789.
SAND93-1248C

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Inventorying Electronic Records

Challenges to Face

- Sandia has a lot of PCs and systems
  - You name it, we got it
- Employ a wide diversity of hardware, software, and media
  - VAX, IBM, UNiSYS, CRAY, HP, PC's, MAC's, SUN's
  - "Home-grown" and "off-the-shelf" software
  - Diskettes, mag tapes, data cartridges, optical disk, etc.
- Usage of this equipment also varies widely
- Some folks just use it as a tool
- Others stretch the capabilities to the maximum possible
- We were getting recurring questions about how to tackle inventorying this

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Inventorying Electronic Records

Tackle the Opportunities

- Bring some of the Millican & Sandia team members together
- Brainstorm about the challenges
- Document the questions that have been raised
- Integrate brainstorm results, questions, and answers
- Document in way that would be useful
- Implement the techniques

Inventorying Electronic Records

Results of the Brainstorming

What it is we're trying to do here

- Capture the information contained in electronic form
- To manage information we need to know what it is and where it is
- Essential to manage the information that is of value - informational, evidentiary, historical, scientific
- We are doing an inventory to determine what is needed to be managed
- Media diversity adds "wrinkles" to the equation but the basic Information Management principles still apply
- It's the message, not the medium

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Inventorying Electronic Records

The most frequent questions

- How do you inventory, count, deal with storage media?
- Is there a central or corporate computing organization and what is their role or influence?
- What's a system?
- What do we want to know about a system?
- Why is this information wanted?

Inventorying Electronic Records

Solutions through examples

- Information that is clearly non-record on the system, because the system is used as a tool to generate hard copy, which is what is used.
- An electronic index to hard copy files.
- A Sandian uses Microsoft Excel to manipulate data from forms for a report sent electronically to DOE; forms and hard copy is kept at Sandia.
- Floppies are unmarked, appear to be used for backups, sneaker-net, duplicates, etc.

erderm5.drw

Inventorying Electronic Records

What is this thing called a system?

Think of a system as being composed of hardware and software with the purpose of storing, manipulating, and retrieving data, especially when the data primarily exists and is used on the system.

This basic fundamental approach will work regardless of whether the "system" is a stand-alone PC, a LAN or WAN, or a main-frame computer.

Inventorying Electronic Records

Why are we inventorying electronic records?

(It's hard, I can't touch it or read it)

NARA is charged with the preservation of the federal government's history. In order to get the right archival stuff, the right records stuff has to be managed and protected at DOE (& their contractors') level.

Have to think about electronic records at three levels:

- the information itself
- the system that is storing, using, and retrieving the information
- and the documentation that shows how to use and manage

erderm7.drw

Inventorying Electronic Records

It's a matter of perspective.

The user is going to describe the system in terms of information that they put in and get out.

The programmer or system administrator describes the system in terms of its components, programs, and maintenance activities.

Scenarios (Combination of Alternatives and Action Items)

1. Information that is clearly non-record on the system because the system is used as a tool to generate hard copy and the hard copies are what are used.
   Determine this during the interview. If this is the case, do not inventory the system. Indicate this on the blue cover sheet with the quantity and type of floppies or other removable storage media.

2. Have an electronic index to hard copy files.
   "Inventory" the index as the data. If the application is standard, off-the-shelf, indicate that on the inventory sheet for the index. If the application is customized or home-grown, inventory the application separately. If there is extensive documentation, inventory that on the regular inventory form.

3. Sandian uses Excel to manipulate data from data entry forms for a report sent electronically to DOE and a hard copy of the report is retained in the Sandian's files.
   Inventory the hard copy on the regular inventory form. Note on the form the method used for generating the report and include enough information so it is clear the source is paper forms entered into a Lotus worksheet.

4. Floppies - unmarked, appear to be used for back-up purposes or sneaker-net, seem to be duplicates, etc.
   Verify during the interview that these represent duplicates of what is either on the system or what has been generated as hard copy. If that is the case, count the floppies in the reference count and go on. Distinguish, if having to inventory a system, between genuine formal backups and assorted floppies or tapes used for convenience, reference, transport, etc. The former is included on the electronic records inventory form, the other is included in the reference count.

What is this thing called a system?

Think of a system as being composed of hardware and software with the purpose of storing, manipulating, and retrieving data, especially when the data primarily exists and is used on the system. This basic fundamental approach will work regardless of whether the "system" is a stand-alone PC, a LAN or WAN, or a mini- or main-frame computer.

- Strategy - start with the data. If the data only exists on the system (whatever it's size or configuration) and never gets produced in hard copy format (or very rarely), then you have to inventory the data, and possibly the system and its documentation. If the data exists on the system for the purpose of manipulation, convenience, facilitation to generating pretty worksheets and reports in hardcopy form (paper, microfiche, etc.) then inventory the paper and skip the system.

- OK, now the data only lives and is used on the system. Use the electronic records inventory form to describe the data first. Ask all the relevant questions focusing on describing the data. When you get to the system-type questions, determine if the software & hardware are off-the-shelf things or custom-designed/developed things.

  - IF they're off-the-shelf, it will be enough to describe that (thoroughly) on the electronic records inventory form for the data.
  - IF it looks like the software and/or the hardware was custom developed/built here at Sandia OR by the vendor for Sandia, then do a new (separate) electronic records inventory form to fully describe the specific software/application and the hardware. Cross-reference this form to the other electronic records inventory form that is describing the data.

- Of course, if you have to do an electronic records inventory form for the application, then you have to do one for the documentation that describes the custom stuff. USE THE REGULAR RECORDS INVENTORY FORM TO DESCRIBE THE DOCUMENTATION (unless, of course, it only exists as on-line documentation. Then include it in the electronic records inventory form for the application.) Documentation to look for includes things called:
  - programmer documentation,
  - design specifications,
  - user guides,
  - operator guides, and
  - any maintenance or service records.

  You may end up using more than one regular inventory form for this because one individual may not be responsible for the whole spectrum of documentation.

PERFORMANCE IMPROVEMENT TEAM AND STATUS

OF NARA/GAO REPORTS

Ron Shores
DOE-HQ IRM

PANEL:

DIFFERENT APPROACHES TO ACCOMPLISHING THE INVENTORY IN A RESEARCH AND DEVELOPMENT ENVIRONMENT

Lori Hefner
Lawrence Berkeley Laboratories

Nancy Pruett
Sandia National Laboratories

Mary Ann Wallace
DOE-HQ IRM

Eleanor Melamed
NARA

ABSTRACT

How Lawrence Berkeley Laboratory Inventoried Its Records

Lawrence Berkeley Laboratory (LBL) is 75% complete with the records inventory as of May 1, 1993. This presentation will review pertinent facts about Lawrence Berkeley Laboratory and its records management program, how the Laboratory conducted its records inventory, and analyze the advantages and disadvantages of its inventory methodology.

Lori Hefner

Lori Hefner is the Lawrence Berkeley Laboratory Archivist and Records Manager. Ms. Hefner has been an archivist for nineteen years and a records manager for thirteen years. She is a Certified Records Manager as well as a Certified Archivist.

Before joining the Lawrence Berkeley Laboratory, Ms. Hefner worked for the University of Minnesota, the Society of American Archivists, and headed the State of Utah's records appraisal, records management, micrographics, systems studies, and information practices.

By way of academic preparation, Ms. Hefner received a Master of Arts in History at the University of Utah and a Masters of Business Administration from St. Mary's College.

She has published in several scholarly journals.

Lawrence Berkeley Laboratory Presentation

How Lawrence Berkeley Laboratory

Inventoried Its Records

About LBL

- Created in 1931
- Multidisciplinary Basic Science Laboratory
- Stretched on 132 Acres Behind the U.C. Berkeley Campus
- More Nobel Scientists at LBL Than Anywhere in the World
- No Classified Research
- 3,300 Full-Time Equivalent Employees

Lawrence Berkeley Laboratory Presentation

About the LBL Archives and Records Program

- Records Management Has Existed for 35 Years
- Archives Program Has Existed for 10 Years
- Staffed by Four Career Employees
- 30,000 Cubic Feet of Active Records

  18,000 Cubic Feet of Records at National Archives
- Dedicated To Life Cycle Management of Records
- Preserving and Making Accessible Appropriate Records to Primary and Secondary Users
- Share Records Series Descriptions on USMARC:amc

A Message Prompting LBL to Change

Eight Audits Since 1988

- National Archives Evaluation, 1988
- Property Management Audit, 1989
- Technical Safety Assessment, 1990
- National Archives Review, 1990
- Tiger Team, 1991
- General Accounting Office, 1991
- Office of Safety & Health Administration, 1992
- Occupational Health Review, 1992

Lawrence Berkeley Laboratory Presentation

LBL Archives and Records Office Outlook

- Understand & Respect the Scientific Endeavor
- Partnership. Partnership. Partnership!
- A Long Term Perspective
- High Quality Professionalism
- Follow the Law & Do It Right The 1st Time
- Progress Toward the Goal Valued
- Standard Established--Each Division Decides

How LBL Inventoried Its Records

- One Comprehensive Inventory!
  - Epidemiology
  - Records Appraisal and Scheduling
  - Vital Records
    - Emergency Operating Records
    - Legal Rights and Interest Records
  - Quality Assurance

Lawrence Berkeley Laboratory Presentation

How LBL Inventoried Its Records--Critical 1st Steps

- New Policy and Procedure
- Bi-Monthly Two-Hour Briefing For All Employees
- 100 Records Liaison Officers (RLOs) Appointed
- Records Management Handbook
- Guidelines on "How To Inventory"
- Training Workshops
- Presentations To Management
- Educating Others About the Value of the Inventory

How LBL Inventoried Its Records

- Two Methods Emerged
  - 9 Divisions Paid to Have the Archives and Records Office Complete the Inventory
  - 6 Divisions Had Their Records Liaison Officers Complete the Inventory with the Archives and Records Office Giving Additional Training and Feedback

Lawrence Berkeley Laboratory Presentation

How LBL Inventoried Its Records

- For the Nine Divisions the Archives and Records Office Hired Professionals and Para-professionals
  - Recruited Through ARMA and Professional Associations
  - Hired Through Temporary Services
  - Gave Two Weeks of Extensive Training
  - Supervised
  - Weekly Progress Reports

How LBL Inventoried Its Records

- The Software Was Critical
  - Macintosh FileMaker Pro
  - Popular Throughout the Lab
  - Inexpensive
  - Records Liaison Officers Already Trained
  - Easy to Design and Distribute On-Line Form
  - Text Editor and Spell Check
  - Search Capabilities with "Retrieve It"

Lawrence Berkeley Laboratory Presentation

Advantages to LBL's Approach

- Minimized the Total Laboratory Costs
- Minimized the Overhead Costs
- Maximized Archives and Records Office Control
- Increased RLO's Records Management Expertise
- 9 Divisions Voted for Archives and Records with Their Dollars
- Professionals and Para-professionals Hired Were A Tremendous Boost to the Program
- Institutionalized Archives & Records Management Activities
- Relatively Fast Start

Disadvantages to LBL's Approach

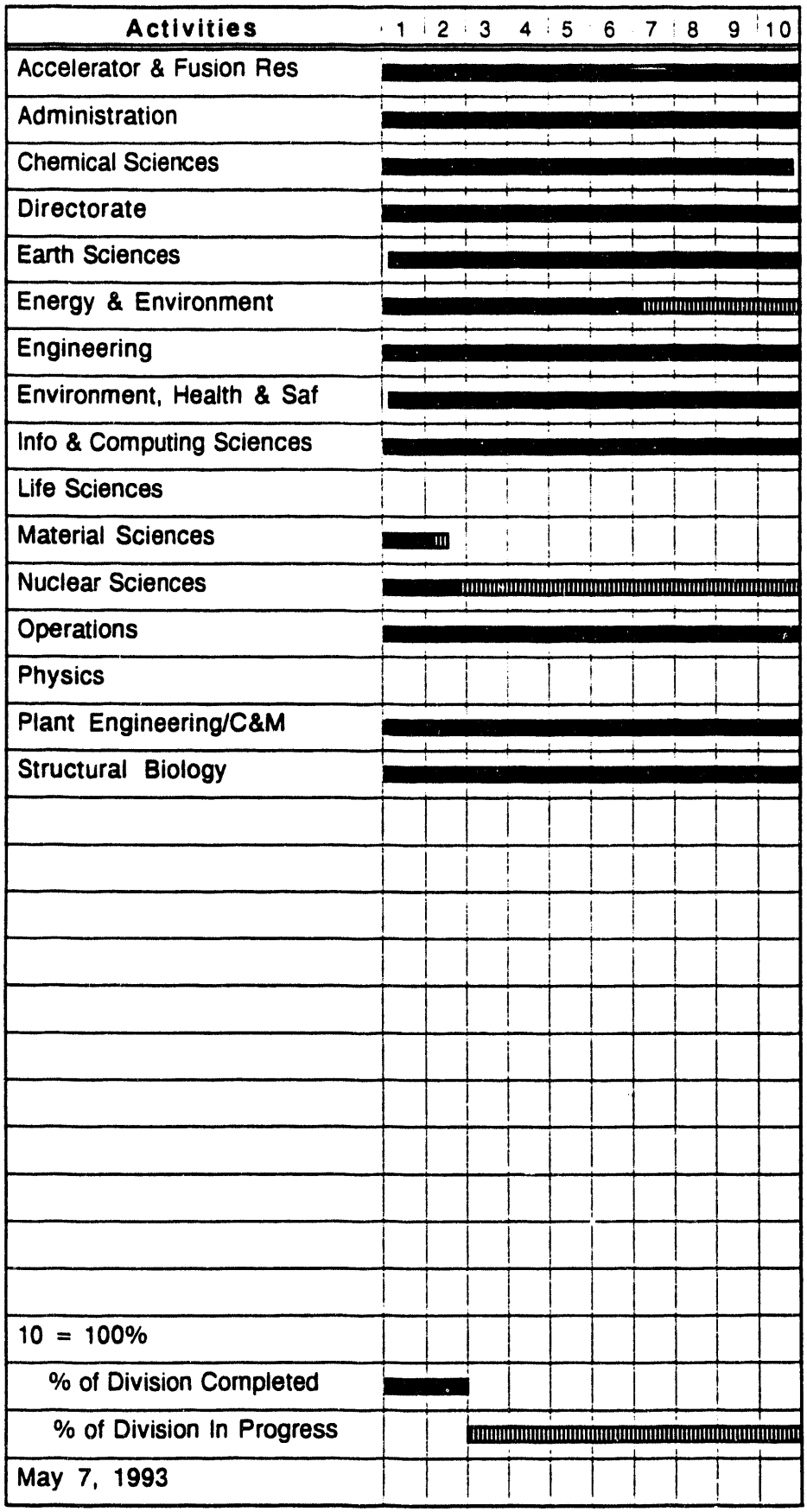
- Uneven Participation Across Divisions
- Training Time & Energy Significant
- Records Series Descriptions Written by RLOs are Generally Weak
  - Feedback and Editing Time Significant
  - Demoralizing for RLOs to Have to Re-write Records Series Descriptions

Lawrence Berkeley Laboratory Presentation

In Conclusion

- 75% Finished with the Records Inventory As of May 1, 1993
- The Right Method for LBL

LBL Records Inventory Progress Report



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1 Cyclotron Road, Building 69-107 • Berkeley, CA 94720
(510) 486-5525

RECORDS INVENTORY

1a. Division	Environment, Health and Safety	Today's Date 11/25/92
b. Department	Health Department	
c. Group or Section	Radiation Assessment--Dosimetry	

2a. Name of Records Liaison Officer Carl Bergsagel	b. Mail-stop 71-237	c. Telephone Number 510-486-6742
d. Name of Person Completing Form Peggy Wells, Archives and Records Office	e. Mail-stop 69-107	f. Telephone Number 510-486-4645

3. Description of Records

a. Series Title
Employee Dosimetry Case Files

b. Dates	c. Volume *(linear feet)*	d. Records Medium *(Click on appropriate*
1947-1992	6 ft. 5,874 records in the electronic system 500 microfiche pages	☒ Paper ☐ Video ☐ Photographs microfiche ☒ Electronic

e. Series Description *(Please use extra sheets if necessary)*

This record series documents the mission of this group to provide external dosimetry service for monitoring radiation exposure to workers. Filed alphabetically by name, information includes individual personal data, monthly and lifetime dosimeter data, radiation exposure, radiation worker form and any investigations of unusual circumstances for exposure. As employees are terminated files are put into an inactive drawer until archived. Since 1982 this information has been kept in a computer database and minimal hard copies kept. The employee dosimeter records database, containing 6,000 records, is run on a Vax machine using Datatrieve software. Input is done weekly and backup monthly. Documentation of the system is included in the Dosimetry Procedures Manual.

New thermoluminescent dosimeter process using WORM technology is in developmental stages.

The last or most recent page of terminated employee dosimetry record case files contained the total radiation exposure dosage for the individual while they were at LBL; in 1991, these last or most recent pages of the terminated employee case files were microfilmed. Completed case files were sent to the Federal Records Center. Duplicate fiche are kept in the Dosimetry office and the Federal Records Center for vital records protection. Epidemiology data elements are: 7, 8, 16, 17, 24, 25, 31, 52, 59, 60, 63, 64, 66, 67.

f. Location of Records 75--Dosimetry office; See Fed. Rec. Ctr. San Bruno, Accession No. 434-92-0116, -90-0112, -90-0104, -92-0001; ARO File Code 1-6-1, 8-7-2, 25-6-3, 8-7-3 (302 cu. ft.)

4. Records Retention Citation	5. If unscheduled, what retention would you recommend?
DOE 1324.2A Sch. 1.6.c; DOE Orders 5480.11, 15; 5484.1.	Cutoff inactive employees every two years and send to Federal Records Center and destroy after 75 years.

Yes	No	*(Please click on appropriate boxes)*
6. ☒	☐	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7. ☒	☐	Will the records series be needed at the LBL Emergency Command Center?
8. ☒	☐	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9. ☒	☐	Does the record series relate to a Quality Assurance project?

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RECORDS INVENTORY

1a. Division	Directorate	Today's Date 11/13/92
b. Department	Deputy Director's Office	
c. Group or Section	Administrative Support Group	

2a. Name of Records Liaison Officer	b. Mail-stop	c. Telephone Number
d. Name of Person Completing Form	**e. Mail-stop**	**f. Telephone Number**
John Stoner, Archives and Records	69-107	510/486-6475

3. Description of Records

a. Series Title
Deputy Director's Office Awards Files

b. Dates	c. Volume *(linear feet)*	d. Records Medium *(Click on appropriate*
1950-	3.0 (Paper) 650K (SPIRES) 769K (FileMaker Pro)	☒ Paper ☐ Video ☐ Photographs _____ ☒ Electronic _____

e. Series Description *(Please use extra sheets if necessary)*

These records document Lawrence Berkeley Laboratory (LBL) scientists who have received awards. This series is made up of paper records and electronic records on FileMaker Pro software and on the Stanford Public Information Retrieval System (SPIRES). This series is historically significant, documenting the standing of LBL scientists in the national and international scientific community.

The paper records (dating back to 1978) include correspondence, committee minutes, articles, Deputy Director's awards letters and brochures and correspondence on individual awards.

Three electronic files run on FileMaker Pro on a Macintosh IIci are used to produce lists of LBL award winners--the Awards File (143K), containing awards information; the Persons File (125K) containing vital data on LBL awardees; and the Winners File (501K), with the names of all LBL awards winners. The Awards Database (650K), run on the SPIRES software on the UC Berkeley Campus IBM 3081-D32 under the VM /CMS operating system, maintains detailed current descriptions as well as historical data (dating back to 1950) of various awards. Reports produced by this program include an awards list, an awards categories list, a quarterly nomination due dates report, and a sponsors' list . Access to this database is restricted, requiring a password. A user's guide is kept with the paper awards records.

f. Location of Records 50A-4119; Epidemiology Data Elements: 8, 17, 20-21, 31.

4. Records Retention Citation	5. If unscheduled , what retention would you recommend?
	Permanent. Cut off paper files every 10 yrs., send to FRC, offer to NARA at 30 yrs. after cutoff.

Yes	No	*(Please click on appropriate boxes)*
6. ☒	☐	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7. ☐	☒	Will the records series be needed at the LBL Emergency Command Center?
8. ☐	☒	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9. ☐	☒	Does the record series relate to a Quality Assurance project?

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RECORDS INVENTORY

1a. Division	Directorate	Today's Date 11/6/92
b. Department	Deputy Director's Office	
c. Group or Section	Programmatic Initiatives Support Group	

2a. Name of Records Liaison Officer	b. Mail-stop	c. Telephone Number
d. Name of Person Completing Form	**e. Mail-stop**	**f. Telephone Number**
John Stoner, Archives and Records	69-107	510/486-6475

3. Description of Records

a. Series Title
Programmatic Initiatives Support Group Major Proposals Documentation Files

b. Dates	c. Volume *(linear feet)*	d. Records Medium (*Click on appropriate*
1981-1991	8.5	☒ Paper ☐ Video ☐ Photographs _____ ☐ Electronic _____

e. Series Description *(Please use extra sheets if necessary)*

These records document major Laboratory program initiatives undertaken over the last decade. These records include the proposal files for a number of initiatives, with the most complete subseries (which comprise approximately 6.0 linear feet of the series) being the following: the Superconducting Super Collider (SSC) Proposal Files, the Chemical Dynamics Research Laboratory (CDRL) Proposal Files; and the National Center for Advanced Materials Proposal (Project NCAM) Files.

These records are composed of standard sized file folders containing statements of goals and objectives, correspondence, early scientific justification, draft notes and budget estimates, drafts of project plans, viewgraphs, construction project data sheets, site plans, organizational charts, performance curve graphs for the laboratory machines, correspondence with program managers and briefing documents and press releases. These records provide extensive and detailed documentation of major Lawrence Berkeley Laboratory initiatives, from inception to implementation and are of significant historical and research value.

Other projects of historical significance documented in these records include the Human Genome Center, the Bevalac Upgrade, and the Advanced Light Source Biology Facility.

A finding aid (a drawer by drawer list of files) exists for this series.

f. Location of Records 50A-4119c; Epidemiology Data Elements: 1-3, 6.

4. Records Retention Citation	5. If unscheduled, what retention would you recommend?
	Permanent. Cut off files after project completion (*pc*); Send to FRC 2 yrs. after *pc*; to NARA 30 yrs. after *pc*.

Yes	No	*(Please click on appropriate boxes)*
6. ☒	☐	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7. ☐	☒	Will the records series be needed at the LBL Emergency Command Center?
8. ☐	☒	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9. ☐	☒	Does the record series relate to a Quality Assurance project?

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RECORDS INVENTORY

1a. Division	Directorate	Today's Date
b. Department	Planning and Development	3/12/93
c. Group or Section	Center for Science and Engineering Education--Director	

2a. Name of Records Liaison Officer	b. Mail-stop	c. Telephone Number

d. Name of Person Completing Form	e. Mail-stop	f. Telephone Number
John Stoner, Archives and Records	69-107	510/486-6475

3. Description of Records

a. Series Title
Roland J. Otto's Center for Science and Engineering Education (CSEE) Director's Math/Science Education Action Conference Files

b. Dates	c. Volume *(linear feet)*	d. Records Medium *(Click on appropriate*
1989-90	2.0 816 K	☒ Paper ☒ Video ☒ Photographs ☒ Electronic

e. Series Description *(Please use extra sheets if necessary)*

This series documents the the Math/Science Education Action Conference, which was held at the Lawrence Hall of Science from October 9 through 10, 1989. This conference and the report it issued led to the establishment, in May 1990, of a U.S. Department of energy (DOE) policy in support of science, math, and engineering education and the establishment of the Office of University and Science Education Programs in the Office of Energy Research (ER). The Office of University and Science Education Programs was headed by the Associate director of ER, who was made responsible for the coordination of DOE science, math, and engineering education programs.

This series is composed of the original working documents generated at the Conference, and the draft and final versions of the Conference report . Also included in this series are videocassettes (10) documenting the conference, the electronic files (on both 12 Sony MFD 2DD 3.5 floppy disks and the hard drive of a Macintosh II, under Microsoft Word) for the conference working group reports (with revisions), and photographs and slides of the Conference. The paper records are maintained in labeled three-ring binders and soft-cover folders. The electronic files are maintained as indicated previously, and the videocassettes and photographs are currently stored with the Director's Video-cassette Files and Director's Photograph Files, respectively.

Records in this series include draft and final versions of conference working groups and working group agendas, lists of participants, speakers, biographies, and baseline information; the final Math/Science Education Action Conference Report, DOE, May 1990; and additional DOE Secretary of Energy Notices and reports relating to math, science, and engineering education.

This series provides complete and original documentation of a significant national conference in which LBL and CSEE was a major participant; it has high historical valuer and should be retained permanently.

f. Location of Records 90-1088; Epidemiology Data Elements: 0.

4. Records Retention Citation	5. If unscheduled , what retention would you recommend?
	Permanent. Cut off every 2 yrs. and send to FRC, San Bruno, Calif. Transfer to NARA when 30 yrs old.

Yes	No	*(Please click on appropriate boxes)*
6. ☐	☒	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7. ☐	☒	Will the records series be needed at the LBL Emergency Command Center?
8. ☐	☒	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9. ☐	☒	Does the record series relate to a Quality Assurance project?

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RECORDS INVENTORY

1a. Division	Earth Sciences Division	Today's Date 2/16/93
b. Department		
c. Group or Section	Geology and Geochemistry	

2a. Name of Records Liaison Officer Pat Bronnenberg	b. Mail-stop 50E-115	c. Telephone Number 510/486-7071
d. Name of Person Completing Form Trina Baker, Archives and Records	e. Mail-stop 69-107	f. Telephone Number 510/486-6475

3. Description of Records

a. Series Title
Strawberry Canyon Research Records

b. Dates	c. Volume *(linear feet)*	d. Records Medium *(Click on appropriate boxes)*
1992-present	1 linear foot	☒ Paper ☐ Video ☐ Photographs _____ ☒ Electronic _____

Series Description *(Please use extra sheets if necessary)*

In the research area of site characterization and surface mapping of proposed waste site management, this series documents the geologic mapping of the Strawberry Canyon area. It includes copies of maps such as an overlay of five previous maps of the area, original maps, field notebooks of bedrock observations, and related correspondence which is drafted on computer , with hard copies being retained. Also to be incorporated into the work and the files are reference materials such as previous technical reports and early maps, which are currently not easily accessible from other sources (such as the Bancroft Library at University of California Berkeley.) The funding for this project is through the Engineering Division at Lawrence Berkeley Laboratory.

Retention Note: Cut off files after completion or termination of project. Send to FRC when no longer needed for reference or article writing, if determined to be of further value.

Epidemiology Data Elements: 0

f. Location of Records 50C

4. Records Retention Citation	5. If unscheduled , what retention would you recommend?
Review every 5 yrs until technical review reveals no research value.	

(Please click on appropriate boxes)

	Yes	No	
6.	☐	☒	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7.	☐	☒	Will the records series be needed at the LBL Emergency Command Center?
8.	☐	☒	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9.	☐	☒	Does the record series relate to a Quality Assurance project?

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RECORDS INVENTORY

1a. Division	Earth Sciences Division	Today's Date 2/3/93
b. Department		
c. Group or Section	Geology and Geochemistry	

2a. Name of Records Liaison Officer Pat Bronnenberg	b. Mail-stop 50E-115	c. Telephone Number 510/486-7071
d. Name of Person Completing Form Trina Baker, Archives and Records	e. Mail-stop 69-107	f. Telephone Number 510/486-6475

3. Description of Records

a. Series Title
Transport through Subsurface Models Program Writing Documentation

b. Dates	c. Volume *(linear feet)*	d. Records Medium (*Click on appropriate boxes*)
1977-present	16 linear feet	☒ Paper ☐ Video ☐ Photographs _____ ☐ Electronic _____

e. Series Description *(Please use extra sheets if necessary)*

This series documents the writing of computer programs to model transport problems of mass, fluid, and heat through the earth's subsurface. They are created for use at Lawrence Berkeley Laboratory only. This series of files is organized by completed project arranged chronologically, including: Non-equilibrium Absorption (NONEQ), Thermal Dynamics of Universal Program (TIP), Thermo Hydro Chemical Coupling (THCC), and Transport of Unsaturated Groundwater and Heat (TOUGH). Each program writing project files include math analysis and programming notes, the program, reports related to it, and references used for it. The programs are lodged on Geo and the Center for Computational Seismology (CCS) while being designed using a UNIX workstation and the Visual Editor (VI) only during the design stage; when completed printout copies are made. These paper printouts are described in the series "Programming Computer Output for Transport through Subsurface Models Programs".

Retention Note: Cut off files after completion or termination of project. Send to FRC when no longer needed for reference or article writing, if determined to be of further value.

Epidemiology Data Elements: 0

f. Location of Records 50A-1137

4. Records Retention Citation	5. If unscheduled , what retention would you recommend?
Review every 5 yrs until technical review reveals no research value.	

(Please click on appropriate boxes)

	Yes	No	
6.	☐	☒	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7.	☐	☒	Will the records series be needed at the LBL Emergency Command Center?
8.	☐	☒	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9.	☐	☒	Does the record series relate to a Quality Assurance project?

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RECORDS INVENTORY

1a. Division	Earth Sciences Division	Today's Date 2/3/93
b. Department		
c. Group or Section	Geology and Geochemistry	

2a. Name of Records Liaison Officer Pat Bronnenberg	b. Mail-stop 50E-115	c. Telephone Number 510/486-7071
d. Name of Person Completing Form Trina Baker, Archives and Records	e. Mail-stop 69-107	f. Telephone Number 510/486-6475

3. Description of Records

a. Series Title
Programming Computer Output for Transport through Subsurface Models Programs

b. Dates 1979-present	c. Volume *(linear feet)* .5 linear feet, 10 boxes in FRC storage	d. Records Medium (*Click on appropriate boxes*) ☒ Paper ☐ Video ☐ Photographs _____ ☐ Electronic _____

Series Description *(Please use extra sheets if necessary)*

This series is computer printouts from past programming projects also included in the series "Transport through Subsurface Model Programs Writing Documentation". Much of the material is currently stored in archives and described in Records Transmittal number 19-4-44. It consists of computer output, computer plots, and notes describing program development.

Retention Note: Cut off files after completion or termination of project. Send to FRC when no longer needed for reference or article writing, if determined to be of further value.

Epidemiology Data Elements: 0

f. Location of Records 50A-1137

4. Records Retention Citation Review every 5 yrs until technical review reveals no research value.	5. If unscheduled , what retention would you recommend?

Yes	No	(*Please click on appropriate boxes*)
☐	☒	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7. ☐	☒	Will the records series be needed at the LBL Emergency Command Center?
8. ☐	☒	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9. ☐	☒	Does the record series relate to a Quality Assurance project?

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RECORDS INVENTORY

1a. Division	Earth Sciences	Today's Date 2/16/93
b. Department	Reservoir Engineering & Hydrogeology	
c. Group or Section		

2a. Name of Records Liaison Officer Pat Bronnenberg	b. Mail-stop 50E-115	c. Telephone Number (510) 486-7071
d. Name of Person Completing Form Anna Berge, Archives and Records	e. Mail-stop 69-107	f. Telephone Number 510/486-6475

3. Description of Records

a. Series Title
Frank Hale's Project Files

b. Dates	c. Volume *(linear feet)*	d. Records Medium (*Click on appropriate boxes*)
1985-present	5 ft paper 140 MB 50 diskettes 8 VAX tapes	☒ Paper ☐ Video ☐ Photographs _____ ☒ Electronic _____

e. Series Description *(Please use extra sheets if necessary)*

Frank Hale's Project Files document Hale's work on projects undertaken by the Earth Sciences Division from his arrival in 1985 to the present. Hale is now a Research Associate, senior type and is responsible for computational support for scientists. He is currently working on the Nazionale Genossenschaft für die Lagerung Radioaktiver Abfälle (NAGRA). The paper files consist of research results for papers, computer outputs, well logs, graphs, reference materials, working copies of manuscripts, and research notes, all filed topically. Filed separately are two feet of research notes and computer printouts especially organized and collated for presentation to the Department of Energy. Computer files have been generated using 6 systems: since the spring of 1992, a Macintosh quadra 700, with about 50 MB (of which 90% is purchased software), used as a terminal for access to other systems and on which are most of his research files; a VAX, with 20 MB, which was used for computations but is no longer used actively; since 1989, an IBM AST 386, with 50 MB, used for graphics, and since 1988 a CRAY for calculations and neither of which is still in active use; since 1991, an IBM RS6000 used in place of the CRAY for computer runs; a UNIX, now with no bytes, and a Solbourne, now with 15 MB, for correspondence and reports. All files are found on the Macintosh, the Solbourne, or in hard copy; backups are made by the Computer Center. Original data is kept on diskettes. Old data is not kept, and neither is electronic correspondence.
Epidemiology Data Elements: 0

f. Location of Records 50E-144

4. Records Retention Citation	5. If unscheduled , what retention would you recommend?
Cut off after 5 years; send to FRC, review when 15 years old	

(Please click on appropriate boxes)

	Yes	No	
6.	☐	☒	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7.	☐	☒	Will the records series be needed at the LBL Emergency Command Center?
8.	☐	☒	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9.	☐	☒	Does the record series relate to a Quality Assurance project?

LAWRENCE BERKELEY LABORATORY
ARCHIVES AND RECORDS OFFICE
1 Cyclotron Road, Building 69-107 • Berkeley, CA 94720
(510) 486-5525

RECORDS INVENTORY

1a. Division	Earth Sciences	Today's Date 3/9/93
b. Department	Reservoir Engineering & Hydrogeology	
c. Group or Section		

2a. Name of Records Liaison Officer Pat Bronnenberg	b. Mail-stop 50E-115	c. Telephone Number (510) 486-7071
d. Name of Person Completing Form Anna Berge, Archives and Records	e. Mail-stop 69-107	f. Telephone Number 510/486-6475

3. Description of Records

a. Series Title
George Cooper's Project -Related Administrative Files

b. Dates	c. Volume *(linear feet)*	d. Records Medium *(Click on appropriate boxes)*
1991-present	13 ft. paper part of 85 Mbytes	☒ Paper ☐ Video ☐ Photographs _____ ☒ Electronic _____

Series Description *(Please use extra sheets if necessary)*

George Cooper's Project-Related Administrative Files document Dr. Cooper's activities as a researcher at the University of California at Berkeley (UCB) since 1988, and as a member of the Earth Sciences Division at Lawrence Berkeley Laboratory (LBL) since 1991. Dr. Cooper specialized in studies concerning drilling for environmental monitoring and remediation. His files consist of correspondence, grants, donor records, draft proposals, work plans, lab instructions, copies of purchase orders, external contracts, and other records pertaining to external professional activities, such as memberships in various societies. The files are arranged topically, thereunder chronologically; working papers are kept separately from older ones. The following subseries can be distinguished: working papers, financial papers, official correspondence with LBL or UCB, contracts, lab instructions (originated by Dr. Cooper and for which a backup copy exists), and low-priority materials. In addition, Dr. Cooper uses a Macintosh IIfx for word processing. These files are periodically backed up onto disk, with one set of backups here and another at his home. Lab notes and daily files are not necessarily kept, and files are overwritten unless there are major changes made. Those files of archival value, such as internal reports, are printed.
Epidemiology Data Elements: 0

f. Location of Records 334 HMB

4. Records Retention Citation	5. If unscheduled , what retention would you recommend?
Permanent; cut off every 5 years. send to FRC: send to NA when 30 yrs old	

Yes	No	*(Please click on appropriate boxes)*
☐	☒	Does the record series have epidemiologic or health study value? If YES, answer the Epidemiologic and Health Studies Survey.
7. ☐	☒	Will the records series be needed at the LBL Emergency Command Center?
8. ☒	☐	Does the record series document legal rights & interests of the Laboratory, its employees, guests and patients?
9. ☐	☒	Does the record series relate to a Quality Assurance project?

Biographical Information

Nancy J. Pruett is Manager, Recorded Information Department 7145, Sandia National Laboratories, Albuquerque, New Mexico. She has worked at Sandia for 12 years, the last 5 of them in Records Management. She has an undergraduate degree in Geology, Master's degrees in Library Science and Business Administration, and is a Certified Records Manager (CRM) as of last January. Her prior experience is as a science and engineering librarian and a systems analyst, and she is interested in all aspects of how scientists and engineers use information.

Short description for the agenda:

Sandia National Laboratories is a large, multiprogram laboratory with a large volume of R&D records. The method chosen to complete the records inventory and schedule development was to contract with an experienced records management company (Millican & Associates). This environment, experience and progress will be compared and contrasted with that of Lawrence Berkeley Laboratory.

Inventorying Records At Sandia

1993 DOE Records Management Conference
June, 1993

Presented by:
Nancy J. Pruett, Manager
Recorded Information Management Dept. 7145
Sandia National Laboratories
Albuquerque, NM 87185-5800
(505) 845-8741 (voice)
(505) 844-2621 (fax)

This work performed at Sandia National Laboratories supported by the U.S. Department of Energy under contract DE-AC04-76DP00789

This Update Includes Four Parts:

I. Background on Sandia

II. Original plans for Inventory Project

III. Progress Report (production figures, problems)

IV. Areas which are receiving attention

I. As Background, Sandia Has:

- 8500 employees (3700 Technical Staff)
- 1600 on-site contractors
- Sites in several states
- Been managed by AT&T for last 44 years
  (this ends October 1, 1993)
- A mission of "exceptional service in the national interest"
  - Nuclear weapons engineering
  - Energy research
  - Arms verification and control technology
  - Materials science
  - Combustion research

The Records Management Environment at Sandia is Characterized by:

- Decentralized controls and processes
- Records and Records Management not commonly understood or applied
- Strong needs for better information preservation, management and access
- Islands of excellence in a sea of paper
- Exhaustion from increasing requirements

II. Original Plans for the Inventory included:

- Building the internal team & teaming with California
- Planning for comprehensive one-time inventory
- Contracting for inventory & schedule development
  - Contract placed with Millican & Associates
  - Inventory began in October 1992 in New Mexico, January, 1993 in California
- A forecast of 425,000 linear feet and 8,500 people complete by October 1, 1994

Both Parts of the Team Have Essential Roles:

- The Sandia part of the team establishes and briefs liaisons and Departments, does initial training and follows-up when M&A finishes

- Millican & Associates inventories, manages the process, does quality assurance, and trains additional people

  Staffed with 3 Monitor/Schedulers
  and 11 Records Managers (5/14/93)

III. After Six Months, We Have Some Positive Signs:

- Favorable DOE HQ, DOE AL & NARA feedback in April
- Continuing management support and internal customer cooperation
- M&A's determination and desire for success

However, there are also some concerns:

- Internal customer feedback (too slow & want results)
- Resource estimates should have included on-site contractors
- Clearances have been slower than expected
- There are needs for:
  - Role clarification (especially Monitor/Schedulers)
  - More specific procedures
  - Better scheduling
  - Quicker feedback on quality
  - Better communication
- The process is TOO SLOW & TOO COSTLY so far

IV. A Number of Areas are Receiving Attention

- Getting everyone producing the same "level" product
- Role of "Monitor/Schedulers"
    - Quality control
    - Training
    - Scheduling
- Communication
- Rest of process (scheduling, research, negotiation, sign-off)
- Speed
- R & D Records
- Quality team (including customers) to look for process improvements
- Administrative records common to each office

In Summary:

A project this size is TOUGH.

The method works and will get us the product we want for managing Sandia's records and for meeting everyone's requirements.

As Lori said about LBL, this is the right choice for SNL.

USING CONSULTATIVE SELLING TO MARKET RECORDS MANAGEMENT

S. M. Ekkebus
Martin Marietta Energy Systems

ABSTRACT

DOE Records Management Conference
June 14-18, 1993

Using "Consultative Selling" Techniques to Market Records Management

In our current environment,budget dollars are shrinking for overhead functions and often records management programs must compete for limited funds on a risk management matrix. Borrowing the marketing techniques of "consultative selling" from other disciplines is one way to add value to the services provided and to build long term relationships with customers that are essential for budgetary success.

Sue Ekkebus is a Technical Information Analyst with the Information Services Division at Martin Marietta Energy Systems in Oak Ridge, Tennessee where she is involved in records management training and support to the Energy Systems Records Manager. Sue received her M. A. in Library Science from Northern Illinois University and has worked as a reference librarian in public and special libraries.

MARTIN MARIETTA

Y ISD 46

Using Consultative Selling Techniques to Market Records Management

S. M. Ekkebus

Information and Records Program
Management Department
Information Services Division

April 21, 1993

For submission to:
The Department of Energy 1993
Records Management Conference
Seattle, Washington
June 14-17, 1993

Prepared by the
Oak Ridge Y-12 Plant
Oak Ridge, Tennessee 37831
managed by
Martin Marietta Energy Systems, Inc.
for the
U.S. DEPARTMENT OF ENERGY
under contract DE-AC05-84R21400

MANAGED BY
MARTIN MARIETTA ENERGY SYSTEMS, INC.
FOR THE UNITED STATES
DEPARTMENT OF ENERGY

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USING CONSULTATIVE SELLING TECHNIQUES TO MARKET RECORDS MANAGEMENT

Susan M. Ekkebus
Information Services Division

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PRESENTATION TO DOE THE DOE 1993 RECORDS MANAGEMENT CONFERENCE

Seattle, Washington

Oak Ridge National Laboratory
Oak Ridge K-25 Site
Oak Ridge Y-12 Plant
Paducah Gaseous Diffusion Plant
Portsmouth Gaseous Diffusion Plant
managed by
MARTIN MARIETTA ENERGY SYSTEMS, INC.
for the
U.S. DEPARTMENT OF ENERGY
under contract DE-AC05-84OR21400

MARTIN MARIETTA ENERGY SYSTEMS

Martin Marietta Energy Systems is a government contractor to the Department of Energy. We manage five facilities located in three different states. Over 20,000 people are employed. Our activities are diverse and include programs in energy research and development, nuclear materials maintenance, Work for Others, technology transfer, and uranium enrichment. Facilities are:

- The Oak Ridge National Laboratory in Oak Ridge, Tennessee;
- The Oak Ridge Y-12 Plant in Oak Ridge, Tennessee;
- The K-25 Site in Oak Ridge, Tennessee;

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MARTIN MARIETTA ENERGY SYSTEMS (cont.)

- The Portsmouth Gaseous Diffusion Plant in Portsmouth, Ohio; and

- The Paducah Gaseous Diffusion Plant in Paducah, Kentucky.

As a government contractor, we are accountable to and perform work for the Department of Energy. The Department of Energy Oak Ridge Field Office provides oversight and direction as does our parent company, Martin Marietta Corporation.

CURRENT ENVIRONMENT

CHANGES IN...

- Mission
- Administration
- Funding
- Staffing

CURRENT ENVIRONMENT:

CHALLENGES...

- Inventory and Scheduling Project
- Epidemiology Inventory
- Training
- Records Storage
- Information Resource Management
- Requirements Identification

A MARKETING PLAN

Uses analysis, planning, implementation, and evaluation resulting in greater use of division services to achieve the goals of the Strategic Plan.

DEVELOP A MARKETING PLAN

1. Collect information/external and internal

2. Define areas of expertise

3. Target a market for those services

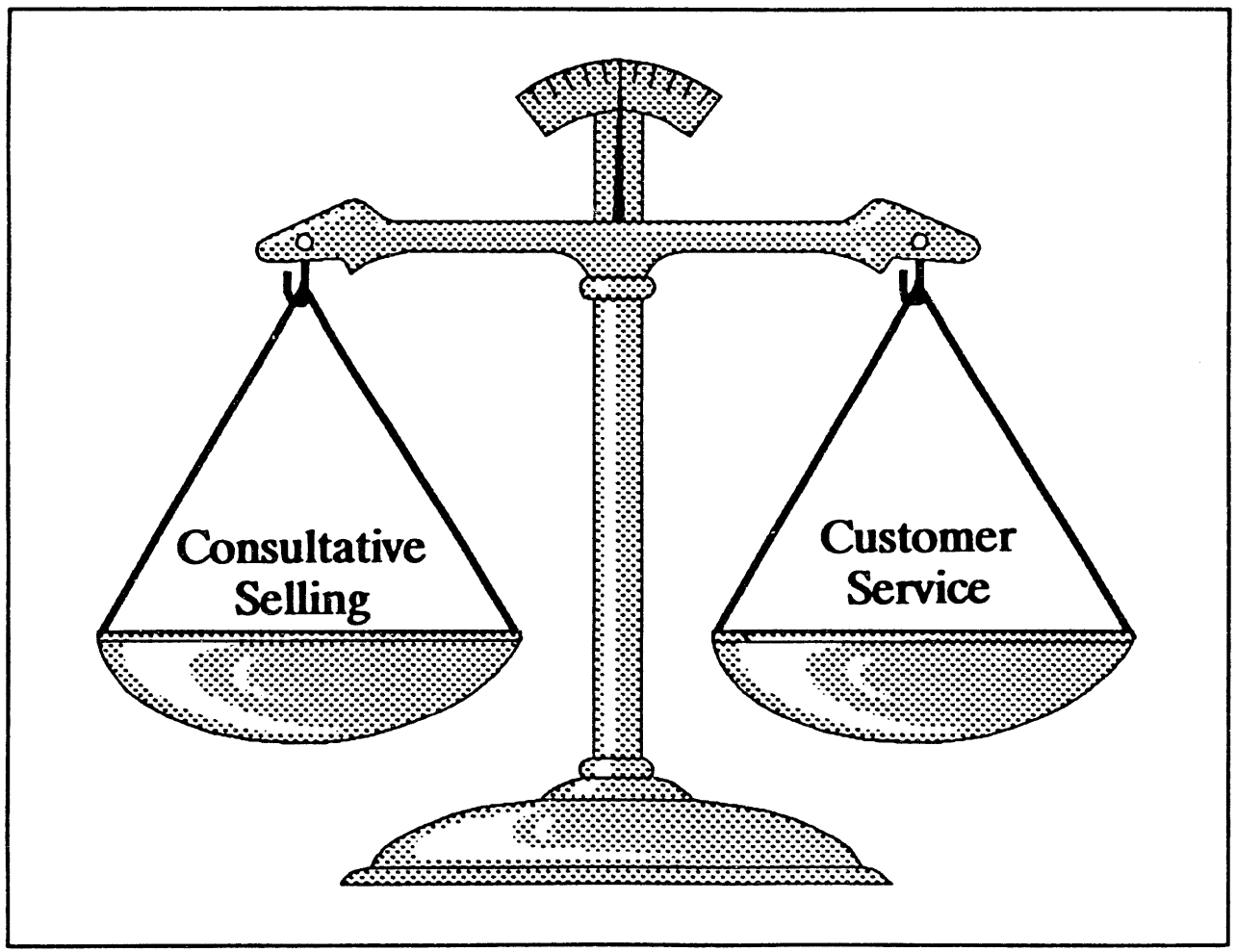
IMPLEMENT MARKETING PLAN

1. Make contacts. Listen

2. Develop a proposal using "One Stop Shopping"

3. Offer integrated services

4. Measure/Evaluate/Revise



MARTIN MARIETTA

MARTIN MARIETTA ENERGY SYSTEMS, INC.

CONSULTATIVE SELLING

SELLING	CONSULTING
Probing	Listening
Supporting	Knowledge/Expertise
Closing	Problem solving

AUTOMATED INDEXING AND RETRIEVAL SYSTEM

USING VERSATILE SOFTWARE

Don Nord
Kathleen Fortenberry
Western Area Power Administration

Source One

A Management and Information
Technology Company

Biography:

Kathleen Fortenberry, CRM, is a Records Supervisor with Source One Management, Inc., which has a technical support services contract with Western Area Power Administration. Ms. Fortenberry is a Certified Records Manager, has 12 years of experience in Federal records management and holds a degree in Business Administration from Regis University.

Donald L. Nord - Biography

Don Nord has been the Records Management Officer for the Western Area Power Administration for the past two years. He is the Contracting Officer's Representative for two support services contracts, with responsibilities for office information processing, forms management, printing, etc., in addition to records management. He has 18 years experience in the Federal Government. Mr. Nord holds a B.A. degree from Valparaiso University and an M.Ed. degree from Boston University.

Automated Indexing & Retrieval System

Using Versatile Software

Kathleen Fortenberry, CRM

Prepared for the
DOE Records Management Conference
Seattle, Washington
June 15 through 17, 1993

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WHERE WE WERE:

- INFO program on the Prime computer. No integrated system. Each record series were in separate data bases, with larger record series further broken a separate year per data base.
- The INFO was extremely slow when data bases got large (over 8,000 records).
- Inventory was semi-automated.
- All notices (i.e.; either destruction or transfer) were manually generated.
- Charge out was semi-automated with manually generated overdue notices.
- In INFO, only one user could be in a data base (or user group) at any one time.
- Required checking in each data base for a record if exact year was not known.

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WHY VERSATILE WAS CHOSEN:

Versatile Has the Capability to:

- Track both active and inactive records and inactive boxes.
- Transfer active records to inactive status via the computer.
- Track activity on the system; i.e., number of additions, deletions, inquiries, operator transactions, etc.
- Compute retention periods for records based on retention information maintained in Versatile.
- Require specific data in specific fields; i.e., mail codes, office names, file codes. When fields have been identified as specific information only, Versatile will let the user know when an unacceptable item has been entered.
- Print folder, box, and bar code labels.
- Be used with a bar code scanner. Any on the market with appropriate programming.
- Duplicate many fields during data entry to reduce data entry time.
- Query the system to locate a record in all areas; i.e., active records, inactive records, box records.
- Secure the system so users have access only to their records or their area or certain types of transactions; i.e., legal department can only see legal records (no one else); certain data entry personnel cannot delete records.
- Work with the software program Retention!.
- With the new upgrade, to build custom menus and screens so each office can tailor the system to each user or need.
- Serve unlimited users within a site. Western's site includes all field offices.

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IMPLEMENTATION TO DATE:

- Began with the Records Holding Area (RHA) (on-site inactive records storage area).
- Entered all standard information (mail codes, file codes, citations)
- Started by entering all box inventory first.
- Next began inputting all new records (folders) of all shipments (with exception of FY90 or earlier finance records).

PLANNED IMPLEMENTATION:

- We will rekey records from INFO to Versatile since there is too much information needed on Versatile which is not available on INFO. Clean up time from a standard conversion would be too time-consuming.

- Open Versatile to Headquarters offices, beginning with those offices that have the highest volume of records requiring transfer to the RHA or FRC.

- Open Versatile to field offices.

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PROBLEMS ENCOUNTERED:

- Lack of a permanent (resident) LAN for the Versatile at time of purchase. Could not use the program for approximately six months after purchase.
- Training from Versatile was accomplished at time of installation, not time of actual use of the program.
- We have difficulty identifying if problems encountered are "Versatile" problems or "system" problems.
- Did not have enough PC's in the office at implementation to accommodate massive upfront data entry or rekeying of old records.
- Original printer we received could not do labels.
- Our bar code scanner is not on line at this time. We are awaiting the programming from Versatile since Western opted for a Hand Held Products scanner with E-Prom cartridge. (This scanner never loses the program even when the battery is low.)
- Several major bugs in Versatile. We still cannot print box labels due to a Versatile problem. Should be resolved in the new release.
- We still have not seen the new release.

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ASSETS OF THE VERSATILE PROGRAM:

- Data entry time for records has been reduced. With the duplicating ability, much of the information is keyed once and then duplicated as many times as needed. This is especially beneficial when entering large numbers of folders into boxes or large shipments of boxes.

- Errors on data entry have been reduced due to the duplicating ability and required data input fields.

- Easier to locate records using the keyword search.

- Versatile computing retention periods eliminates miscalculation of destruction dates by staff.

- Versatile requires retention file codes. Eliminates shipments with miscellaneous record types from "slipping" by RHA staff.

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Executive Summary:

This presentation will address the reasons, issues, and benefits of the implementation of the Versatile records management system within Western.

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05/11/93 Versatile Software System 4:27 PM

FUNC: RSM Retention Scheduling Maintenance Menu

RETC	RETENTION ABBREVIATION PREFIX MAIN
CITM	CITATION MAINTENANCE
RTSM	RETENTION SCHEDULING CODE MAINT.
RTSR	RETENTION SCHEDULING (RTS) REPORT
RDO	DISPOSITION ORDER MAINTENANCE
RDOR	DISPOSITION ORDER REPORT
GMNT	GENERAL MAINTENANCE MENU

05/11/93 Versatile Software System 4:28 PM

FUNC: RECM Record Series Maintenance Menu

RSD	RECORD STRUCTURE DEFINITION
ALM	AREA OF LAW MAINTENANCE
RECS	RECORD SERIES MAINTENANCE
RSR	RECORD SERIES REPORT
GMNT	GENERAL MAINTENANCE MENU

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Technology Company

05/11/93 Versatile Software System 4:25 PM

FUNC: GMNT General Maintenance Menu

DEPT	DEPARTMENTAL MAINTENANCE
CMM	CODE MAINTENANCE MENU
RSM	RETENTION SCHEDULING MENU
RECM	RECORD SERIES MAINTENANCE MENU
MLAB	LABEL CONFIGURATION MENU
GRPT	GENERAL MAINTENANCE REPORT MENU
MAIN	VERSATILE MAIN MENU

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Technology Company

05/11/93 Versatile Software System 4:32 PM

FUNC: IMM Inactive Records Management Menu

RFM	INACTIVE RECORD MAINT.	IDMM	DESTRUCTION MAINT. MENU
BOXM	BOX MAINTENANCE	SMM	STORAGE MANAGEMENT MENU
IRM	INACTIVE REPORT MENU	CBM	CHARGEBACK MENU
IRSM	RESERVATION MAINTENANCE	TMTN	ACTIVE TRANSFER MAINTENANCE

MAIN	VERSATILE MAIN MENU

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05/11/93 Versatile Software System 4:33 PM

FUNC: RFM Inactive Record Maintenance PAGE 1 OF 3

DEPARTMENT HQ/A1310 Accounting Operations Branch

RECORD ID 2224.08 000001 REFERENCE ID: 0003398

RECORDS SERIES IMPREST FUND FILES
FILE:

DESCRIPTION: AA-AI-I8A05277 - AA - HEADQUARTERS - 90/10

BOX NUMBER : 1002880 BOX LOCATION: RHA 035-005-0002 (0003)

CREATE DATE: 03/25/1993	MEDIA TYPE	A PAPER (HARDCOPY)	
EVENT DATE: 09/30/1991	DISP. METHOD	A SHRED	
SUBMIT DATE: 09/01/1992	SUBMITTED BY	PARKERL	LORI PARKER
MISC. DATE: 10/01/1993	STORAGE ROOM	RHA	RECORDS HOLDING AREA BL
FROM DATE: 10/01/1990	LABEL ID	AFILE1	FILE LABEL
TO DATE: 09/30/1991			

F1:Find F2:Update F3:Delete F4:Add F5:Clear F7:Prev F8:Next Alt-M

SourceOne

A Management and Information Technology Company

05/11/93 Versatile Software System 4:34 PM

FUNC: RFM Inactive Record Maintenance PAGE 3 OF 3

DEPARTMENT HQ/A1310 Accounting Operations Branch

RECORD ID 2224.08 000001 REFERENCE ID: 0003398

R E T E N T I O N I N F O R M A T I O N

	RETENTION	RTS CODE	ACTUAL RETENTION	TRAN. DATE/ DISP. DATE	BASED UPON
ACTIVE :			FY+1	09/30/1992	Record Series
INACTIVE:			FY+6/03	12/30/1997	Record Series

REVIEW RETENTION/DISPOSITION DATE PRIOR TO TRANSFER AND DESTRUCTION (Y/N)? Y

F1:Find F2:Update F3:Delete F4:Add F5:Clear F7:Prev F8:Next Alt-M

SourceOne

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~~05/11/93~~ ~~Versatile Software System~~ ~~4:36 PM~~

~~FUNC: BOXM~~ ~~Box Maintenance~~ ~~PAGE 1 OF 3~~

BOX NUMBER: 1003628 USER BOX NUMBER: 1310.193010/11 50

DEPARTMENT HQ/A1310.1 Financial Support Services (FER)
REC. SERIES 2224.07 ACCOUNTABLE OFFICERS FILES

DESCRIPTION: FY91 FINANCE TRAVEL RECORDS

BOX TYPE A STANDARD RECORDS BOX c.f.: 1.0
LOCATION RHA RECORDS HOLDING AREA BLDG 19

AISLE: 006 CREATION DATE: 01/28/1993 DATE CONTENTS FROM: 10/01/1990
BAY: 002 EVENT DATE: 09/30/1991 TO: 09/30/1991
SHELF: 0004 MISC. DATE: 10/01/1993
POSITION: 0003 REVIEW DATE:
DESTRUCT DATE: ********** DM A SHRED
SUBMIT DATE: 01/01/1993 BY FORTEN KATHLEEN FORTENBER

F1:Find F2:Update F3:Del F4:Add F5:Clr F7:Prev F8:Next PgDn Alt-M

SourceOne

A Management and Information Technology Company

05/11/93 Versatile Software System 4:24 PM

FUNC: MAIN Versatile Main Menu

GMNT	GENERAL MAINTENANCE MENU
AMM	ACTIVE RECORDS MANAGEMENT
IMM	INACTIVE RECORDS MANAGEMENT
URSV	USER RESERVATION SUBSYSTEM
SYSM	SYSTEM CONFIGURATION MENU
EXIT	EXIT VERSATILE

SourceOne

A Management and Information
Technology Company

05/11/93 Versatile Software System 4:33 PM

FUNC: RFM Inactive Record Maintenance PAGE 2 OF 3

DEPARTMENT HQ/A1310 Accounting Operations Branch

RECORD ID 2224.08 000001 REFERENCE ID: 0003398

DESCRIPTION: AA-AI-I8A05277 - AA - HEADQUARTERS - 90/10

CREATE DATE: 03/25/1993 MEDIA TYPE A PAPER (HARDCOPY)
EVENT DATE: 09/30/1991 DISP. METHOD A SHRED
SUBMIT DATE: 09/01/1992 SUBMITTED BY PARKERL LORI PARKER
MISC. DATE: 10/01/1993 STORAGE ROOM RHA RECORDS HOLDING AREA BL
LABEL ID AFILE1 FILE LABEL

ANNUAL FILE : Y Yes
OFFICIAL COPY: Y Yes
VITAL RECORD : N No
OPTION 1 FLAG: N No
OPTION 2 FLAG: N No OFFICE OF RECORD HQ/A1310 Accounting Operations B
LABEL PRINTED: N No

F1:Find F2:Update F3:Delete F4:Add F5:Clear F7:Prev F8:Next Alt-M

SourceOne

A Management and Information Technology Company

05/11/93 Versatile Software System 4:37 PM

FUNC: BOXM Box Maintenance PAGE 2 OF 3

BOX NUMBER: 1003628 USER BOX NUMBER: 1310.193010/11

LABEL TYPE BOX BOX LABEL

RETENTION: COMPUTED DESTRUCT DATE: 12/30/1997
RTS CODE RETENTION BASED UPON: Record Series

USER
COMMENTS:

VERSATILE
REMARKS:

AVAILABILITY STATUS : A Available

LAST TRANSACTION : BY:

F1:Find F2:Update F3:Del F4:Add F5:Clr F7:Prev F8:Next PgUp Alt-M

SourceOne

A Management and Information
Technology Company

05/11/93 Versatile Software System 4:37 PM

FUNC: BOXM Box Maintenance PAGE 3 OF 3

2224.07	012356	; GIRA, CHARLES J. E6373
2224.07	012357	; GLIKO, FRANK L. E6793
2224.07	012358	; GLIKO, STANLEY E6946
2224.07	012359	; GLOVER, JERRY E6338
2224.07	012360	; GODDARD, NANCY E6880
2224.07	012361	; GODWIN, PATRICK
2224.07	012362	; GOERGER, BERNADINE E6881
2224.07	012363	; GOLD, SANDRA E4187
2224.07	012364	; GOLDADE, MARK E6908
2224.07	012365	; GOMEZ, DEBORAH E1090
2224.07	012366	; GONZALES, JUAN E7729
2224.07	012367	; GOODNOW, DOUGLAS D. E4017
2224.07	012368	; GORDON, ARLIE E6433
2224.07	012369	; GOUGH, MICHAEL E6463
2224.07	012370	; GRAFTON, OMAR H. E6281
2224.07	012371	; GRAHAM, GARY L. E7660
2224.07	012372	; GRAVES, DENNIS D. E6269
2224.07	012373	; GRAVES, KEVIN E4485

SourceOne

A Management and Information Technology Company

05/11/93 Versatile Software System 4:39 PM

FUNC: SPM Storage Space Maintenance PAGE 1

STORAGE ROOM RHA RECORDS HOLDING AREA BLDG 19 AISLE: 1 BAY: 1

SHELF	POS 01	POS 02	POS 03					
01	1000855	1000856	1000857					
02	1000001	1000002	1000003					
03	1000004	1000005	1000006					
04	1000007	1000008	1000009					
05	1000010	1000011	1000012					
06	1000013	1000014	1000017					
07	1000015	1000016	1000018					

F1:Find F2:Update F5:Clear F6:Block-In/Out F7:Prev F8:Next PgDn/PgUp

DECENTRALIZED APPROACH TO SCHEDULING AT A DOE OFFICE

Orville Pratt
Science Applications International Corp.

Orville R. Pratt, SAIC, Albuquerque, New Mexico (505) 845-5432.

The 'executive summary'

A Presentation on the Lessons Learned from a Decentralized Approach for Performing an Inventory and Scheduling Exercise at a Federal Site.

A brief biography sketch:

Orville Pratt is currently with SAIC in Albuquerque, New Mexico and is assigned to a dedicated contract at the Albuquerque Field Office of the Department of Energy. He has worked for many years in the computer field, information processing and information management at both the Inhalation Toxicology Research Institute and Martin Marietta.

1993 DOE Record Management Conference
June 14 - 17, 1993
Seattle, Washington

A Presentation on the Lessons Learned from a Decentralized Approach for Performing an Inventory and Scheduling Exercise at a Federal Site

BY

Orville R. Pratt

Science Applications International Corporation
Albuquerque, New Mexico
June 16, 1993.

A. Introduction

This presentation is about the implementation of a decentralized methodology for Records Management policies at a Federal site. The term decentralized applies to the duties and responsibilities delegated to the individual site Records Management Coordinators. This approach is in opposition to a centralized methodology where all records management functions are controlled and performed at a central point.

This presentation will discuss the methods used, mid course changes, benefits and problem areas that were observed during the exercise.

B. Federal Site

The implementation of a Records Management Program at the Department of Energy (DOE), Albuquerque Field Office (AL) is the subject of this presentation.

C. Participants

Within DOE AL currently 52 organizational units participate in the AL Records Management Program. These are Divisions, 'Office of' and area offices in New Mexico and other states.

D. Strategy # 1

To introduce the management information through concepts outlined in the DOE Orders 1324 series, National Archives and Records Administration guidelines, the Code of Federal Regulations and general Records Management practices, a strategy of Inform, Delegate and Perform (IDP) was developed.

The Inform part of the plan started with the development of Records Management Awareness presentations. These presentations were a collection of summary information based on lengthy definitions, laws, penalties, directives, audit results, the role of the National Archives and some practical ideas about good management and business practices. These awareness briefings concise, to the point, general, and had a minimum of handout material. The presentations were to seek management acceptance and approval for implementing a Records Management Program. During these presentations the role of the DOE Records Management Coordinator was introduced.

The DOE AL Records Management Coordinator (RMC) is the title given to one or more individuals within an organizational unit whose duties are to be the liaison with the DOE AL Records Management Officer. The RMC would also be responsible for the initiation of the inventory and subsequent development of the

Records Inventory and Disposition Schedule (RIDS) and the implementation of a Records Management plan within their unit. In addition their responsibilities include recommending a disposition schedule for records which are not currently scheduled. It was expected that the RMC duties would be less that one Full Time Equivalent (FTE).

E. TRAINING

Following the assignment of the RMC's, the first training session was held. At this session all the coordinators received their share of the INFORM strategy. The two day presentation was made up of lengthy definitions for terms used in records management concepts, laws, penalties, directives, audit results, the role of the National Archives and some practical ideas about good management and business practices. In addition, the inventory and scheduling concepts were presented. The DELEGATE part of the strategy was introduced late in the training session and the RMC's were empowered to carry out the task. It was followed by the requirement to PERFORM by assigning a simple task of making a records volume determination of their unit.

F. Records Volume Determination

The first task for the coordinators was to make a reasonable effort to estimate their total volume of record material and try to estimate non-record vs record material. Assistance and guidance was provided by SAIC for coordinators having questions and attempting to do 'page counts' rather that drawer counts. This effort provided a first pass at introducing Records Management concepts into the office. Some positive results were measured by a change in the average person's concept of Records Management. The shift was made from 'page' to 'record series' views. The result of the volume estimates were that a total volume of 26,000 cubic feet of records resided at the AL complex. Of that about 75% to 80% of the information was indicated as non-record or working papers material. As a result of this exercise, some gains were made as to the content and magnitude of the Records Management issues at DOE AL.

G. Coordinator Workshops

Subsequent training sessions were renamed workshops and scheduled so as to reduce the number of coordinators attending each session. The agenda included the review of the volume data and guidelines on how to pursue the inventory process. The 'workshops' were only about 3 hours in length. Several sessions were offered. The coordinators were sent back with a request to inventory about 5% of the records series and prepare a RIDS for each series.

H. STRATEGY # 2

At this point several factors entered into the equation for Records Management Program success. These factors had to be dealt with and required a modification in the original strategy. The first was the emergence of different levels of enthusiasm on the coordinators' part for participating in the task. Another factor was the difficulty in getting workshops approved. Adjustments were made. House calls in the form of one-on-one meetings with the coordinators and mini-meetings (several coordinators together) were implemented with the major effort currently being directed to the inventory process. In addition, attempts were made to keep the interest level up for the 'enthusiastic' coordinators.

I. Other Activities

Supporting activities included the development of an AL Supplemental Directive AL-1324.5A, RECORDS MANAGEMENT PROGRAM, a PC-based computer application program for distribution to the RMC's, and a review and development of procedures for the use of low cost storage on-site.

J. CONCLUSION

The decision to use a decentralized approach to implementing a Records Management Program, including conducting the initial Records Inventory, was based on the timing constraints mandated by DOE HQ, available manpower, knowledge of the AL's mission and the information being produced, collected and retained. The alternative was a centralized approach supported by the Records Management Specialty Team (RMST). The results of the decentralized method are not yet complete but several benefits are already realized. These include a development of a general awareness of Records Management in relation to each division's functional role to the overall mission for the Field Office. In addition, many coordinators were able to change the way information was being processed and retained in their divisions. The result was compliance with DOE Orders. Several points have been observed that may point to problems resulting from the methodology. These points are: an accuracy factor in the division's inventory, dealing with non-cooperative units and possible degradation of standards for developing internal division procedures on a daily or operational level.

A Decentralized Approach for Performing the Inventory and Scheduling Exercise at a Federal Site

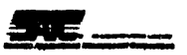
Orville Pratt
SAIC - Albuquerque, New Mexico

Department of Energy Albuquerque Operations Office

- Information Management Division
- SAIC - ADP TSS Contract
- Jackalie Blue, Project Manger.

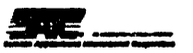
Staff

- Records Management Program Coordinator (DOE)
- Records Management Officer (DOE)
- Contractor Support - 2 persons (SAIC)



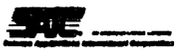
Albuquerque Operations Office

- Albuquerque, New Mexico
- Appx 1,400 Federal Employees
- Six Area Offices



AL History

- Pre-AEC - Manhattan Project Los Alamos
- Atomic Energy Commission 1946
  - Civilian Control
  - AL 1956 from Santa Fe Office



AL History continued!

- ERDA January 1975
  - Energy role
- DOE October 1977

Records Management - The Participants!

- Currently
  - 52 organizational units
    - 'Office of'
    - Divisions
    - Area Offices

The Org Chart Goes in Here

Basic Operational Functions

- Administrative and Management
  - Contracts, financial, management review
  - Cost analysis, security, tech transfer
  - Many more ....
- NOT
  - R & D data, non-destructive testing data
  - Complex graphics / imaging
  - Test data

The AL Records Management Program

- Unknowns!
  - Knowledge Level
  - Personnel
  - Record Material

KNOWLEDGE LEVEL

- Awareness Sessions for Management
  - Management Support
- Training Plans
  - General awareness
  - Compliance issues
  - Inventory & Scheduling
  - Accountable

PERSONNEL ISSUES

- Records Management Coordinators
  - Residents of the unit
  - Time requirement less than 1 FTE
  - Empowerment to the .....

TRAINING MATERIAL

- Training
- Inventory
- Reporting

INFORM DELEGATE PERFORM - IDP

- I Assignment of RMC's
- D Training session - Delegate RMC Duties
- P Perform the Inventory and Scheduling!

AWARENESS and TRAINING

- Management Awareness
- Records Management Coordinator Training
  - Assignment # 1 Records Volume

.... ASSIGNMENT #1

- Gathering the Information
- Reporting the Information

RMC WORKSHOPS

- Results of the Volume Survey
- Reviewed Inventory Process
  - General Record Schedule
  - DOE Records Schedule
  - Series to be Scheduled
- Assignment #2 Sample Inventory

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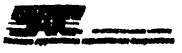
RMC WORKSHOPS continued!

- Coordinator Participation
  - Examples of 'getting started'
  - Discussed common problems
  - Enthusiasm level - high
  - PMT's started for Filing activities

18

and THEN

.....



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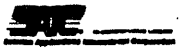
delays ENCOUNTERED!

- Workshop approvals
- Lower level of participation
- Coordinator changes

20

Strategy #2

- Start of Office visits
  - mini-meetings organized



OTHER ACTIVITIES

- Supplemental Directive AL-1324.5A 'RECORDS MANAGEMENT PROGRAM'
- Microcomputer-based Inventory & Scheduling Application
- Developing an Inventory database
- Reviewing and Changing the Low Cost Storage operation

The STATUS as of NOW

- Inventory is still in progress
  - Completed 59.0%
  - RIDS are being prepared
  - Series 'to be scheduled' are being identified
  - Active, cooperative participants

Some Positive Points (so far)

- Site-wide awareness
- Some major changes in handling information
- Centralized filing methods for working units
- Management of Information
  - Increased confidence level of reported information

Some Problem Areas

- Non-participants are falling behind
  - Physical inventory
  - Knowledge level

Scheduling Process

- Recommended value determined by RMC
- Submitted to the AL RMO
  - Review committee
- Submitted to the RMPC
- Submitted to DOE HQ
- On to NARA

END of PRESENTATION

Thank You

AL 1324.5A

- Duties and Responsibilities
  - RMPC
  - RMO
  - RMC
- Program
- Plan
- Record Centers
- Acquisition Plan Imaging Equipment

PC-Based Computer Program

- Data Collection
  - RIDS Report
  - Common Data Fields
  - Electronic Format
  - RMC Benefits.

ALPHA4 Software

- GRS Table Look up
- Records To Be Scheduled

ENVIRONMENTAL DATA STANDARDIZATION

Jeff Worthington
TechLaw, Inc.

EXECUTIVE SUMMARY

Jeffrey C. Worthington
Director of Quality Assurance
TechLaw, Inc.

STANDARDIZATION OF ENVIRONMENTAL DATA RECORDS

Growing concern regarding data comparability by many Federal Agencies and environmental data users has led to efforts to address environmental data standardization by members of the Interagency Steering Committee on Quality Assurance of Chemical Measurements (QAEM) as well as the ASTM.

Environmental data and other chemical and physical measurements are now routinely reported in electronic format as well as paper form which ultimately are incorporated into records management systems. Some of the key areas of concern include:

- Development of a standard data dictionary.
- Development of standard protocols for transferring electronic data.
- The definition of raw data.
- Raw data provided to data users.
- The relationship between data resident in information and records management systems in laboratories and in the Federal Agencies.

Issues regarding environmental data standardization may directly impact the management of DOE records systems.

JEFFREY C. WORTHINGTON

Jeffrey C. Worthington is the Director of Quality Assurance for TechLaw, Inc. He has conducted more than 150 audits of laboratories supporting EPA and Department of Energy programs. He also has provided litigation support consulting services to EPA and the Department of Justice. Mr. Worthington designed a records management system for the DOE Environmental Survey Laboratory Records and a DOE waste disposal facility. Current areas of interest include audit programs automated laboratory practices and integrity and authenticity concerns for environmental analysis efforts. Mr. Worthington, who once served as head of the chemistry department in Kpandu, Ghana, and is a frequent author and presenter, has a bachelor of science degree in biology.

STANDARDIZATION OF ENVIRONMENTAL DATA AND RECORDS MANAGEMENT CONCERNS

June 16, 1993

Jeffrey C. Worthington
Corporate Director of Quality Assurance
TechLaw, Inc.

DOE
RECORDS MANAGEMENT
CONFERENCE
SEATTLE, WASHINGTON

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Suite C-310
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BACKGROUND

- Environmental Litigation Support
- Information Management
- Auditing
- DOE/WIPP/DOJ/EPA/COE

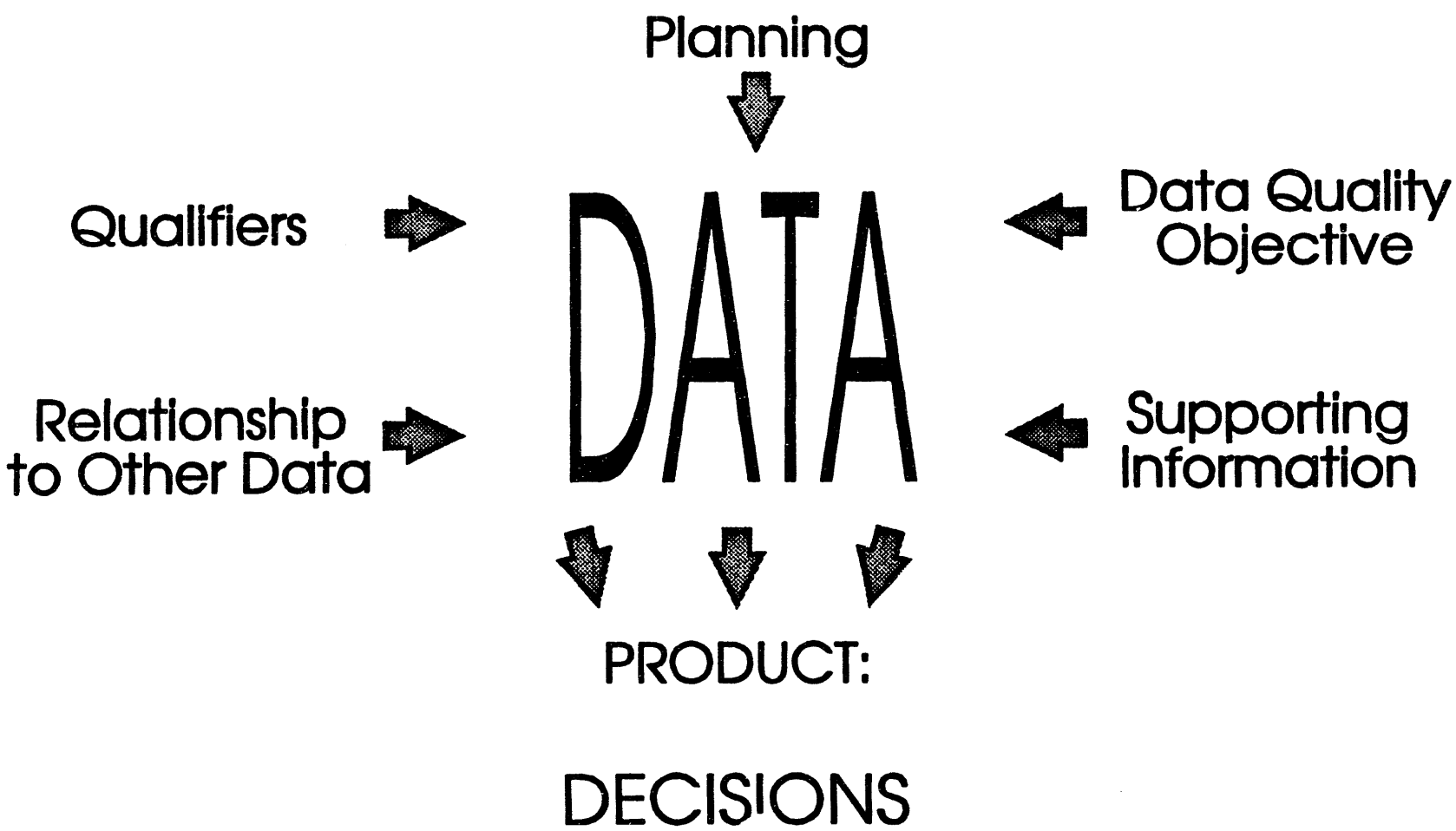
DISCLAIMER

Opinions expressed in this presentation are opinions of the author only and do not represent opinions of TechLaw, Inc. or any other group of individuals or agencies with which TechLaw, Inc. is affiliated.

TERMINOLOGY

- QAEM - Interagency Steering Committee for Quality Assurance of Environmental Measurements
- EMLCDB - Environmental Measurements Life Cycle Data Base
- EDI - Electronic Data Interchange
- ADISS - Analytical Data Interchange and Storage Standards (ADISS) Project
- NETCDF - Network Common Data Form
- Data Dictionary
- Life Cycle Management (Life Cycle Documentation)
- Metadata - Data about data
- Raw Data - _____ (fill in the blank)
- GALP - Good Automated Laboratory Practice
- X.12 - An electronic data transmission standard

DATA RELATIONSHIP CONCEPT



ENVIRONMENTAL DATA

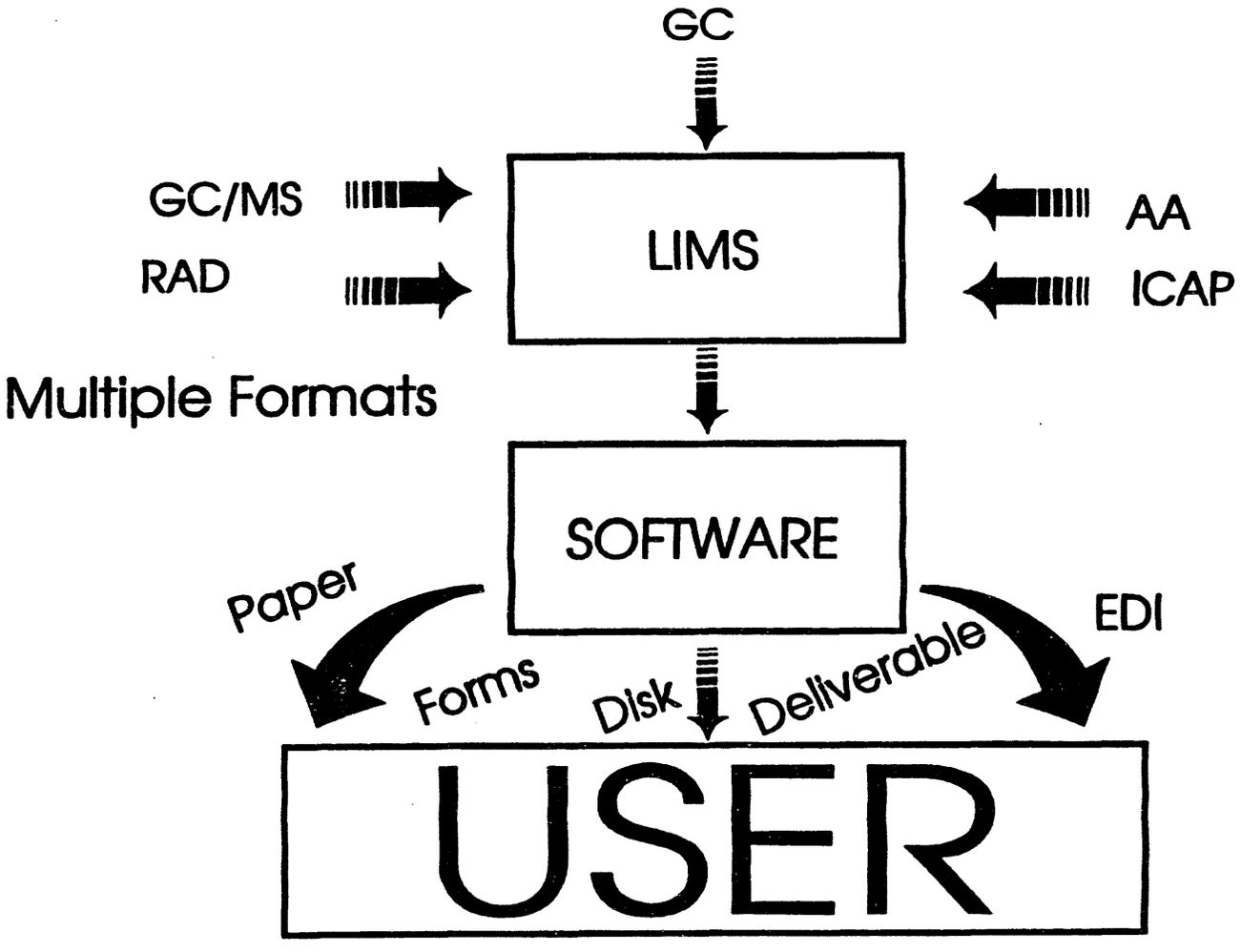
- Sample No. X ?
- Bottle No. X ?
- Location Name and No.
- Spatial Identifiers
- Parameters Analyzed X ?
- Field Parameters X ?
- Field Information
- Planning Information
- Qualifiers
- Related Quality Information
- Transfer Information
- Laboratory Information
- Methods Information
- Metadata
- Objectives
- Raw Data Relationship
- Supporting Paper Location
- Validation Information
- Objectives Information
- Date
- Time
- Results

EVOLUTION OF ENVIRONMENTAL DATA

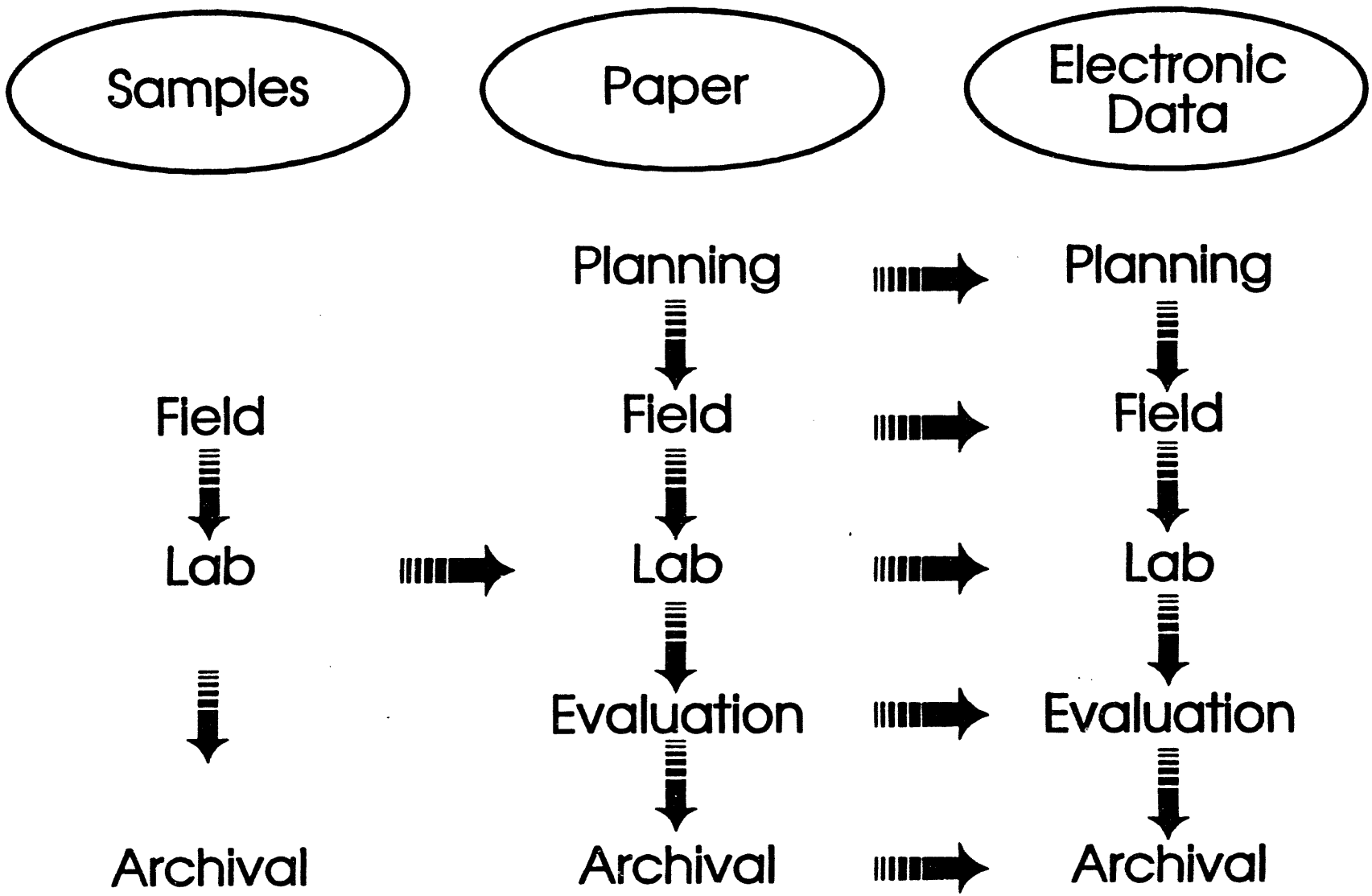
- Time Line (1980 - Present)
  - 1980 GC/MS = R & D
- Standardization
  - Methods
  - Terminology
  - Case Files
  - ?
- Information
  - Logbooks
    ↓
  - Benchsheets
    ↓
  - Laboratory Information Management Systems (LIMS)
    ↓
  - Direct Data Entry
    ↓
  - Electronic Data Interchange
- Other
  - Imaging Technology
  - Access by Clients

INFORMATION MANAGEMENT

INSIDE THE ENVIRONMENTAL LABORATORY



INFORMATION FLOW



INTERAGENCY STEERING COMMITTEE FOR QUALITY ASSURANCE OF ENVIRONMENTAL DATA (QAEM)

- **Special Meeting**

  May 4 - 6, 1993
  Las Vegas

  "Workshop for Development of Environmental Life Cycle Data Base"

- **Regular Annual Meeting**

  Early December 1993
  New Orleans

QAEM - DEVELOPMENT OF AN ENVIRONMENTAL LIFE CYCLE DATA BASE

FOUR GOALS

- To shorten the Data Assessment Process
- To identify a Standard Data Input
- To replace Program-specific Requirements with an Interagency System
- To provide a flow from Instrument Level through Data Review/ Assessment to the User

QAEM - DEVELOPMENT OF AN ENVIRONMENTAL LIFE CYCLE DATA BASE

CONCEPTS

- Need a Uniform Electronic Data File Format
  - to exchange data in a uniform format
  - to facilitate archival and retrieval
- Need Standard Units
- Need Common Rules for Generation of Data to provide more meaning to data
- Need Common Access Language
- Need a Uniform Format For Electronic Data Interchange (EDI)
  - See EPA Directive 2180.2 *"Agency Standard For Electronic Delivery of Data"*
  - EPA - RLIMS
  - CLP Modification of EPA Standard

NEEDS FOR STANDARDIZATION

- Buy-In From Users
- Participation From Instrument Manufacturers
- Champions at the Top
- Strategic Management Plan

MORE TERMS

- Standard - the documented result of a particular standardization effort approved by a recognized authority
- Specification - the document that prescribes the regulation with which a product or service must conform

ANALYTICAL DATA INTERCHANGE AND STORAGE STANDARDS (ADISS) PROJECT

- A global project to create...
  - Uniform Standards for Analytical Laboratory Data
  - A Standard Architecture For Interchange, Storage, and Archival
  - A Technical Implementation Forming a Foundation For Standards for Various Analytical Disciplines
- ADISS is implemented via NETCDF *"Network Common Data Form"*

WORKSHOP RESULTS

- **NEED "IT"**

  - Database
  - Data Dictionary
  - Definition of Units
  - Standards Transmission Protocol
  - Common Access Language
  - Change Control Feedback

- **PLAN**

  #1 Data Dictionary
  (See Savannah River)

  #2 QAEM December Meeting

  - Define minimum requirements for data evaluation

OTHER ACTIVITIES

- X.12 Meeting - Denver, this week
- ASTM Meeting - Atlanta, May 1993
- Future QAEM Meetings

RECORDS MANAGEMENT AND ENVIRONMENTAL DATA

- Electronic Data vs. Paper - Legality Concerns
- Retrievability over time
- Comparability and Access
- Imaging Options
- Records Management -vs- Technical Data Management

GETTING FROM HERE TO THERE:

DEVELOPING A PROJECT-SPECIFIC RECORDS MANAGEMENT PROGRAM

Timothy S. Nanninga
Chem-Nuclear Geotech, Inc.

Getting from Here to There: Developing a Project-Specific Records Management Program

Timothy S. Nanninga
Chem-Nuclear Geotech, Inc.
Grand Junction Projects Office
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(Area Code 303) 248-6583

Abstract for the Department of Energy 1993 Records Management Conference

Being a Department of Energy contractor with numerous projects in operation at one time, it is often necessary to develop project-specific records management programs. These individual programs are essential in order to ensure compliance with applicable regulatory requirements and to establish definitive responsibilities and administrative processes for the records management activities.

This paper covers the "getting from here to there" techniques involved with the development of a comprehensive records management program. It encompasses features ranging from the initial identification of requirements through program implementation. Topics addressed include:

- Identifying the need for a project-specific records management program.
- Identifying project-specific requirements as specified in Federal Facility/Inter-Agency Agreements, project guidance documents, and applicable Federal/State statutes and regulations.
- Identifying the records management requirements as defined in DOE Orders, National Archives and Records Administration regulations, and the Company Records Management Plan.
- Developing a comprehensive records management plan which addresses processing and control of records throughout their life cycle as well as identifies specific responsibilities.
- Coordinating the development of a file index in conjunction with project management and participating functional organizations to ensure traceability and retrievability of project records.
- Assessing the available technology (computerized data base, bar-code labeling, microfilming) to ensure the development of the records management system coincides with project requirements and budget constraints.
- Coordinating the implementation of the records management program with project participants.
- Providing periodic appraisals and oversight of the records management program to determine the program's adequacy and ensure a continued level of implementation.

The techniques described in this paper have proven effective on various project-specific endeavors. They have also been valuable in developing records management programs and systems for internal on-site organizations and the Company-operated field offices.

RECONFIGURATION STATUS - DEFENSE

PROGRAMS WORKING GROUP

Margarita Sexson
DOE-AL

1993 DOE Records Management Conference
Margarita Y. Sexson, Presenter
June 16, 1993

"Executive Summary" - Status update on the Records Management Activity Transfer Group established in January, 1993, to examine all facets of Nonnuclear Reconfiguration and its impact on Records Management.

Biographical Sketch

Margarita Y. Sexson, currently the Records Management Program Coordinator at the Albuquerque Operations Office since October, 1991. Records Management program oversight responsibility for 13 sites which includes records, files, forms, micrographics, and mail management.
Native of Corrales, New Mexico; hobbies include wine making, water and snow skiing, and fishing.

RECORDS MANAGEMENT

ACTIVITY TRANSFER GROUP

(RMATG)

Presented By

MARGARITA Y. SEXSON

JUNE 16, 1993

JUN-08-1993 14:57 FROM US DOE IMD TO 8509375271B P.02

MEMBERS

- DONORS, RECEIVERS, OPERATIONS OFFICES AND DOE HEADQUARTERS

- REPRESENTATION FROM RECORDS MANAGEMENT, RECONFIGURATION, SECURITY AND STOCKPILE SUPPORT

JUN-08-1993 14:57 FROM US DOE IMD TO 8509375218 P.03

CHARTER

- ASSURE ALL INFORMATION (PAPER, ELECTRONIC, ETC.) REQUIRED TO SUPPORT RELOCATION OF PRODUCTION CAPABILITIES IS TRANSFERRED TO RECEIVER SITES ACCORDING TO ACCEPTED DEPARTMENTAL POLICY AND PRACTICES.

JUN-08-1993 14:58 FROM US DOE IMD TO 8509375271B P.04

- INFORMATION REQUIRED TO SUPPORT STOCKPILE WILL BE MAINTAINED AT RECEIVER SITES.
- TRANSFER OF RECORDS IN A COST EFFECTIVE MANNER.
- HISTORICAL DOCUMENTS WILL BE SCHEDULED FOR DISPOSITION.

JUN-08-1993 14:58 FROM US DOE IMD TO 8509375218 P.05

- ASSURE MAINTANCE OF CRITICAL NUCLEAR INFORMATION.

- IDENTIFY SOLUTIONS FOR DISPOSITION OF CONTAMINATED RECORDS.

- MINIMIZE STORAGE REQUIREMENTS AT RECEIVER SITES.

- ADDRESS RESIDUAL RECORDS PLAN.

JUN-08-1993 14:58 FROM US DOE IMD TO 8509375271B P.06

PROGRESS UPDATE

- FOUR MEETINGS
- HEADQUARTERS SUPPORT OF RECORDS ISSUES
- TEAMS ESTABLISHED TO:
  - IDENTIFY STORAGE OPTIONS
  - DEVELOP AND DOCUMENT SECURITY REQUIREMENTS AND POLICIES

JUN-08-1993 14:59 FROM US DOE IMD TO 8509375271B P.07

- ESTABLISH OPERATIONAL AGREEMENTS COMMON TO ALL SITES

- DEVELOP INTEGRATED PLANNING SCHEDULE FOR TRANSFERRED TECHNOLOGIES

- VALIDATE ASSUMPTIONS AND IDENTIFY SIGNIFICANT ISSUES

JUN-08-1993 14:59 FROM US DOE IMD TO 8509375218 P.08

TO BE ACCOMPLISHED

- FINALIZE SECURITY REQUIRMENTS AND POLICIES.
- ACQUIRE GUIDANCE REGARDING RMATG'S ROLE IN SITE DECOMMISSIONING AND REMOVAL OF WEAPONS RECORDS.

JUN-08-1993 15:00 FROM US DOE IMD TO 8589537247 P.03

- PERFORM DONOR/RECEIVER WALK THROUGH ON TWO TRANSFERRED TECHNOLOGIES.

- PUBLISH AGREEMENTS AND PLANS.

JUN-08-1993 15:00 FROM US DOE IMD TO 8509375271B P.10

STORAGE AND RETRIEVAL AT SAVANNAH RIVER

Joe Sabino
Westinghouse Savannah River Co.

Storage & Retrieval at SRS

Having just moved into our new facility, one that meets all NQA-1 requirements, this presentation will discuss how SRS organized a storage system and staging area to allow for quick retrieval through quality indexing.

Bio for J. F. Sabino

J. F. Sabino has 26 years in Nuclear Industry. Has spent the last 120 years in Document Control and Records Management. Currently Manager of Document and Records Administration providing both Document Control and Records Management services through a staff of over 200 to a customer base of 15,000.

05/28/93 07:42 ☎7254360

Storage & Retrieval at SRS

Having just moved into our new facility, one that meets all NQA-1 requirements, this presentation will discuss how SRS organized a storage system and staging area to allow for quick retrieval through quality indexing.

004

05/28/93 07:42 ☎7254360

Records Stored

Individual

Boxed

Manuals

JFS93may18.01

005

05/28/93 07:43 ☎7254360

Systems/Volume

TAB Products

Electronic

20,000 Cu. Ft.

JFS93may18.02

008

Manual Control

Controlled Manuals/Procedures

Maintains Record Copy + 5 Copies

JFS93may18.03

- Work in Process
- Work Ready for Distribution

JFS93may18.04

Individual Record Flow Chart

- Customer Fills Index Form
- Sends to Information Support
- Verification of Information, Classification Review, etc.
- Checked Against Retention Schedule (>2 yrs.)
- No's Are Sent Back
- Yes's Are Indexed in Sitewide Database - PINT
- Then Sent to:

Optical Disk If:	Shelf If:
Not Classified	Sensitive
Not UCNI	UCNI
Not Sensitive	Classified

- Then Shelved for FRC Shipping

JFS93may18.05

05/28/93 07:43 7254360 009

05/28/93 07:44 7254360 010

Boxed Records Flow Chart

- Customer Fills Records Storage Transfer Request
- Sends to Stage Area 713-A
- Verification of Information, Classification Review, etc.
- Checked Against Retention Schedule (>2 yrs.)
- No's Are Sent Back
- Yes's Are Sent to:

  Storage Micrographics Optical Disk

- Then Sent to FRC

JFS93may18.06

05/28/93 07:44 ☎7254360

713A Staging Area

Boxed Records Only

JFS93may18.07

011

05/28/93 07:44 ☎7254360

Typical Issues

- Not Always Same Retention
- Same Retention Mixed Document Type
- Maintain Integrity

JFS93may18.08

☑012

Retrieval Rate - Retention

Retrieval Rate	Retention	Media
High	6	Scan
Medium	10	Film
Low	Life	Hard Copy

JFS93may18.09

05/28/93 07:45 7254360 014

- Drivers More Often are Customers
- Luxury Items

05/28/93 07:45 ☎7254360

Obstacles

- Volume
- Moratorium
- Resources
- Compliance
- CDC
- Contingency Records Disposition

☑015

05/28/93 07:45 ☎7254360

Process Analysis Team

12 People

- Review
- Evaluate
- Recommend
- Implement

JFS93may18.12

☑016

05/28/93 07:46 7254360 017

- Mission - We Will Reject
- Vision - You Will Correct
- Principle - What Did You Expect?

JFS93may18.13

- Customer Education
- Learning Experience
- Good Business

JFS93may18.14

PANEL:

QUALITY ASSURANCE/DOE REQUIREMENTS

S. Martin Cummings, Jr.
TRW

Marty Johnson
Martin Marietta Energy Systems

Robert N. Vecchiarello
Stone & Webster Engineerng Corp.

SUMMARY FOR PANEL DISCUSSION

QUALITY ASSURANCE VS. DOE REQUIREMENTS

The panel will discuss and address questions related to the quality assurance and DOE requirements for document review, approval, and issuance; records retention; and record types and other similar records management issues.

Biographical Sketch
Martin Cummings

Martin Cummings is the Deputy Manager of the Records and Information Management Department for the Management and Operating Contractor, Office of Civilian Radioactive Waste Management. Mr. Cummings has been with TRW for ten years, and on the CRWMS Program for over two. He was one of the original TRW employees on the M&O contract, where he has been instrumental in coordinating OCRWM records management activities across the program. Mr. Cummings has been a member of NIRMA since 1991. In addition to holding a position on the NIRMA Requirements Committee, last year he was elected Co-Chair of the NIRMA DOE Special Interest Group.

Biographical Sketch
Marty Johnson

Marty is currently the Environmental Restoration and Waste Management Records Manager at the K-25 Site in Oak Ridge, TN. This site is managed for the Department of Energy by Martin Marietta Energy Systems, Inc.

Marty has over 16 years of experience in records management, procedures systems, and document control in the commercial nuclear industry, as a consultant, and now with DOE. Her experience has included program development, implementation, and operations activities; requirements identification and interpretation; and assessments for compliance and effectiveness.

Biographical Sketch
Robert N. Vecchiarello

Bob has 30 years of combined military, defense contractor and commercial nuclear experience. He has managed the establishment and operation of document control and records management programs and has provided consulting services in nuclear facilities Configuration Management, Document Control, and Records Management. Bob's experience with DOE facilities include Hanford, Savannah River, Rocky Flats, and the DOE Albuquerque Field Office.

Bob has Bachelor degrees in Accounting and Data Systems Management and a Masters of Business Administration. He is currently a member of the Nuclear Information and Records Management Association and a member of NIRMA's Configuration Management Committee.

As the Manager of Information Resources Services in Stone & Webster's Boston office, he is responsible for overseeing the operation of the corporate records management program at all S&W offices and projects.

Civilian Radioactive Waste Management System

Management & Operating Contractor

TRW Environmental Safety Systems Inc.

MAY 10 '93 03:34PM TESS INC. P.6/3

Records Retention Issues Relating to Quality Assurance and DOE Requirements

Martin Cummings

June 16, 1993

B&W Fuel Company
Duke Engineering & Services, Inc.
Fluor Daniel, Inc.

INTERA Inc.
JK Research Associates, Inc.
E. R. Johnson Associates, Inc.

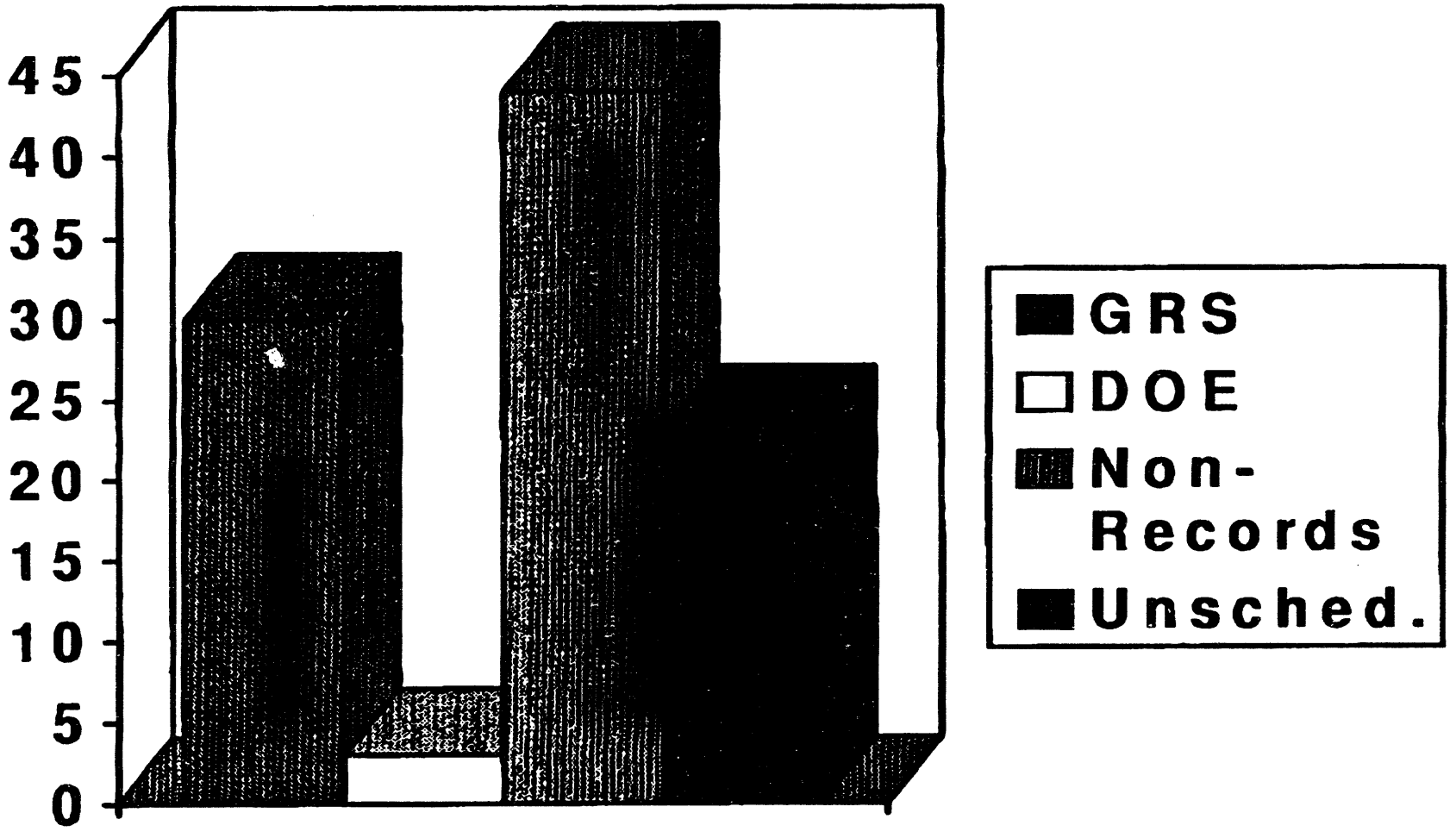
Logicon RDA
Morrison Knudsen Corporation
Woodward-Clyde Federal Services

OCRWM Inventory Overview

- 3,766 worksheets
  - OCRWM
  - M&O
  - 10 participants
  - labs
- 17,513 items inventoried
- 40,163 cubic feet of records inventoried

MAY 18 '93 03:35PM TESS INC. P.7/3

Inventory Findings



MAY 18 '93 03:35PM TESS INC. P.03

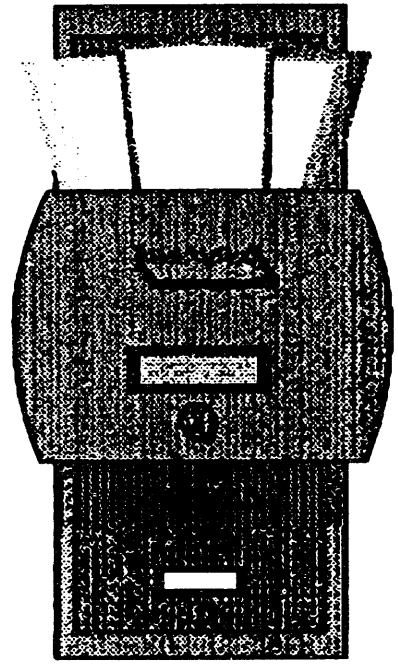
RIDS

- **Includes**
  - **All filing series identified**
    - → **Disposition treated as unscheduled pending approval by NARA**
  - **All GRS-matched filing series**
  - **All DOE 1324.2A-matched filing series**

MAY 18 '93 03:36PM TESS INC. P.9/3

NARA Requirements

- Includes all Federal records
- Permanent records
- Temporary records



MAY 18 '93 03:37PM TESS INC. P.10/3

Permanent Federal Records

- NARA appraisal
- NARA legal control
- OCRWM legal control

MAY 18 '93 03:38PM TESS INC. P.11/3

Temporary Federal Records

MAY 18 '93 03:38PM TESS INC.

Records approved by NARA for disposal, either immediately or after a specified retention period

P.12/3

QA Requirements

- DOE Order 5700.6B
- NQA-1
- NQA-3

MAY 18 '93 03:38PM TESS INC. P.13/3

NQA-1 Requirements

- **Applies to**
  - **Lifetime QA records**
  - **Non-permanent QA records**

MAY 18 '93 03:39PM TESS INC. P.14/3

Lifetime QA Records

Required to be maintained for the life of the particular item while it is in the plant or stored for future use

MAY 18 '93 03:39PM TESS INC. P.15/3

Non-permanent QA Records

- Need not be retained for the life of the item

- Retention period shall be established in writing

MAY 18 '93 03:39PM TESS INC. P.16/3

NQA-3 Requirements

- **Applies to**
  - **Post-closure QA records**
  - **Lifetime QA records**
  - **Non-permanent records**

MAY 18 '93 03:40PM TESS INC. P.17/3

Post-Closure QA Records

Required to be maintained for periods of several hundreds of years, and in a manner that would permit future generations to maintain them longer using present, reasonably available technology

MAY 18 '93 03:40PM TESS INC. P.18/3

Lifetime QA Records

Required to be retained and preserved in an acceptable condition for the operating life of the repository (i.e., until termination of the repository license).

Prior to destruction, they shall be evaluated for the need to upgrade to post-closure records.

MAY 18 '93 03:41PM TESS INC. P.19/3

Non-permanent QA Records

- Records that do not qualify as post-closure or lifetime

- Retention period established in writing

MAY 18 '93 03:42PM TESS INC. P.20/3

DOE 5700.6B

- Other DOE Programs
- General requirements
- Criterion 4 - Documents and Records
- Refer to GRS or DOE 1324.2A (NARA Final Approval)

MAY 18 '93 03:42PM TESS INC.
P.21/3

Government Regulations Vs NQA-1 Requirements for Record and Document Control

Presented at the 1993 DOE Records Management Conference
by
Martha (Marty) Johnson, Records Manager
Martin Marietta Energy Systems, Inc.
Environmental Restoration and Waste Management (K-25)
Oak Ridge, Tennessee

Introduction

You will often hear the terms records management, records control, and document control used interchangeably. Are they synonymous? Yes and No.

If you are from a nuclear industry background, you will probably call it document control; if you have a government background, you might call it directives and records management. Regardless of the terminology you use, the intent is the same.

What is document control? Document control is a ***process*** used and actions taken to ensure documents are reviewed for adequacy, approved for release by authorized personnel, and distributed to and used at the location where the prescribed activity is performed.

A controlled document provides instructions for performing work, and they can be other than procedures; they are reviewed for adequacy and appropriately approved; must be current and accessible where the work is performed; and are identified as controlled. Government regulations refer to this as directives management.

Records management is the organized ***system*** for control of records from the time they are generated through their final disposition. This is sometimes referred to as the total life cycle; from cradle to grave; or, as shown here, alpha/omega.

This system of control facilitates audits; provides proof of performance; and information on organization, functions, policies, decisions, procedures, and essential transactions to protect the legal and financial rights of the government, its employees, and the public. **Records created and maintained by and for government agencies are highly regulated.**

In simple terms, document control shows what we do, how we do it, and recognizes operational limits. Records management shows what we did, when we did it, who did, and the results of what was done. This combination then provides the demonstrated ability to safely and effectively organize, manage, maintain, and operate government facilities and/or programs.

Background

In the last few years, records management has risen to a greater level of visibility, partly because of DOE's commitment to embrace and implement NQA-1.

NQA-1, Quality Assurance Program Requirements for Nuclear Facilities. What is NQA-1? Early in 1975, the American National Standards Institute (ANSI) assigned overall responsibility for coordination among technical societies the development and maintenance of nuclear power quality assurance standards to the American Society

of Mechanical Engineers (ASME). NQA-1 is an integration of ANSI/ASME standards which sets forth requirements and nonmandatory guidance for the establishment and execution of quality assurance programs for the siting, design, construction, operation, and decommission of nuclear facilities.

Simply put, NQA-1 is about control--control of programs, systems, and processes--and the evidence that demonstrates that control.

While NQA-1 was intended for nuclear facilities, in some instances DOE has elected to endorse this industry standard for other operations as well (e.g., environmental management).

To some, NQA-1 is the standard of excellence for records management. I am here to suggest government regulations might be more appropriately the standard for records management. Why? Just how different are NQA-1 record requirements from government regulations?

Comparison

While there are some nuances between NQA-1 and government regulations for records and document control, the basic intent of the requirements is the same. In fact, government regulations **are more inclusive** than NQA-1 (e.g., government regulations include requirements for mail, correspondence, reports, form, and copy management), and in some cases the government regulations **are more stringent** than NQA-1 requirements (e.g., records storage).

The basic intents common to NQA-1 and government regulations (which are reflected in DOE Orders) include:

- Procedures must be established, documented, and issued for program objectives, responsibilities, authorities, and processes. Government regulations call this directives management; NQA-1 calls it document control.

- Control of records generation, maintenance and use, and disposition.

- A **graded approach for implementation** is permitted with allowances for value, cost effectiveness, and the level of risk involved. In other words, compliance is not verbatim but based on common sense and what is "doable". This is extremely important for older DOE facilities.

- Continuous assessments for effectiveness and improvement is required by both. Perhaps government agencies have not been as aggressive in implementing this requirement as expected by NQA-1; nevertheless, the requirement has always been there.

- Training and/or indoctrination is required by both.

Equivalents for the Basic Requirements of NQA-1 on records, document control, and procedures/instructions can be found in government regulations.

However, NQA-1 supplements do contain some records process requirements that are not specifically addressed in government regulations. Again, a graded approach is allowed for implementation of these requirements. Examples of these processes include:

- Records and/or indexing system(s) shall provide sufficient information to permit identification between the record and the item(s) or activity(ies) to which it applies.

- Terminology for retention periods differ (i.e., lifetime versus

nonpermanent). Many people with a nuclear industry background consider the terms lifetime and permanent to be synonymous. In reality, an NQA-1 lifetime record is a nonpermanent record.

- Correction of records is to be in accordance with procedures which provide for appropriate review or approval by the originating organization. The correction is to include the date and the identification of the person authorized to issue such corrections.

- Receipt control for receiving records which includes a method for designating the required records, identifying records received, and for submittal of completed records to the storage facility without unnecessary delay, and procedures for receipt and inspection of incoming records.

By the same token, some government regulations are more stringent that NQA-1. For example, NQA-1 Basic Requirement 17, Quality Assurance Records, only requires that records be protected against damage, deterioration, or loss. The Supplement Requirement 17S-1 allows several options for single record storage facilities, including two-hour fire-rated vaults, two-hour fire-rated Class B file containers, two-hour fire-rated file room, and duplicate storage. Also, provision for temporary storage is allowed, provided the records are stored in one-hour fire-rated containers.

By contrast, 36 CFR Subpart J, contains requirements for Federal agencies that maintain and operate records centers and records staging areas (i.e., temporary storage before transfer to a records center or other disposition). These requirements do not include all those options identified in NQA-1, Supplement 17S-1.

Examples of similar requirements from government regulations and NQA-1 have been included in your handout. Another column could be added here which would reflect where these requirements are in the DOE Orders. Then, ideally, another column would indicate where you have defined the processes to implement these requirements in a document that is specific to your site, operation, or program. Let me emphasize, *these are not all-inclusive.* While the wording may differ, you can see the intent is the same. Therefore, if you develop sound business processes to meet the intent, you have implemented the requirements for both.

Conclusion

Organizations sometimes attempt to establish a quality records program independent from other records management activities. From my perspective, this limits the effectiveness of a records management program that should be comprehensive and can result in ineffective control of records equally important to the government (e.g., rights and interest, historical, emergency operating, and epidemiological records). In addition, there are other government requirements, such as the Privacy Act, which must be applied to QA records.

While QA records are an essential part of any government records management program, this particular category of records does not have to be singled out and handled separately from your other government records.

If you meet the intent of the government regulations for records, you have, in fact, complied with NQA-1. You can integrate ALL your recordkeeping requirements into one comprehensive records management program. In this manner, you can avoid redundancy and establish singular processes that will satisfy multiple requirements.

Since government regulations and NQA-1 allow a graded approach, it is imperative that

you understand the intent of the requirement and clearly define your logic for application and implementation of the specific requirements. Auditors may challenge your logic, but provided the intent has been met, you can usually defend your level and method of implementation.

EXAMPLE

Not All-Inclusive

GOVERNMENT REGULATIONS VERSUS NQA-1 REQUIREMENTS
for
Records and Document Control

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR, 201-22.002-3	Adequate records management controls over the creation of agency records shall be instituted to ensure that agency functions are adequate and properly documented; that operational recordkeeping is kept to a minimum; and that the accumulation of unnecesssary records is prevented. Effective techniques to be applied in this area include the application of systems for the control of correspondence, forms, directives, and reports; the minimizing of duplicate records, and the disposal without filing of transitory material that has no value for record purposes.	Basic Requirement 17 Basic Requirement 2	Records that furnish documentary evidence of quality shall be specified, prepared, and maintained. ... The program shall provide for indoctrination and training, as necessary, or personnel activities affecting quality to assure that suitable proficiency is achieved and maintained ... [Training is included in records management, per definition]
41 CFR 201-22.002-4	Provision shall be made for the continued analysis and improvement of such matters as mail handling and routing, record classification and indexing systems, the use of filing equipment and supplies, the reproduction and transportation of records, and work production standards relating thereto, to ensure that records are maintained economically and efficiently and in such a manner that their maximum usefulness is attained.	Basic Requirement 2	... Management of those organizations implementing the quality assurance program, or portions thereof, shall regularly assess the adequacy of that part of the program for which they are responsible and shall assure its effective implementation.

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR, 201-45.101-1	(a) The head of each Federal agency, in meeting the requirements of 44 US.C. 3102, shall observe the responsibilities and standards set forth in this Subpart 201-45.1 and regulations issued by NARA in 36 CFR Ch. XII. These responsibilities and standards are basic to the Governmentwide management of records; however, the application of the program responsibilities by individual agencies may be influenced by factors such as agency size, organization, mission, and recordkeeping activities. (b) Each Federal agency shall: (1) Assign to an office(s) of the agency the responsibility for the development and implementation of agencywide programs for the management of correspondence, reports, forms, directives, copy, mail, files, micrographics, and records equipment and supplies. ... (2) Issue a directive(s) establishing program objectives, responsibilities and authorities ... (3) Ensure that cost-effective records systems are established ...	Basic Requirement 2 Supplement 17S-1, 2.1	... The program shall provide control over activities affecting quality *to an extent consistent with their importance* The record system(s) shall be defined, implemented, and enforced in accordance with written procedures, instructions, or other documentation.

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR, 201-45.102-2	Each Federal agency shall have an appropriate program for the management of agency correspondence. The program shall (1) Prescribe the types of correspondence to be used in official agency communications; (2) Establish and implement agency standards concerning the number and kind of copies required and their distribution and purpose; (3) Implement the correspondence standards set forth in the U.S. Government Correspondence Manual and in pertinent GSA information resources management handbooks ...; (4)Implement the Governmentwide standards issued by GSA for the procurement and use of letterheads, manifold paper, memorandum forms, and envelopes; and (5) Review, on a continuing basis agency correspondence practices and procedures to find opportunities for improvement and simplification (b) Standards, guides, and instructions developed for the agency correspondence management program are to be in published form, designed for easy reference and revision. They should be readily available to those who write, review, sign, type, and file correspondence.		

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR, 201-45.103-2	Each Federal agency shall have an appropriate program for the management of its internal reporting requirements. The program shall: (1) Establish and implement standards and procedures for identifying information needed for planning, decision-making, controlling, and evaluating. (2) Establish and implement standards and procedures for the design of reports used in management information systems. (3) Establish and implement standards and procedures for initiating, identifying, reviewing, approving, preparing, and distributing internal reporting requirements. (4) Provide essential management information concerning the number and types of reports in use and, for reports which require a significant amount of staff time and other resources, the estimated costs of development, operation and use ...; and (5) Provide for the periodic review of approved reports for need, adequacy, design, and economy of preparation and use. (6) Ensure that all applicable laws and statues (e.g., Freedom of Information Act ..., the Privacy Act of 1974 ..., Federal Information Processing Standards ... and regulations issued by NARA (36 Ch. XII) are considered in the development of internal reporting requirements. (b) Standards, guides and instructions developed for the reports management program shall be published and designed for easy reference and revision. (c) Approval modification, or disapproval of internal agency reporting requirements shall be based on evaluation ...		

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR, 201-45.104-4	Each Federal agency shall establish and maintain a forms management program for those forms with an annual use of 100 copies or more as part of a continuing records management effort ... that will (a) Develop program objectives; define responsibilities and authorities; issues directives; and establish procedures for submitting, reviewing, approving, and identifying agency forms, including ADP systems forms; (b) Use forms analysis and design standards described in pertinent GSA information resources management handbooks ...; (c) Training persons who analyze, design, coordinate, and management form; (d) Review the forms management program regularly to determine the adequacy of the system and its effectiveness in meeting agency needs; (e) Ensure compliance with agency forms management policies and procedures; ...		

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR, 45.105-4	Each Federal agency, to provide for effective, continuing directives management, shall: (a) Assign to all agency managers the responsibility for preparing and maintaining directives needed to carry out their assigned responsibilities;	Basic Requirement 5	Activities affecting quality shall be prescribed by and performed in accordance with documented instructions, procedures, or drawings of a type appropriate to the circumstance.
	(b) Assign overall responsibility for planning, organizing, and controlling the directives management program to an office at the department or agency level, and delegate directives management functions, as needed, to lower organizational levels;	Basic Requirement 6	The preparation, issue, and change of documents that specify quality requirements or prescribe activities affecting quality shall be controlled to assure the correct documents are being employed. Such documents, including changes thereto, shall be reviewed for adequacy and approved for release by authorized personnel.
	(c) Issue a directive(s) that states the purpose, responsibilities, authorities, policies, standards, and procedures of the agency's directives program;		
	(d) Organize agency directives systematically so that they are readily available to users by:	Supplement 6S-1, 1	...The term document control .. is defined as the act of assuring that documents are .. distributed to and used at the location where the activity is performed.
	(1) Developing an integrated directives system that includes all agency policies and procedures,		
	(2) Classifying directives by subject so that all directives on any subject can be readily identified,		
	(3) Maintaining current indexes of existing directives and other finding aids, as necessary, so users may easily locate the directives they need,		
	(4) Establishing distinctive formats for directives so recipients can recognize them as authoritative agency instructions,		
	(5) Differentiating between permanent and temporary directives and ensuring that temporary directives carry expiration dates, and		
	(6) Maintaining directives in a form, such as looseleaf binders, where obsolete or revised materials may be easily removed or		

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR, 201-45.105-4	(e) Ensure that directives are clearly written by: (1) establishing and implementing writing standards for directives, and (2) Identifying the audience for each directive, and writing so that the intended readers can easily understand it; (f) Ensure that directives are useful by: (1) Providing users with only necessary information, (2) Keeping directives current by issuing changes as needed, and (3) Providing for the issuance of supplemental directives to permit overall agency direction to be adapted to local conditions by field and other organizational components, provided that supplemental directives are consistent with the intent of the originals; (g) Review each proposed directive to ensure that it is necessary, accurate, complete, and understandable; (h) Coordinate and clear each proposed directive to avoid issuing conflicting policies or procedures; (i) Establish and publish effective and efficient procedures for the timely reproduction and distribution of directives;	Supplement 6S-1, 1 Supplement 6S-2	The term document control used throughout this Supplement is defined as the act of assuring that documents are reviewed for adequacy ... The control system shall be documented and shall provide for ... (c) review of documents for adequacy, completeness, and correctness prior to issue.

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
	(j) Furnish copies of directives only to those who need them by: (1) Requiring originators to identify those with a "need to know" or a "need to act" for each new directive for the purpose of developing accurate distribution lists, (2) Annually reviewing and updating distribution lists for directives, and (3) Periodically distributing checklists of current directives so users can determine whether they have received relevant directives; (k) Require originators to review each directive for need and currentness at least biennially, and require originators to certify whether to continue, revise, or cancel each directive; (l) Conduct training, or provide written guidance, as follows: (1) For managers, on the importance of using the directives systems to provide written instructions for accomplishing the agency's objectives, (2) For directives originators, on the writing style and proper format for directives, and (3) For users, on how to use the directives systems; and (m) Evaluate the effectiveness and costs of the directives systems as follows ...	Supplement 6S-1, 2 Basic Requirement 2	The control system shall be documented and shall provide for ... (a) Identification of documented to be controlled and their specified distribution ... ..The program shall provide for indoctrination and training, as necessary, of personnel performing activities affecting quality to assure that suitable proficiency is achieved and maintained ...

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR 201-45.10€-3	To ensure good copying practices and proper equipment management, each agency shall: (a) Determine availability of common centralized services ... (b) Match equipment to copying needs ... (c) Maintain records ... (d) Review equipment requests ...Review supply procurement policy.		
41 CFR 201-45.107-2	Each federal agency shall have an appropriate program for the management of agency mail to: (1) Establish and implement standards and procedure for the receipt, delivery, collection, and dispatch of mail; (2) Implement the mail management standards set forth in the GSA information resources management handbook, Managing the Mail; (3) Provide essential management information concerning the volume and types of mail processed and time of requirements for internal delivery of mailing; and (4) Review, on a continuing basis agency mail practices and procedure to find opportunities for improvement and simplification ...		

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
41 CFR 210-45.108-2	Each Federal Agency shall have an appropriate program for the management of agency files. Specifically, each agency shall: (a) establish and implement standards and procedures for classifying, indexing, and filing records as set forth in joint GSA-NARA handbooks; (b) Formally specify official file locations; (c) Standardize reference service procedures for finding, chargeout, and refiling of agency records; (d) Standardize, to the extent possible, the equipment and supplies used in filing and reference service operations by using standard items stocked in GSA's Office of Federal Supply and Services; (e) Make available to all employees published standards, guides, and instructions designed for easy reference and revision; and (f) Review the program periodically to determine the adequacy of the filing systems and its effectiveness in providing records requested.	Basic Requirement 17 Supplement 17S-1, 3.1 Basic Requirement 2	Records that furnish documentary evidence of quality shall be specified, prepared, and maintained. Records shall be legible, identified, and retrievable. The individual organization responsible for receive records shall provide protection for damage or loss during the time that the records are in their possession. ...Management of those organizations implementing the quality assurance program, or portions thereof, shall regularly assess the adequacy of that part of the program for which they are responsible and shall ensure its effective implementation.
44 U.S.C. Chapter 31, §3101	The head of each Federal agency shall make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and 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.	Basic Requirement 17	Records that furnish documentary evidence of quality shall be specified, prepared, and maintained. ...

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
44 U.S.C. Chapter 31, §3102	The head of each Federal agency shall establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. The program, among other things, shall provide for: (1) effective controls over the creation, and over the maintenance and use of records in the conduct of current business; (2) cooperation with the Administrator of General Services and the Archivist in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value; and (3) compliance with sections 2101-2117, 2501-2507. 2901-2909, and 3101-3107, of this title and the regulations issued under them.	Basic Requirement 17 Supplement 17S-1, 2.5	Records that furnish documentary evidence of quality shall be specified, prepared, and maintained. The records shall be distributed, handled, and controlled in accordance with written procedures.
44 U.S.C. Chapter 31 §3103	When the head of a Federal agency determines that such action may affect substantial economies or increased operating efficiently, he shall provide for the transfer of records to a records center maintained and operated by the Archivist, or, when approved by the Archivist, to a center maintained and operated by the head of the Federal agency.		
44 U.S.C. Chapter 31 §3105	The head of each Federal agency shall establish safeguards against the removal or loss of records he determines to be necessary and required by regulations of the Archivist. Safeguards shall include making it known to officials and employees of the agency (1) that records in the custody of the agency are not to be alienated or destroyed except in accordance with sections 3301-3314 of this title, and (2)the penalties provided by law for the unlawful removal or destruction of records.	Basic Requirement 17	... Records shall be protected against damage, deterioration, or loss. Requirements and responsibilities for record transmittal, distribution, retention, maintenance, and disposition shall be established and documented.

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
36 CFR §1220.34	Adequate records management controls over the creation of Federal agency records shall be instituted to ensure that agency functions are adequately and properly documented. Federal agencies shall also comply with GSA regulations on creation of records found in 41 CFR 201-22.002-3.	Supplem nt 17S-1, 2.2	The applicable design specification, procurement documents, test procedures, operational procedures, or other documents shall specify the records to be generated, supplied, or maintained by or for the owner ...
36 CFR §1220.36	Adequate records management controls over the maintenance and use of records shall be instituted to ensure that permanent records can be located when needed and that they are preserved for eventual transfer to the National Archives . Agencies shall also be in compliance with GSA regulations on the maintenance and use of records found in 41 CFR Part 201-45.		

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
36 CFR §1220.20	To ensure that adequate and proper records are made and preserved in the Federal Government, the following documentation standards shall apply in each Federal agency: (a) The records of the transaction of public business by any Federal official or employee is to be complete to the extent required to facilitate action by the incumbents and their successors in office; to make possible a proper scrutiny by the Congress, other duly authorized agencies of the Government, and other persons properly and directly concerned, of the manner in which public business has been discharged; and to protect the financial, legal, and other rights of the Government and of persons affected by the Government's action. (b) With particular regard to the formulation and execution of basic Government policy, Federal officials are responsible for incorporating in the records of their agencies all essential information of their agencies all essential information on their major actions. ... (c) The programs, policies, and procedures of Federal agencies shall be adequately documented in appropriate directives. A record copy of each directive (including those superseded) shall be maintained as part of the official files. (d) Papers of a private or nonofficial character which pertain only to an individual's personal affairs that are kept in the office of a Federal official shall be clearly designated by him or her as nonofficial and shall at all times be filed separately from the official records of the office.	Supplement 17S-1, 2.3 Basic Requirement 5	Documents shall be considered valid record only if stamped, initialed or signed and dated by authorized personnel or otherwise authenticated. [Note: this process should protect the legal rights of the Government and of persons affected by the Government's actions.] Activities affecting quality shall be prescribed and performed in accordance with documented instructions, procedures, or drawings of a type appropriate to the circumstances.

E X A M P L E (Not all-inclusive)

Government Regulation		NQA-1 Requirement	
Regulation	**Requirement**	**Section**	**Requirement**
36 CFR §1224.1	To ensure the availability of an preservation of adequate and proper documentation of Government activities, each Federal agency shall organize its files so that complete records are maintained, records can be found when needed, the identification and retention of records of permanent value are facilitated, and the disposition of temporary records is accomplished promptly.	Basic Requirement 17	Records that furnish documentary evidence of quality shall be specified, prepared, and maintained, Records shall be legible, identifiable, and retrievable. Records shall be protected against damage, deterioration, or loss.
36 CFR §1224.2	Each Federal agency shall establish an appropriate program for the management of its files. Agencies should also consult 41 CFR 201-45.204 for GSA files management regulations in developing their programs. Each Federal agency, in providing for effective controls over the creation of records and the management of agency files, shall: (1) Establish and implement standards and procedures for classifying, indexing, and filing records as set forth in GSA and NARA handbooks; (2) Formally specify official file locations and prohibit the maintenance of files at unofficial locations; (3) Standardize reference service procedures to facilitate the finding, chargeout, and refiling of agency records; (4) Make available to all agency employees published standards, guides, and instructions designed for each reference and revision; (5) Review its records management program periodically to determine the adequacy of its filing program. Audit a representative sample of the files for duplication, misclassification, or misfiles.	Basic Requirement 17 Supplement 17S-1 Basic Requirement 2	... Requirements and responsibilities for record transmittal, distribution, retention, maintenance, and disposition shall be established and documented. The records shall be indexed. The indexing system(s) shall include, as a minimum, record retention times and the location of the record within the record system. ..Management of those organizations implementing the quality assurance program, or portions thereof, shall regularly assess the adequacy of that part of the program for which they are responsible and shall assures its effective implementation.

E X A M P L E (Not all-inclusive)

DEFINITIONS

Directive terms include:

Directive means a written communication that initiates or governs action, conduct or procedure. Directives are often issued as circulars, notices, regulations, orders, and handbooks and include materials usually issued to multiple addresses in multiple copies for insertion in policy, administrative, or operations manuals. News release, program announcements, catalogs, price lists, training materials, and correspondence are not included.

Directives management means the effective and efficient development and control of directives and their distribution, maintenance, and use.

External directive means officially prescribed guidance such as rules, notices, and regulations issued to a primary audience outside the originating agency.

Internal directive means officially prescribed intragency policy or procedure, delegation of authority, or assignment of responsibility. *41 CFR §201-22.001*

Federal agency means (a) any executive agency (executive department or independent establishment in the executive branch including any wholly owned Government corporation), or (b) any establishment in the legislation or judicial branch of the Government (except the Senate, the House of Representatives, and the Architect of the Capitol and any activities under the Architect's direction) *41 CFR §201-2.001*

Records management means 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. *41 CFR §201-2.001*

Recordkeeping requirements means all statements, in statutes, regulations, and agency directives or authoritative issuances, providing general and specific guidance for Federal agency personnel on particular records to be created and maintained by the agency. *36 CFR XII, §1220.14*

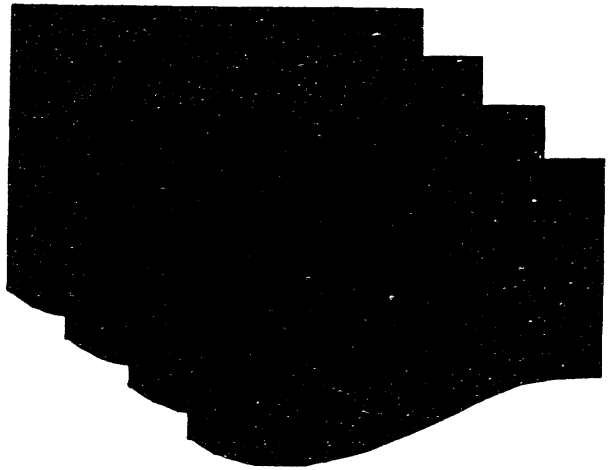
E X A M P L E (Not all-inclusive)

WHAT IS DOCUMENT CONTROL?

A *process* used and actions taken to ensure documents are:

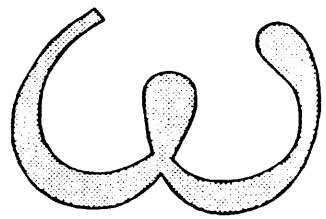
- **Reviewed for adequacy**
- **Approved for release by authorized personnel**
- **Distributed to and used at the location where the prescribed activity is performed**

WHAT IS A CONTROLLED DOCUMENT ?



- **Provide instructions for performing work (can be other than procedures)**
- **Reviewed for adequacy/appropriately approved**
- **Must be current/accessible where work is performed**
- **Are identified as controlled**

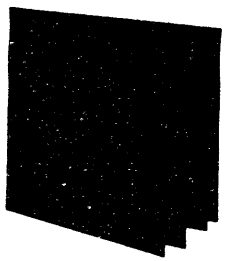
RECORDS MANAGEMENT



CREATION → **MAINTENANCE/USE** → **STORAGE** → **DISPOSITION**

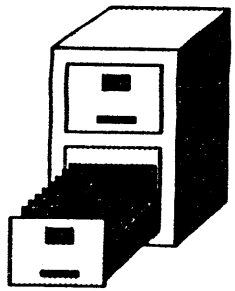
CREATION	MAINTENANCE/USE	STORAGE	DISPOSITION
Correspondence	Retrieval	Active	Destroy
Reports	Update	Inactive	Transfer
Data Sheets		Permanent	Media Conversion
Procedures, Etc.		Temporary	

- Facilitates audits
- Provides proof of performance
- Protects legal and financial rights



DOCUMENT CONTROL

+



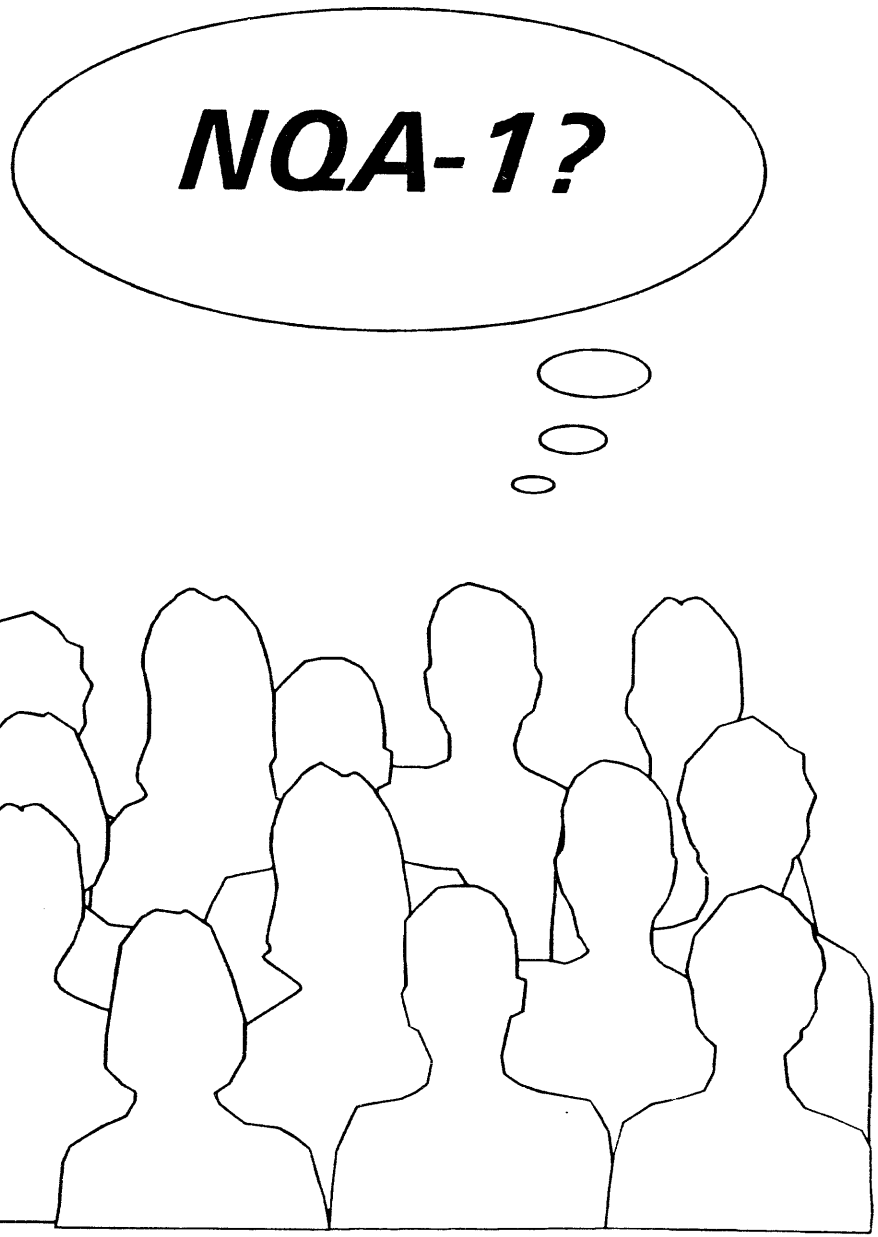
RECORDS MANAGEMENT

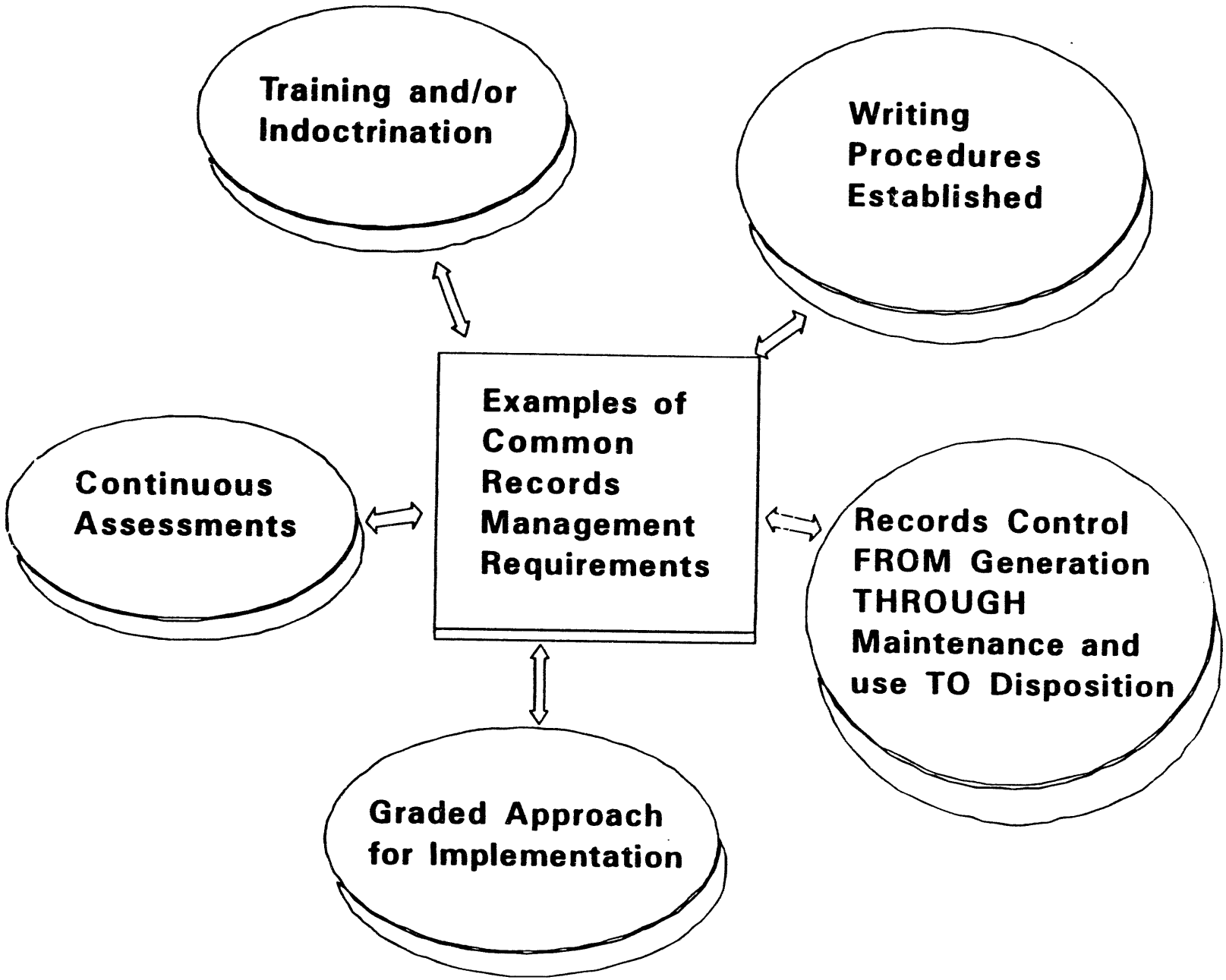
=

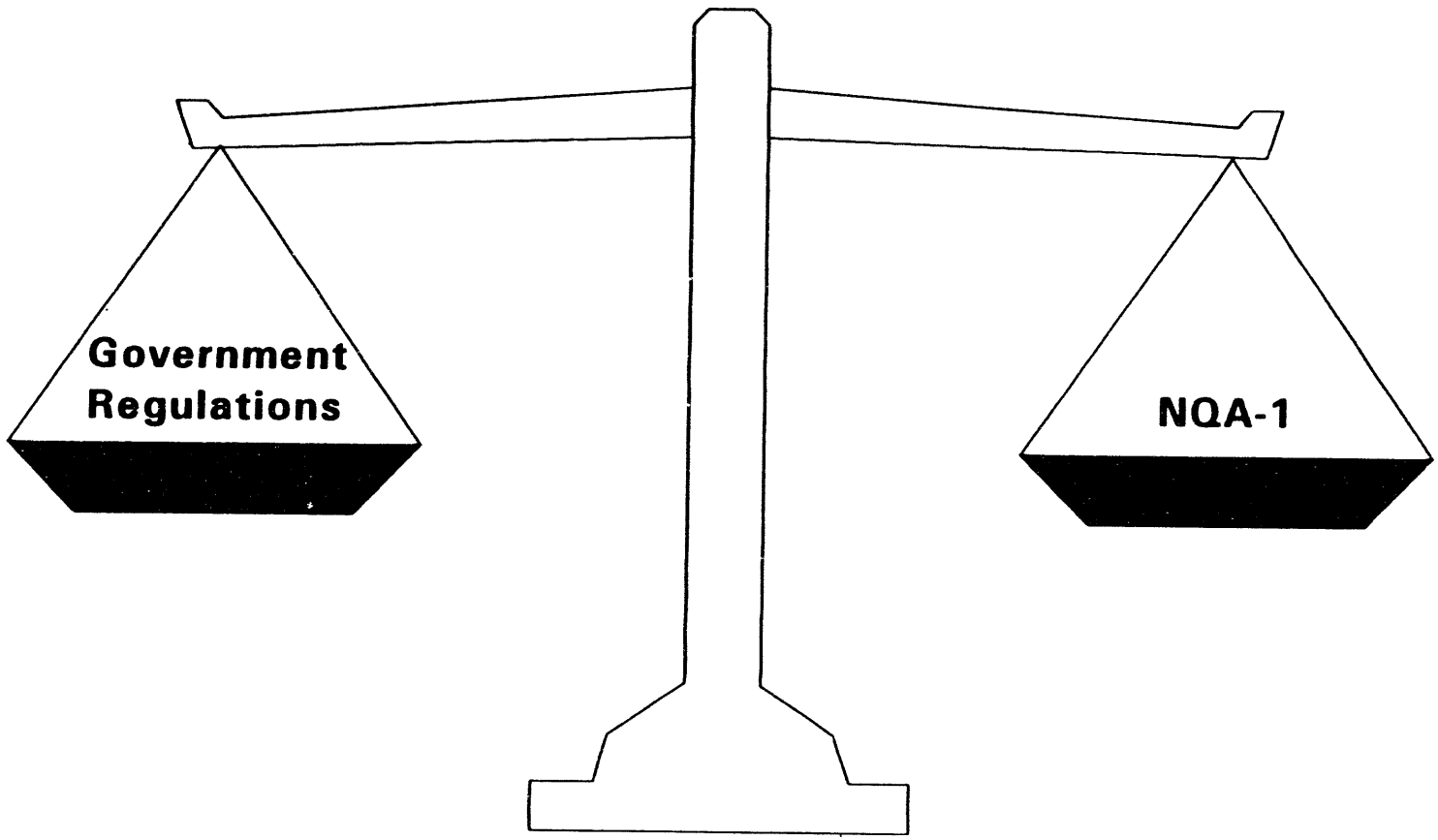
Demonstrated **ability to safely and effectively organize, manage, maintain and operate facilities and/or programs**

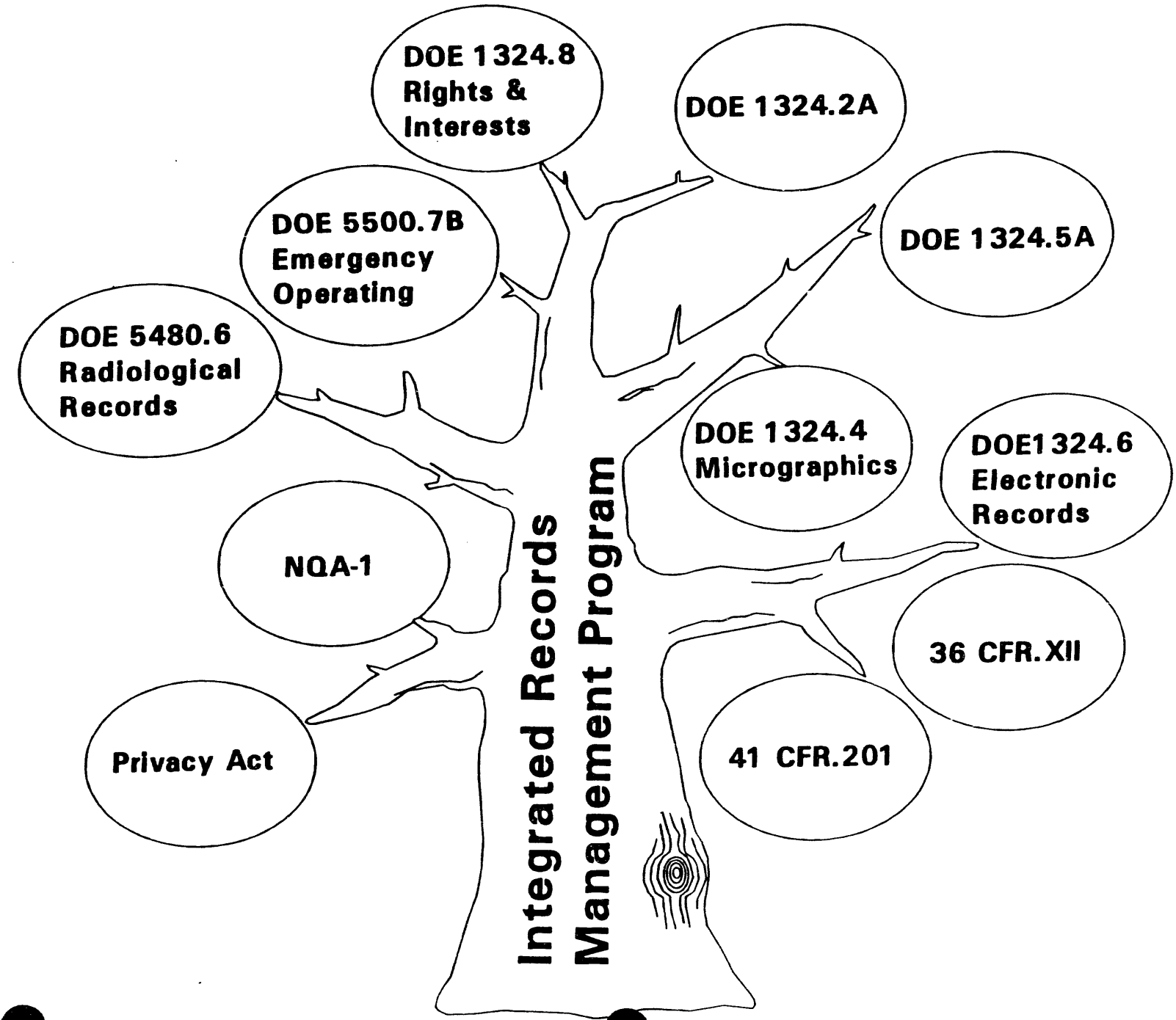
What We Do
How We Do It
Operational Limits

What We Did
When We Did It
Who Did It
Results


NQA-1?


Training and/or Indoctrination
Writing Procedures Established
Examples of Common Records Management Requirements
Continuous Assessments
Records Control FROM Generation THROUGH Maintenance and use TO Disposition
Graded Approach for Implementation


Government
Regulations
NQA-1


DOE 1324.8
Rights &
Interests
DOE 1324.2A
DOE 5500.7B
Emergency
Operating
DOE 1324.5A
DOE 5480.6
Radiological
Records
DOE 1324.4
Micrographics
DOE1324.6
Electronic
Records
NQA-1
36 CFR.XII
Privacy Act
41 CFR.201
Integrated Records
Management Program

TRAINING AN INVENTORY STAFF

Patrick F. Boyle
Millican & Associates

BIOGRAPHY

PATRICK F. BOYLE

Mr. Boyle's career spans a period of 36 years including 13 years in Aerospace and 23 years in the Nuclear industries. As a Professional Engineer, he has engaged in a wide variety of engineering tasks along with increasing levels of management responsibility.

As a consultant in the nuclear industry, he has been involved in a number of projects at commercial nuclear facilities throughout the United States. Since 1988, Mr. Boyle has had the opportunity to work at five different facilities within the weapons complex including assignments at the DOE Headquarters in Washington, D.C.

Mr. Boyle's expertise centers mainly around the topic of Records Management, Configuration Management, Information Management, Maintenance Engineering, Regulatory Compliance, Document Control and formal Policies and Procedures. He has served on several national committees in pursuit of standards associated with maintaining records in electronic format and standards for writing procedures within the weapons complex.

Mr. Boyle is presently serving as the Project Leader for Millican and Associates on the Records Inventory Project at Sandia National Laboratories in Albuquerque, New Mexico. He is a charter member of the Nuclear Information and Records Management Association and DOE Special Interest Group on Procedures. He has spoken before a number of local and national professional organizations. He was educated at the University of Maryland.

"TRAINING AN INVENTORY STAFF"

Pat Boyle

Millican & Associates

DOE Records Management Conference
June 17, 1993
Seattle, Washington

TYPICAL QUESTIONS

- What training is necessary to complete good record series and retention schedules?
- What level of training is necessary to get the overall job done?
- What do my resources need to know about the inventory process?

TYPICAL QUESTIONS
(continued)

- What do my resources need to know about legal research (i.e., retention time citations).

- What do my resources need to know about the SF115's or DOE 1324 guidance?

- What do my resources need to know about published guidance?

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NATURE AND IMPORTANCE OF PLANNING

- Careful planning is essential to good instructions and achieving desired results.
- Questions to be answered are:

OBJECTIVE:

- What do I want to achieve?
- What should be taught?

METHOD:

- What instruction method should be used?
- How should it be taught?

NATURE AND IMPORTANCE OF PLANNING (continued)

EVALUATION:

- How will I know when I have achieved the objective?
- How will I know if the training was effective?

Planning options are:

a) The Expedient Approach (strong on what, weak on how)
b) The Piecemeal Approach (concept vs. details)
c) The Systematic Approach (performance based)

SYSTEMATIC APPROACH

THEORY:

- The end defines the means

SEQUENCE:

- Preliminary step = define the objectives
  - What are the trainees supposed to be able to do as a result of the training?
- Secondary step = define the details
  - What should be taught and to what depth?
  - In what order should topics be taught?
  - What method should be used?

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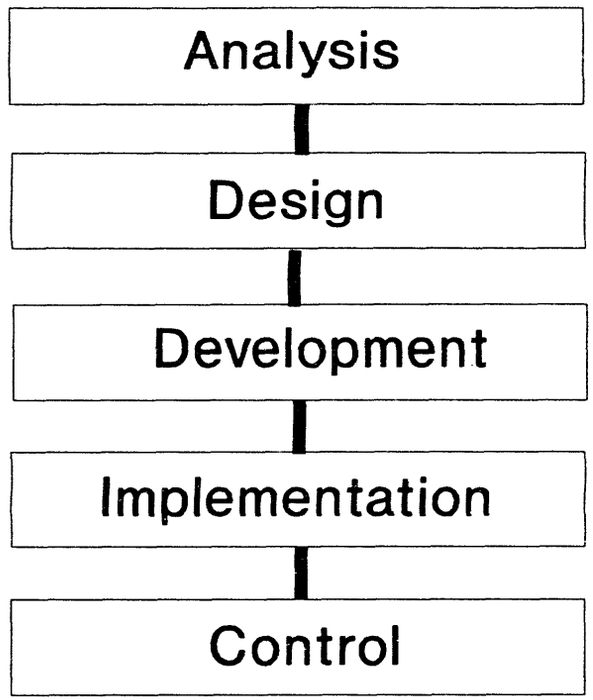
SYSTEMATIC APPROACH
(continued)

PROCESSES:



Instructional Systems Development, Five Step Process

SYSTEMATIC APPROACH
(continued)

ANALYSIS PROCESS:

What the Trainee Should be Able to Do (Objective)

\- What the Trainee Can Already Do (Prior Skill and Knowledge)

= What Needs to be Taught

Defining the Scope of Instructions

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SYSTEMATIC APPROACH
(continued)

DESIGN PROCESS:

Skills and Knowledge

\+ Performance Standards (Expectations)

= Means of Evaluating Learning

DECISION:

- Structure of the Training Program
- The Number and Types of Course Components/ Modules
- The Sequence in which Elements are Offered

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SYSTEMATIC APPROACH
(continued)

DEVELOPMENT PROCESS:

a) Training Materials:

- Lesson Plans
- Lesson Documentation
- Training Aids

b) Ensure Applicability

- Validate Training Materials on Sample (Trainee) Population

SYSTEMATIC APPROACH
(continued)

IMPLEMENTATION (OR DELIVERY) PROCESS:

- Important Factors
  - Professionalism and Skills of the Instructor
  - Environmental Conditions Chosen and Instructional Setting
  - Rules Instructors versus Trainees
  - Results, Understanding of Objectives
    - Mastery of Material
    - Performance Measures

SYSTEMATIC APPROACH
(continued)

CONTROL PROCESS:

- Involves continuing evaluation and revision to determine:
  - Does the program provide the intended instructions?
  - Do trainees perform as anticipated on the job?
  - How well did the Instructional Systems Development processes work?
  - Have changes occurred which affect the trainees performance?

TRAINING AN INVENTORY STAFF
SUMMARY

Planning Options, Choices are:

- The Expedient Approach
- The Piecemeal Approach
- The Systematic Approach

The Quality of the Product or Task Performed is Directly Proportional to:

1) Tangible Performance Measures

2) Quality and Quantity of Training

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EXAMPLES: PERFORMANCE MEASURES

- Conduct an Interview
- Complete an Inventory Form
- Write a Record Series
- Complete Retention Research
- Maintain Data Base
- Complete Retention Schedules

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PANEL:

TRAINING PROGRAMS

Thomas Rowley
EG&G Idaho, Inc.

Debi Martin
Pacific Northwest Laboratory

Lynn Pavelka-Zarkesh
Chem-Nuclear Geotech, Inc.

RECORDS MANAGEMENT TRAINING
IDAHO NATIONAL ENGINEERING LABORATORY
EXECUTIVE SUMMARY

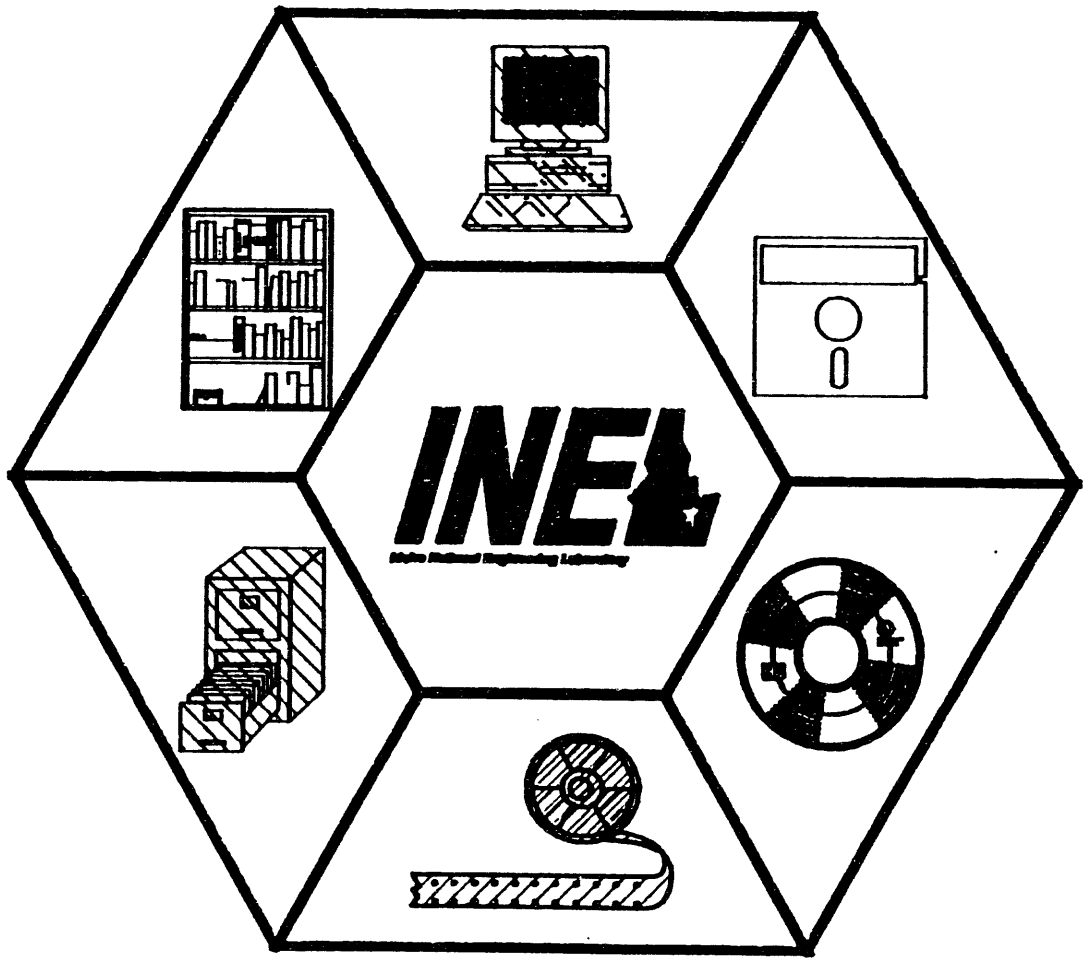
Diversity...how different can records management be? The Idaho National Engineering Laboratory Strategic Planning Group (ISPG) was formed to implement the objectives of the Departmental "Vision 21" in consistently, effectively, and efficiently managing information resources. As a result, the Records Promotion, Awareness, and Training Program has focused on publicizing records management, encouraging acceptance, increasing employee awareness, gaining wide-spread support, and implementing good business practices.

RECORDS MANAGEMENT TRAINING
IDAHO NATIONAL ENGINEERING LABORATORY
BIOGRAPHY

PRESENTER: Thomas C. Rowley

Tom Rowley is a Senior Records Management Analyst, EG&G Idaho, Incorporated, at the Idaho National Engineering Laboratory (INEL). Mr. Rowley's experience comes from ten years in the records management field primarily dealing with quality records, planning documents, and marketing. He is currently involved in the identification and analysis of environmental records for the INEL.

RECORDS MANAGEMENT



TRAINING

RECORDS MANAGEMENT TRAINING
SITE WIDE STANDARDIZATION

Presented at the DOE Records Management Conference

June 17, 1993

Seattle, Washington

by the

IDAHO NATIONAL ENGINEERING LABORATORY

Records Management Officer
DOE-ID
Toni M. Love
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Contractor Records Officers

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Myrna Wirth
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Protection Technology Idaho (PTI)
Barbara Compton
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West Valley Nuclear Services (WVNS)
Dolph Bonenberger
(716) 942-4210

Westinghouse Idaho Nuclear Company, Inc. (WINCO)
Scott Ward
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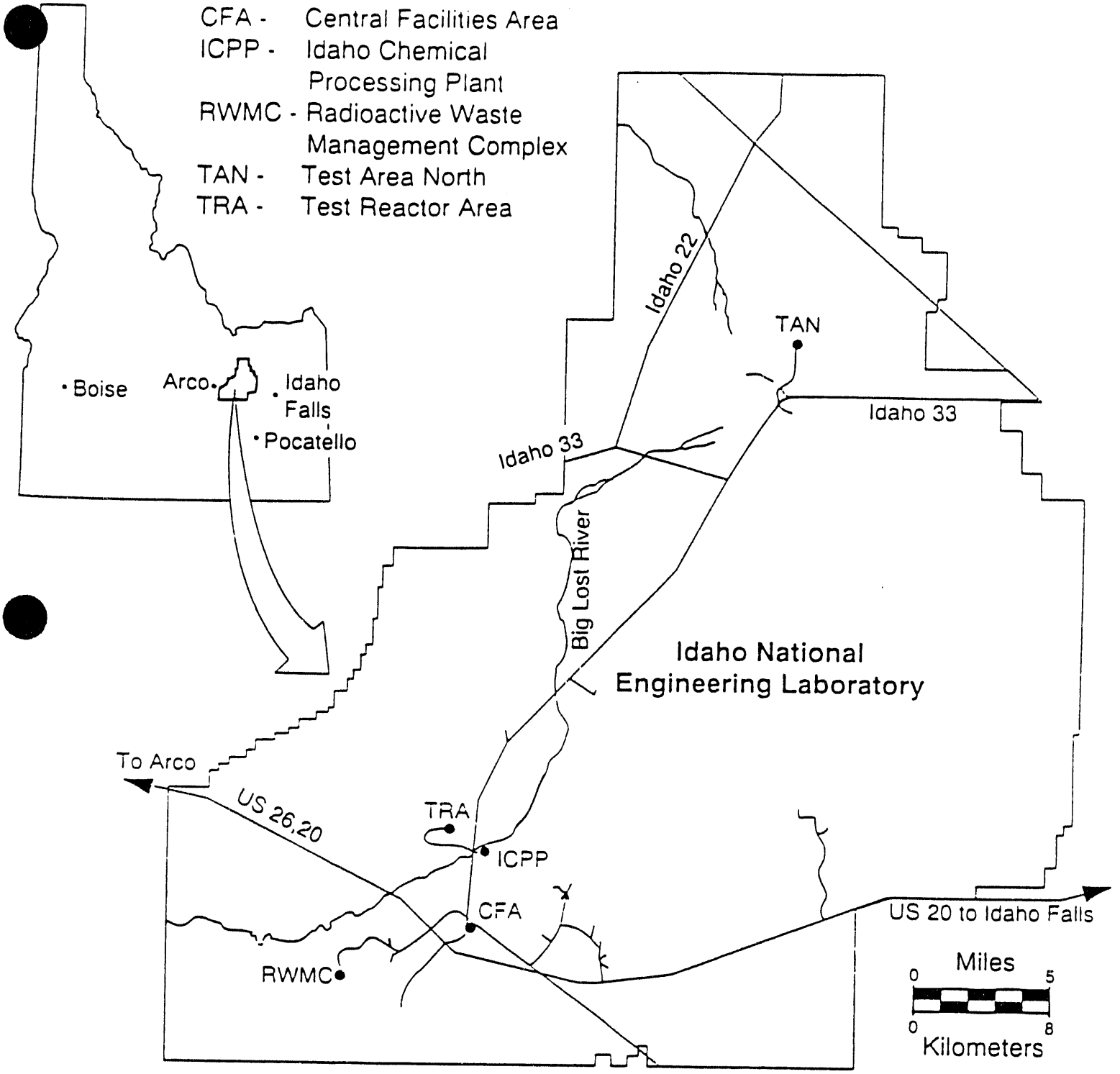
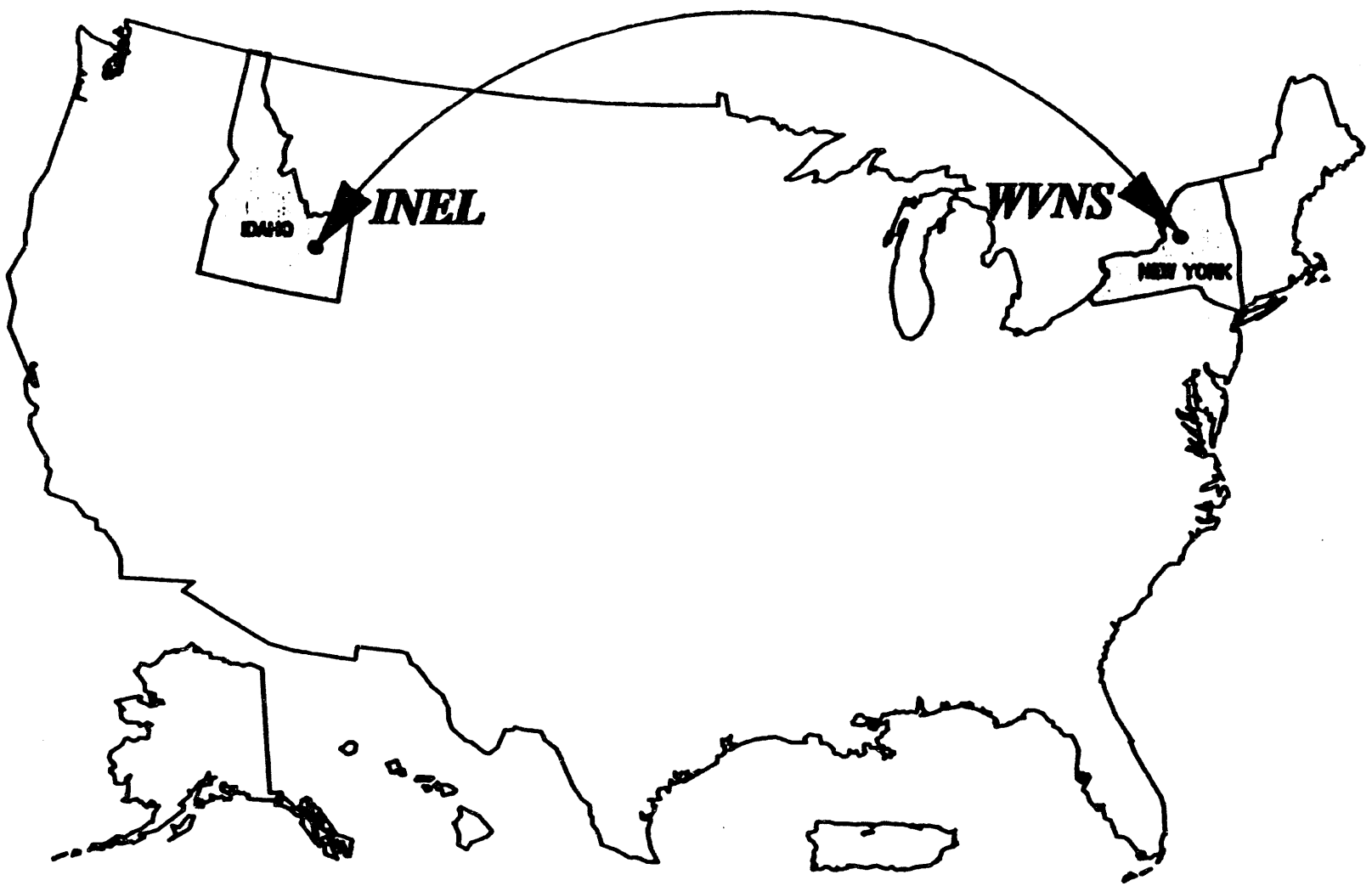
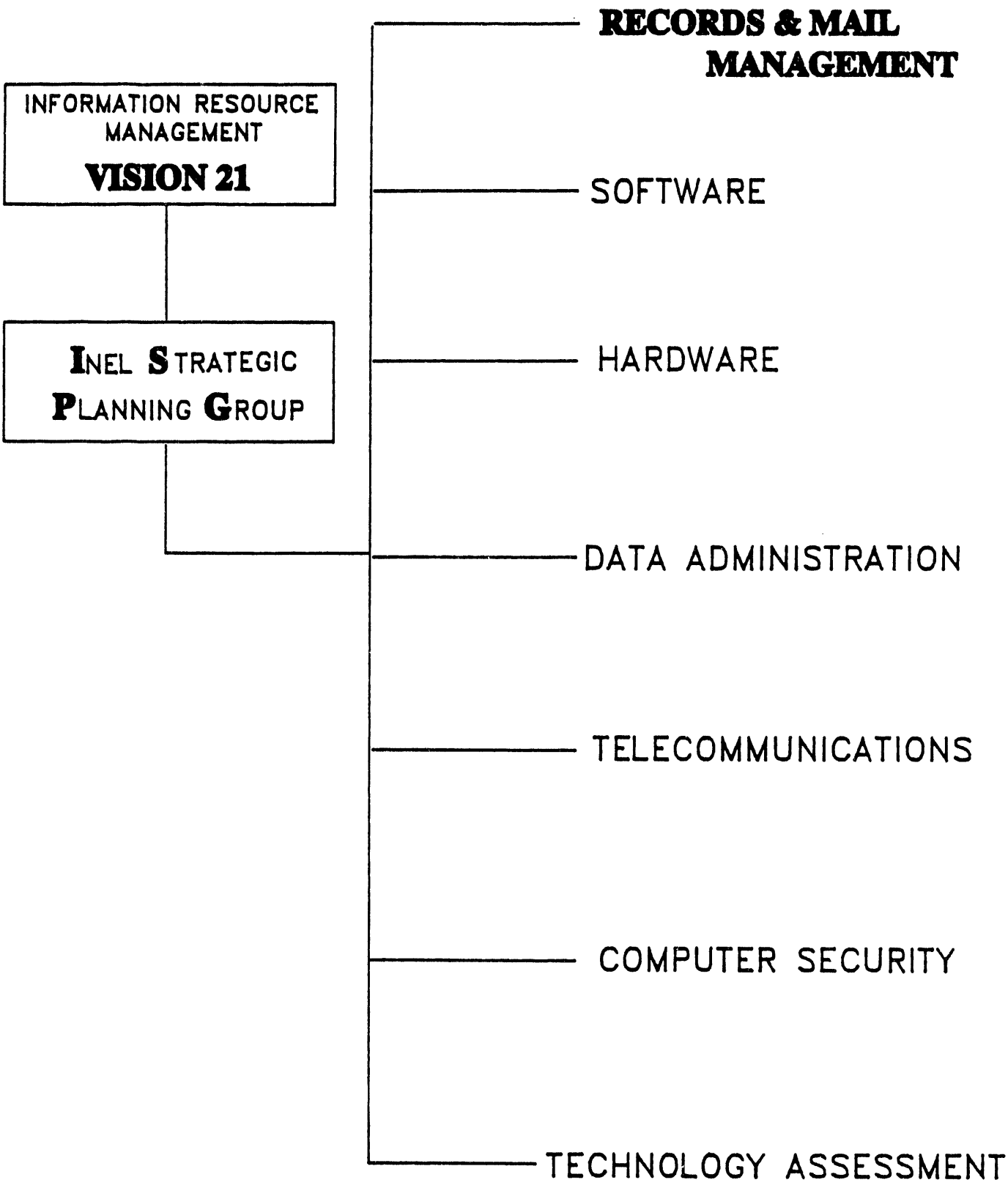
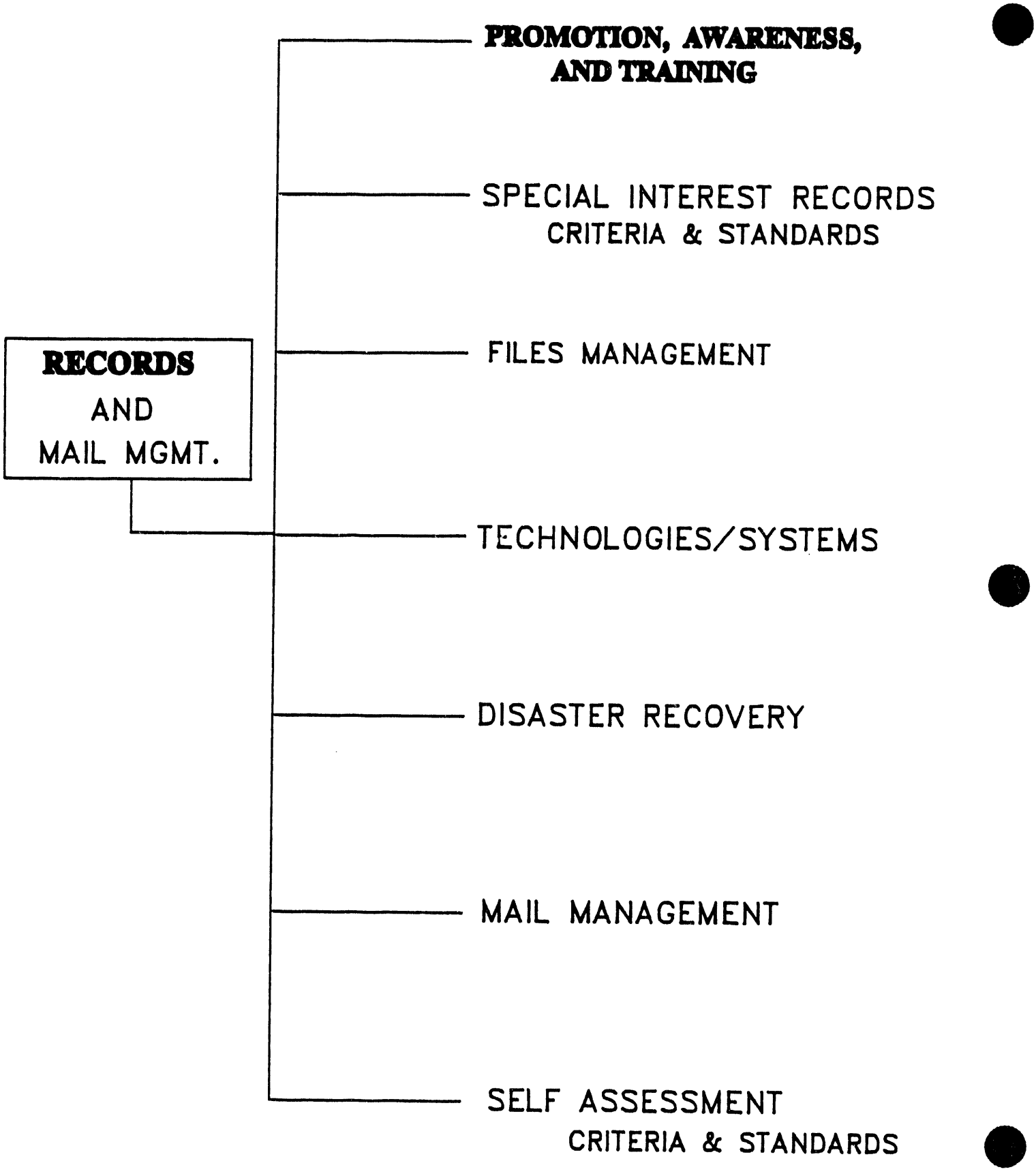

CFA - Central Facilities Area
ICPP - Idaho Chemical Processing Plant
RWMC - Radioactive Waste Management Complex
TAN - Test Area North
TRA - Test Reactor Area
Boise
Arco
Idaho Falls
Pocatello
Idaho 22
TAN
Idaho 33
Idaho 33
Big Lost River
Idaho National Engineering Laboratory
To Arco
US 26,20
TRA
ICPP
CFA
RWMC
US 20 to Idaho Falls
Miles
0
5
0
8
Kilometers


INEL
IDAHO
WVNS
NEW YORK


INFORMATION RESOURCE MANAGEMENT
VISION 21
INEL STRATEGIC PLANNING GROUP
RECORDS & MAIL MANAGEMENT
SOFTWARE
HARDWARE
DATA ADMINISTRATION
TELECOMMUNICATIONS
COMPUTER SECURITY
TECHNOLOGY ASSESSMENT


RECORDS
AND
MAIL MGMT.
PROMOTION, AWARENESS, AND TRAINING
SPECIAL INTEREST RECORDS
CRITERIA & STANDARDS
FILES MANAGEMENT
TECHNOLOGIES/SYSTEMS
DISASTER RECOVERY
MAIL MANAGEMENT
SELF ASSESSMENT
CRITERIA & STANDARDS

RECORDS PROMOTION, AWARENESS, AND TRAINING TASK GROUP

VISION:

Ensure plans are developed and implemented for conducting continuous records management awareness and training.

RECORDS PROMOTION, AWARENESS, AND TRAINING TASK GROUP

GOALS:

- Publicize the records management program and encourage it's acceptance
- Increase employee awareness of the value of records
- Gain widespread support for the records management program
- Be in compliance with DOE records requirements and good business practices

DUPLICATION OF EFFORT

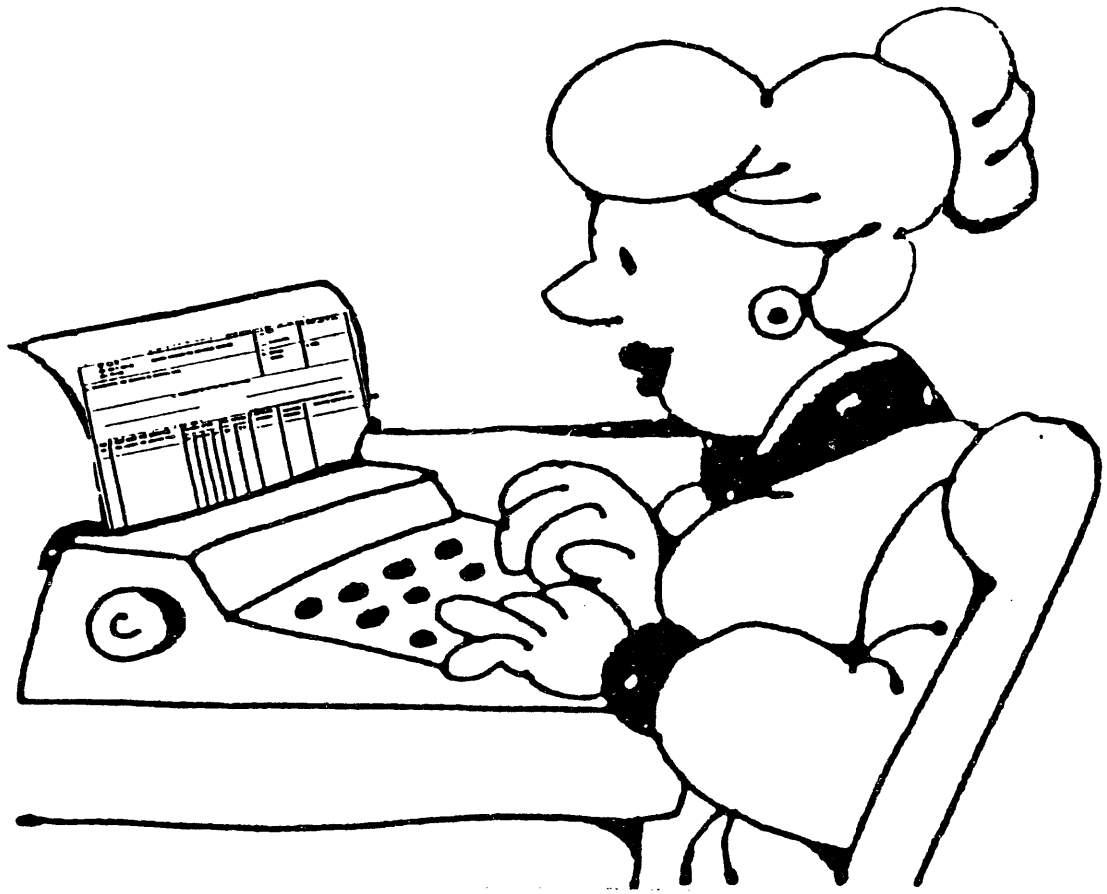
DON'T RE-INVENT THE WHEEL

CREATES TRAINING INCONSISTENCIES AND COT MONEY!

MANAGERS OVERVIEW COURSE

- ***AWARENESS***
- ***RESPONSIBILITY***
- ***BENEFITS***

RECORDS COORDINATOR



- *INVENTORIES*
- *STORAGE*
- *SCHEDULING*
- *ROAD MAP*

OTHER TRAINING COURSES

- **EMPLOYEE VIDEO/NEW & CURRENT**
- **SCIENTIFIC & TECHNICAL PERSONNEL**
- **FILES MANAGEMENT**

EXECUTIVE SUMMARY

This presentation will cover Records Management Training efforts at the Pacific Northwest Laboratory (PNL). Descriptions of the different methods of training provided, such as the general Records Management class, New-hire Orientation, Records Management Quality Group sessions, Records Management briefings, one-on-one training, and Introduction to NQA-1, are included. Information about training for PNL Records Management staff is also included.

BIOGRAPHY

Deborah (Debi) Martin, is a Records Specialist in the Records Management and Document Control Section at the Pacific Northwest Laboratory (PNL) in Richland, Washington. She prepares and presents records management training, operates as a primary reference source for federal, state, and corporate records management requirements, and provides technical assistance in records management. Her work includes evaluating records systems, writing procedures, and developing and coordinating Hanford site disaster recovery activities.

Debi has nine years experience in records management and received her B.S. in Business Management from Liberty University in 1992. She currently is working towards her Certified Records Management (CRM) certificate.

Records Management Training Activities
at the Pacific Northwest Laboratory (PNL)

PNL is a multi-disciplinary, national research laboratory with a wide range of professionals, such as scientists, engineers, technicians, and managers and other administrative professionals, and a variety of support personnel, totaling over 4,000 people. In addition to the administrative file stations that are required to support these people, we also have file stations for a large number of research projects. Managing records for a diverse organization of this size can be very challenging. Training the record creators and custodians to manage records plays a significant part in our records management program.

We have several goals that we want to achieve through our training in records management: 1) to raise the visibility of our records management program, 2) to provide a better understanding of our records management program and it's benefits, 3) to communicate to the personnel in the field that we can assist them with their records management activities (such as arranging a filing system so that their records are easily located), 4) to increase the record custodians awareness of their responsibilities and explain the procedures to follow in carrying out their responsibilities, and 5) to keep the staff in our records management organization up-to-date on polices and practices.

We have several different ways of notifying personnel about the training that is available. Routine training that is open to all personnel is listed in a training catalog published by our Training Office and is advertised in our company newsletter. We advertise single-event training sessions with flyers and in our company newsletter. During consultations with personnel in the field, we identify the need for training and make appropriate recommendations, and we receive requests for training from personnel in the field that are having specific problems. Also, there are other support groups within PNL that recommend records management training for specific personnel or activities, such as the Quality Engineers, Auditors, and Project Management Support groups.

Our goals for spreading the word are included in three training categories: general training that covers general records management activities, customized training that includes training that responds to a specific group or problem, and training for our records management staff.

General training covers common records management activities for a general audience. Following are the types of general training that we provide:

- General Records Management Class. This is a two hour class that is offered to all personnel who are responsible for maintaining records, which includes scientists, engineers, managers, secretaries, clerks, and many other positions. We provide this class four to six times a year for about 200 personnel per year. The class contents includes general information on key elements for all personnel regarding the creation, use, and disposition of records (i.e., policy and procedural requirements, definitions for record/non-record, inventorying and

scheduling records, RIDS, standard filing system, and storage. We reinforce the material with two quizzes during this class, however, the quizzes are not evaluated.

- Records Management Quality Group. These are one-hour long training sessions that are held quarterly as an information exchange for different records management topics. It is open to all personnel and average attendance for this type of training is about 250 personnel per year. Topics that we have presented in the past include:

  - RIDS
  - Standard Filing System
  - Maintaining Project Files
  - Litigation
  - Laboratory Record Books.

  We hold these sessions in the auditorium because the attendance size varies greatly depending on the topic. For instance, the session on Laboratory Record Books was attended mostly by scientists and quality engineers, and the audience for our RIDS session consisted mostly of secretaries and clerks.

- New-hire Orientation. This training is an eight-hour session provided bi-monthly to all new-hire clerks and secretaries about office policies and practices, including a section on records management. The attendance for this can vary greatly based on the number of new-hires, but last fiscal year we trained about 300 secretaries and clerks.

Customized training is training that we provide for specific groups or activities where the requirements may be different due to the scope of work and client requirements. Following are the types of customized training that we provide:

- Briefings. These are training sessions that we provide on request from personnel in the field on specific topics. Briefings sessions are usually initiated by project managers to assure that project staff are aware of procedure requirements, but since we taylor the briefings to specific needs, we can provide this training to cover any request. The audience for our briefings includes managers, scientists, engineers, custodians, etc. The number of briefing sessions varies every year.

- One-on-One Training. Personnel in the field often receive new responsibilities and must receive immediate training in order to fulfill their duties. Also, individual needs often require personal training. This training is provided to individuals in the field at their request to answer questions specifically about their records system.

- Introduction to NQA-1. This training covers all the requirements in NQA-1, including records management, and is required for anyone requesting a controlled copy of the QA Manual.

In addition to training our record creators and custodians, staff in our Records Management organization need to be trained in order to provide support and assistance to the records custodians in the field and assure that PNL is complying with the appropriate laws and requirements. Training available for our Records Management staff includes:

- DOE Conferences and Training. The DOE conferences provide training on current records management issues as they apply to DOE, and they offer us the opportunity to meet and exchange information with other records management professionals from other DOE sites. Recently, DOE-RL arranged for training for the Hanford Site Records Management staff on electronic records and records scheduling records.

- ARMA. Our Records Management staff are very active in ARMA, and we receive training through ARMA at the annual International Conferences and through our local ARMA chapter which has provided annual seminars. Some topics of recent local seminars included:

  - Hands-On Filing Workshop
  - Basic Systems Analysis Tools for Computer Users
  - Practical Project Management
  - Imaging Technology Update
  - Disaster Recovery

- NARA. We have also been able to take advantage of training through NARA in Washington, D.C. and through the Federal Records Center in Seattle. Training that we have received recently includes:
  - Records Scheduling
  - Files Improvement
  - Managing Electronic Records

- NIRMA. Attendance at the annual NIRMA conferences has provided us with training on a number of records management topics through a variety of technical programs, panels, and committees.

- Other Resources.

  - We prepare a monthly training list that identifies training classes and material on records management related activities that is being offered by outside sources. This list is prepared monthly and sent to DOE-RL and all Hanford Contractors as a tool in staff development for the Records Management staff.

  - Our organization recently established a records management reference collection which includes reference books, publications, and proceedings from seminars and conferences. This collection is primarily used by Records Management staff.

Our future plans for records management training include developing training sessions on Document Control, Filing Tips, Records Storage, Optical Disk, Electronic Records and Electronic Mail, Scheduling Records, Classified Records, and Disaster Recovery. Depending on budget constraints, we are also

looking into the possibility of purchasing training software to cover routine activities, such as completing Records Transfer/Data Input forms, and setting up files using our standard filing system.

The Building Blocks
for Sitewide
Records Management Training
presented by
Lynn Pavelka-Zarkesh

Executive Summary

Presentation discusses the training developed to correct the records management knowledge and skill deficit. The approach presents the key concepts and principles needed for a foundation and then presents additional skills and concepts needed by successively more distilled audience.

Biography

Lynn has over 20 years of experience from private industry, commercial nuclear power and government projects. Her programmatic development, management and training experience ranges from engineering to configuration management to records management/document control programs. She has presented papers for the American Nuclear Society, the Symposium on the Training of Nuclear Facility Personnel, and has been responsible for the development/instruction of all records management courses at the Grand Junction Projects Office.

The Building Blocks for Sitewide Records Management Training

June 1993

presented by

Lynn Pavelka-Zarkesh

RUST Geotech Inc.

U.S. Department of Energy

Grand Junction Projects Office

The Building Blocks for Sitewide Records Management Training

1.0 Introduction to the problem

1.1 The problem ...

1.2 Traditional attempts at resolution ...

1.3 The real root cause ...

2.0 A solution that works...

2.1 Increase the skills and knowledge ...

2.2 What must the training provide ...

- *A records management dialect ...*
- *Records management commitments/laws ...*
- *Baseline records management guidance ...*
- *Responsibilities across the organizational hierarchy ...*
- *Hands-on practice.*

3.0 How are the sitewide building blocks assembled...

3.1 Foundation: Overview of the scope of records management at employee orientation classes.

3.2 Level 1: Overview of records management principles, commitments and implementation.

3.3 Level 2: Development of skills for day to day records creation and use.

3.4 Level 3: Development of skills for annual program maintenance.

3.5 Level 4: Development of skills for analytical records management tasks.

3.6 Elements of each building block.

RUST Geotech Inc.
U.S. Department of Energy
Grand Junction Projects Office
Work performed under the auspices of the U.S. Department of Energy
DOE Contract No. DE-AC04-86ID12584

What's the problem...

Implementation of records management programs which are increasing in complexity and scope.

vg1.1

Traditional attempts for resolution...

- ***Request more funding [fat chance],***
- ***Request more RM personnel [fatter chance],***
- ***Matrix personnel from existing organizations,***
- ***Centralize files, storage and/or distribution,***
- ***Decentralize files, storage and/or distribution,***
- ***Reorganization of records management responsibilities, etc.***

...deal with the symptoms and not the root cause.

vg1.2

The real root cause...

Across each site there are not sufficient personnel with the knowledge and skills to support implementation of current records management requirements.

vg1.3

An achievable solution...

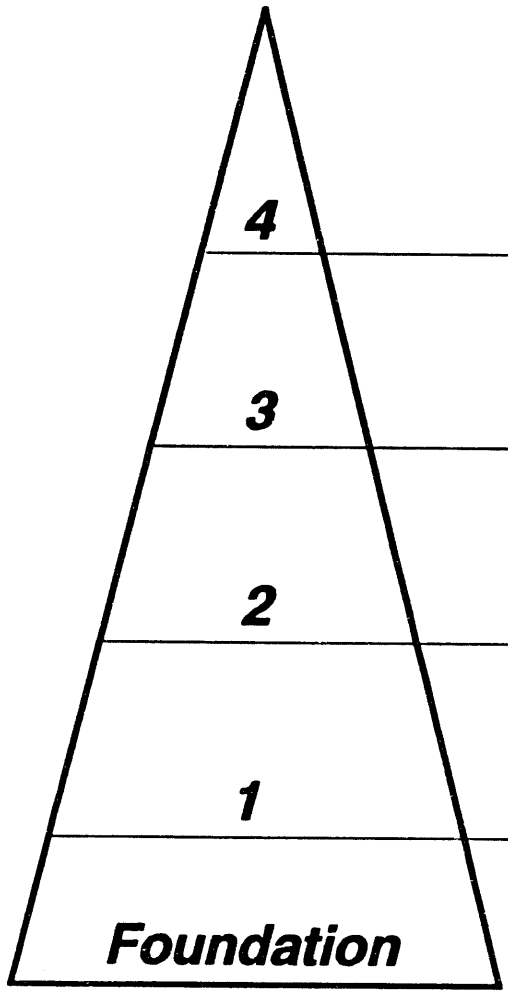
Increase the skills, knowledge and awareness of personnel commensurate with the task.

vg2.1

The training must provide...

- ☐ ***A records management dialect.***
- ☐ ***The records management commitments (legal, contractual and common sense).***
- ☐ ***Baseline records management guidance.***
- ☐ ***Responsibilities.***
- ☐ ***Hands-on practice.***

The Building Blocks



Skills for analytical RM tasks: selected coordinators and lead RM personnel.

Skills for annual maintenance of RM program: coordinators and lead RM personnel

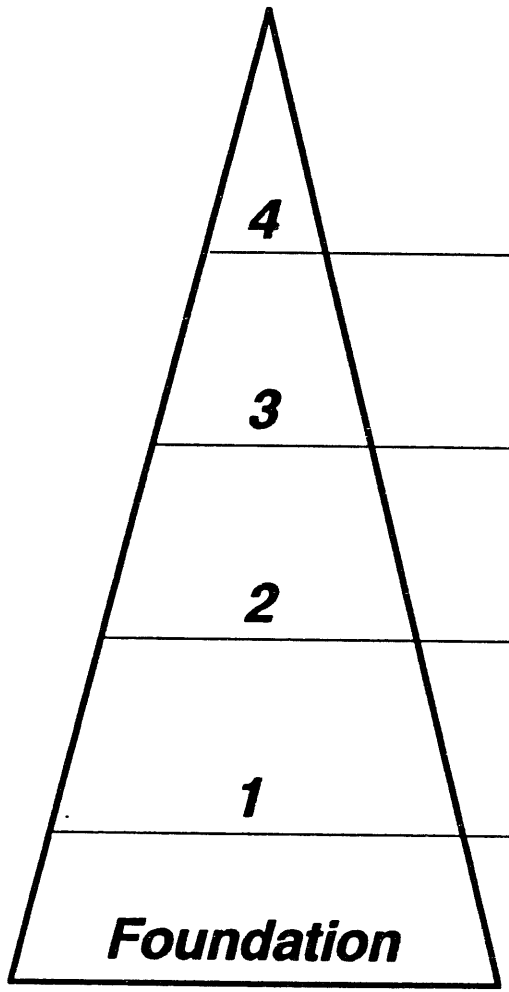
Skills for records creation and use; Selected supervisory, coordinators, lead administrative & RM personnel.

Overview of principles, commitments & implementation: managers, supervisors, coordinators, lead administrative & RM personnel.

Part of sitewide orientation requirements for all new employees.

vg3.0

The Building Block Topics



Development of skills for evaluating series values, preparing appraisals, use and interpretation of GRS/1324.2A & preparing project RM plans.

Hands-on practice of skills for annual file purge, use of records schedules, & inventory methods.

Skills for document control techniques, filing systems, quality records, transfer for storage, use of schedules, overview of the inventory/appraisal process.

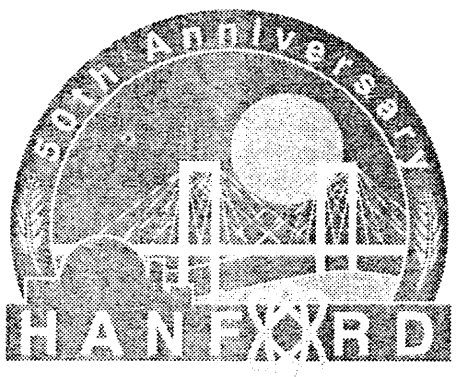
Define key terms, elements of Company RM program and plan, record verses nonrecord, the law, policy, commitments, RM plan development, & responsibilities.

Federal record concept & overview of the scope of ecords management (life cycle),

OPTICAL DISK CASE STUDY

Bob Richardson
Westinghouse Hanford Company

Optical Disk Case Study



Presented by
Bob Richardson
(509) 376-0820

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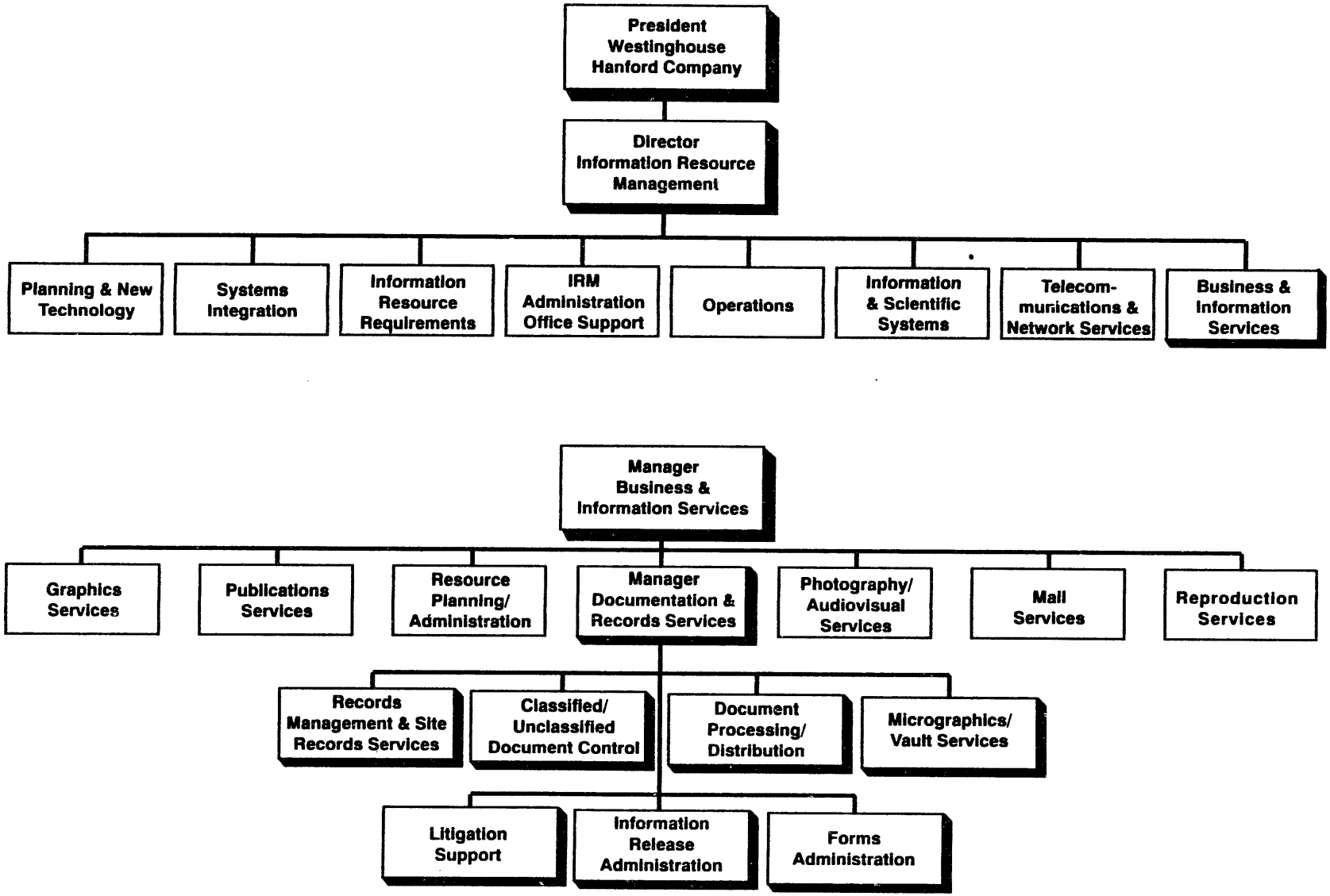

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UNCLASSIFIED
BY
HANFORD

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Compau, Mary E.*
France, Alma H.
Irish, Candice J.
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Riley, Jo Ann
Steen, Gerald E.
Sullivan, Bonnie R.
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Middleton, Anta (Sandee)
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Williams, Mark A.
(Open Req., Clerk–1)
(Open Req., Clerk P/T–2)

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Harrison, Gary L.
LaBarge, Karilynn L.
Lucke, Tressa H.
Miller, Norma J.
Moody, Karla +
Rose, Betty J.
Raleigh, Elaine W.
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Smiley, Chandra L.
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Lenz, Kelli S.
Lester, Sheryl L.
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DOE Classified Doc. Control
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* Part-time
\+ Student

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67230

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McNeill, Auria M.

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Atterberry, Dobie B.
Chen, Anna T.
Yung, Shu-shih

300 Area QA Vault
Hoge, Thelma J.
Jones, Kandace G.
Knapp, Lois P.
Perry, Lana R.
Zinn, Michael +

400 Area QA Vault
Kimball, Jo M.

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Loomis, Delores E.

CVI/Specification File
Garza, Lupe
Worden, Jennifer +

Engineering Drawing/Aperture Card Files
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Heinlein, Diane L.

16MM Microfilm Opns
Al-Quoc, Nguyen T. (Marie)
Clark, Anne E.
Darling, Donald R.

35MM Microfilm Opns
Roberts, Deborah S.
VanBemmel, Patricia J.

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Lowery, Mike R.
Morris, Melanie +
Root, Linda S.
Tarr, Rose N.

Information Release Administration
Birkland, Vicky L.
Boston, Michele N.
Broz, Kara M.
Gonzales, Martha
Melland, Kristie +

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Commitment

Maintain a records management and document control program which ensures that required documents are controlled in an appropriate and consistent manner, and that records created are effectively collected, indexed, stored, and maintained in a manner that allows for efficient/timely retrieval/disposition

Issues

- Ownership (project/DOE)
- Funding obligations (golden rule)
- Protection/retrievability (NQA-1)
- Compliance (audits and surveillances)
- Systems planning (sitewide contractor applications)
- Mission change
  - Research
  - Planning
  - Execution
  - Validation

  } New dynamics of records as a resource

- Litigation support (public demand)
- Award fee impact (value assigned)

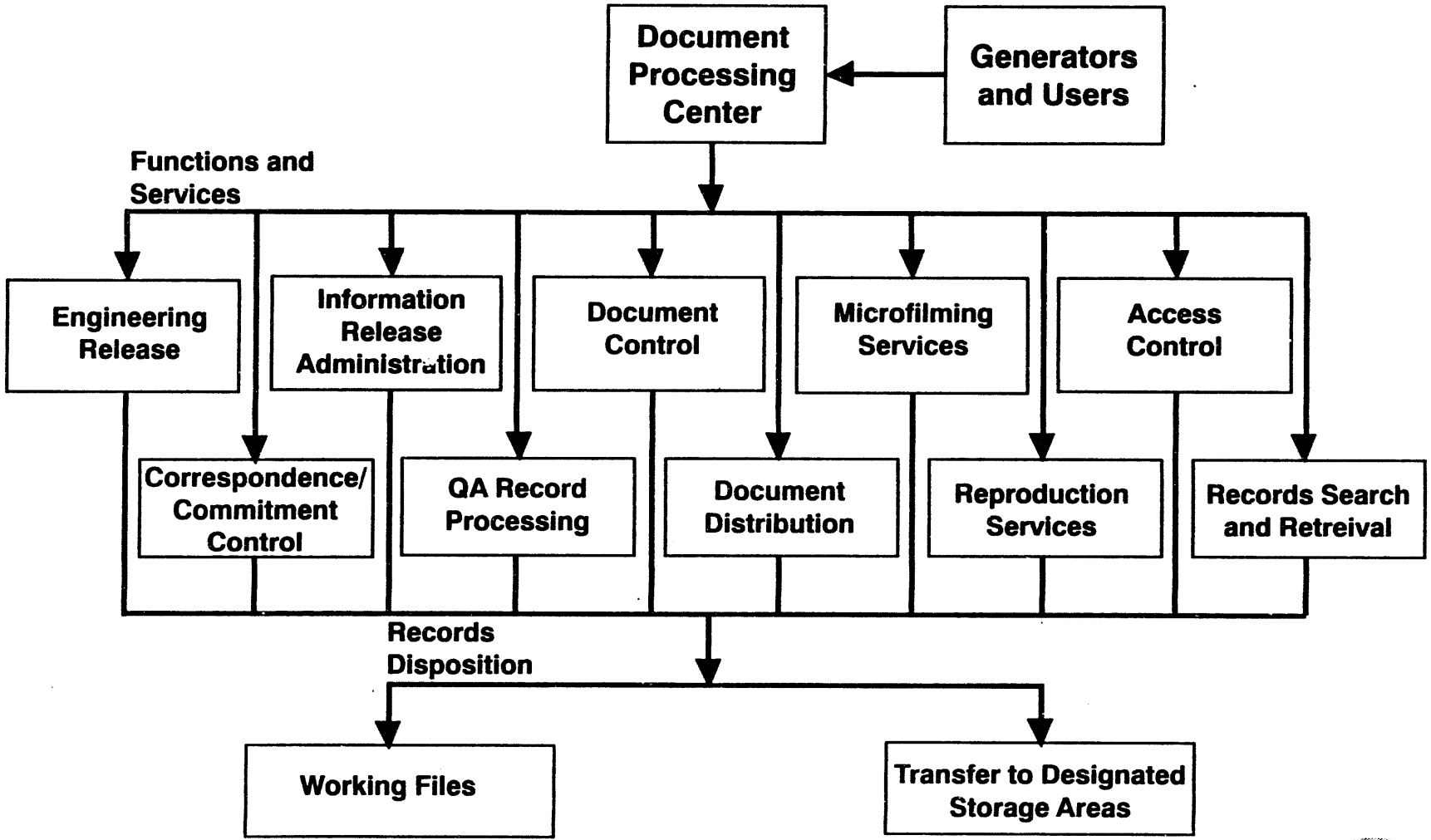
Strategy

- Educate user base (RIDS campaign, HGET, interactive functions)
- De-emphasize ownership (provide alternatives)
- Address user concerns (needs/technology interface)
- Product support service orientation

Approach

- A user-oriented management system incorporating judicious use of technology enhancements, all internal and external requirements, compatibility with multicontractor operations, and integration of agency level (DOE) strategies and direction into real-time compliance actions
  - Satellite (full service) document processing centers keyed to demographics/geography/ secure projects
  - Indexed/retrievable "electronic" working files (growth area)
  - Selective (activated) historical capture
  - G&A baseline (except project unique elements)

Document Control Centers



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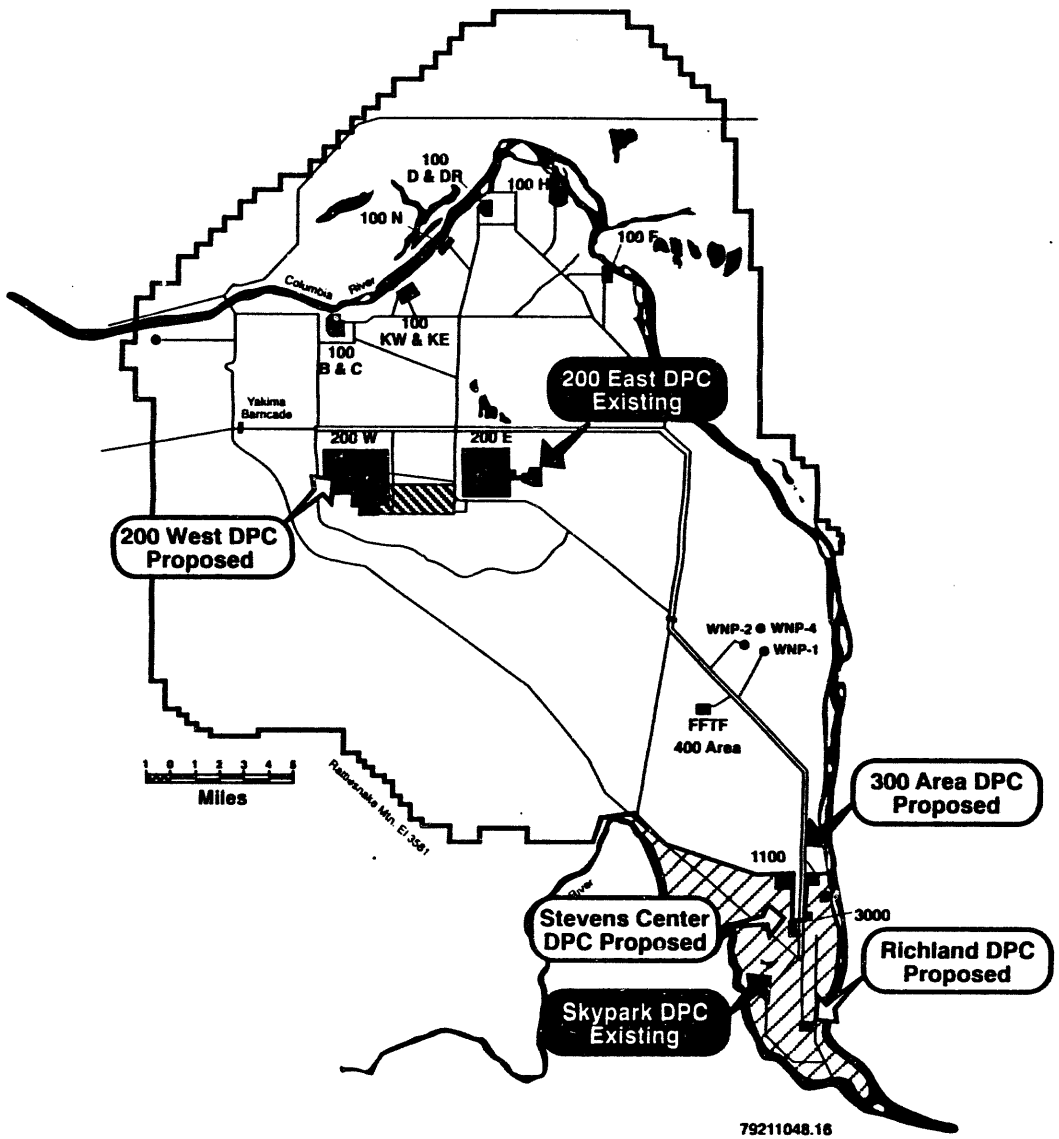
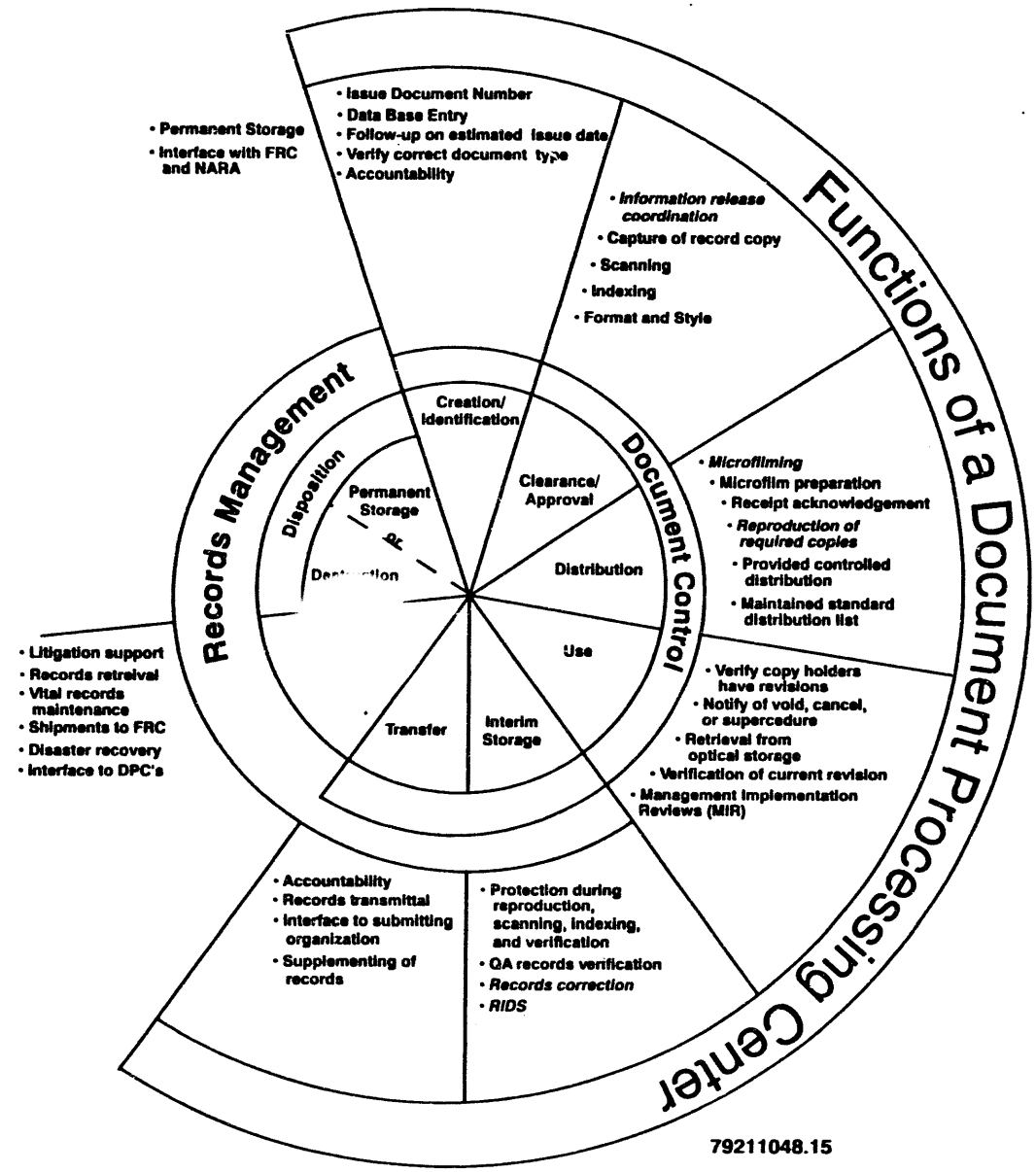


Optical Disk Case Study



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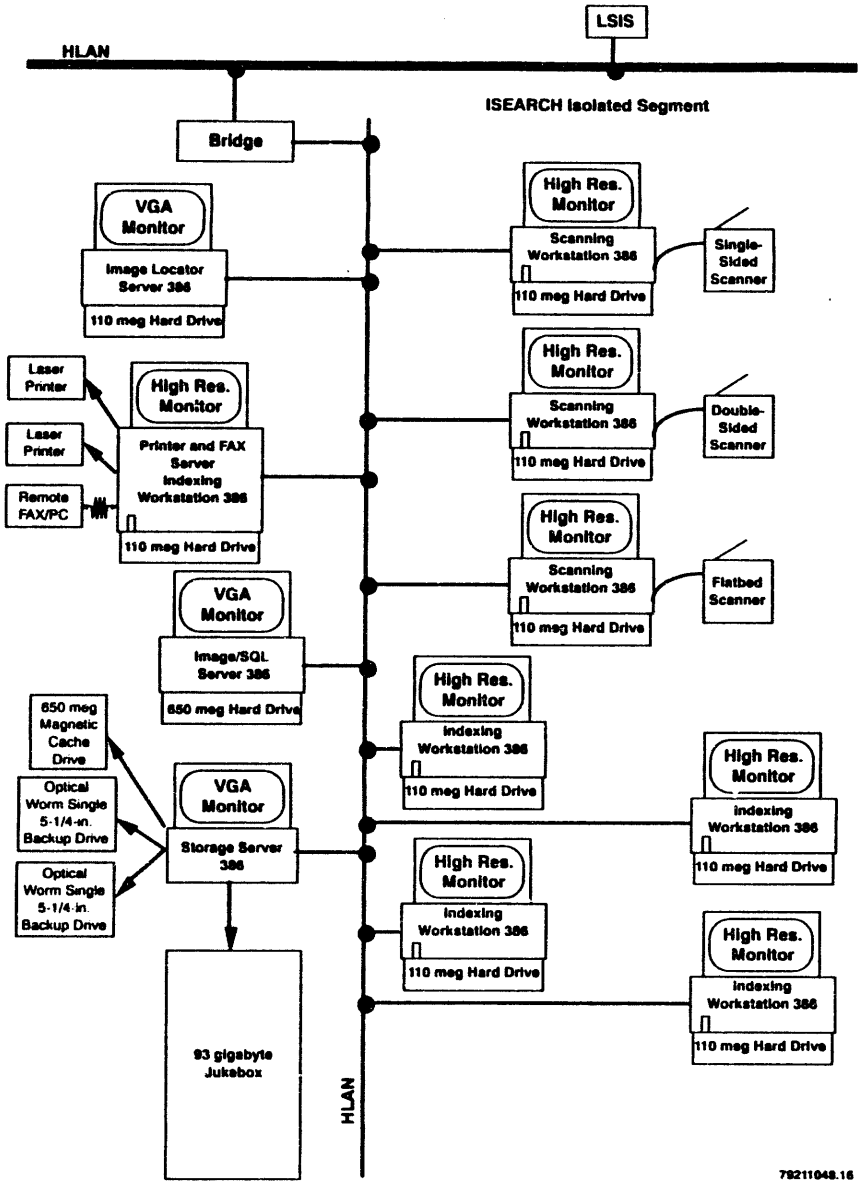
LSIS
HLAN
ISEARCH Isolated Segment
Bridge
VGA Monitor
Image Locator Server 386
110 meg Hard Drive
High Res. Monitor
Scanning Workstation 386
110 meg Hard Drive
Single-Sided Scanner
High Res. Monitor
Scanning Workstation 386
110 meg Hard Drive
Double-Sided Scanner
Laser Printer
Laser Printer
Remote FAX/PC
High Res. Monitor
Printer and FAX Server Indexing Workstation 386
110 meg Hard Drive
High Res. Monitor
Scanning Workstation 386
110 meg Hard Drive
Flatbed Scanner
VGA Monitor
Image/SQL Server 386
650 meg Hard Drive
High Res. Monitor
Indexing Workstation 386
110 meg Hard Drive
650 meg Magnetic Cache Drive
Optical Worm Single 5-1/4-in. Backup Drive
Optical Worm Single 5-1/4-in. Backup Drive
VGA Monitor
Storage Server 386
High Res. Monitor
Indexing Workstation 386
110 meg Hard Drive
High Res. Monitor
Indexing Workstation 386
110 meg Hard Drive
High Res. Monitor
Indexing Workstation 386
110 meg Hard Drive
93 gigabyte Jukebox
HLAN
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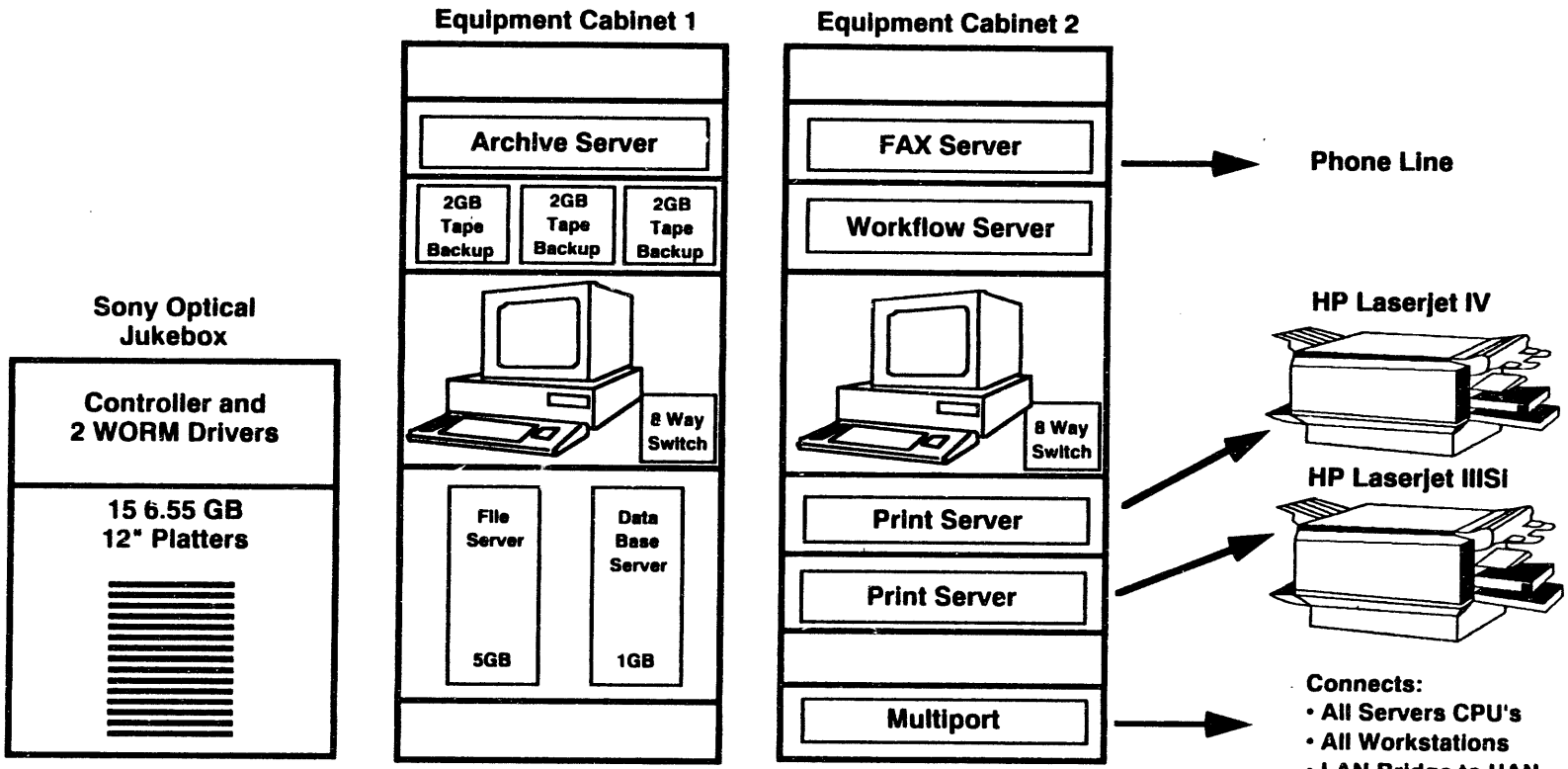


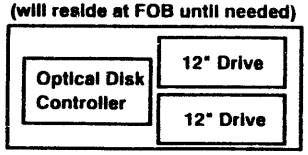
Equipment Cabinets
- 28" wide (22" usable space inside)
- 88" high (needs 6" above for ventilation)
- 30" deep (needs 28" clearance for rear door)
- 7 shelves, plus space for multiport under bottom shelf
- 6 shelves with 8.5" for CPU's, 1 with 15" for monitor
- Cabinet 1 will have 2 lower shelves removed

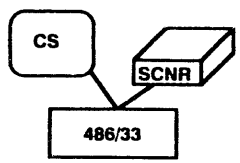
Sony Optical Jukebox
- Cabinet Size
  - 28" wide
  - 71" high
  - 44" deep
- 15 platter system expandable to 30/50

Servers
- File Server and Data Base Server
  - AST 486/66, 16 MB RAM
  - Tower Case
    - 9" wide
    - 25" high
    - 22" deep (includes 2" for cables)
- All Other Servers
  - AST 486/66, 16 MB RAM

Workstations
- Eight AST 486/33 Stations
  - Cornerstone Monitors
  - 16 MB RAM
  - four with Fujitsu 3097E Scanners

Backup Optical Sub-System
(will reside at FOB until needed)

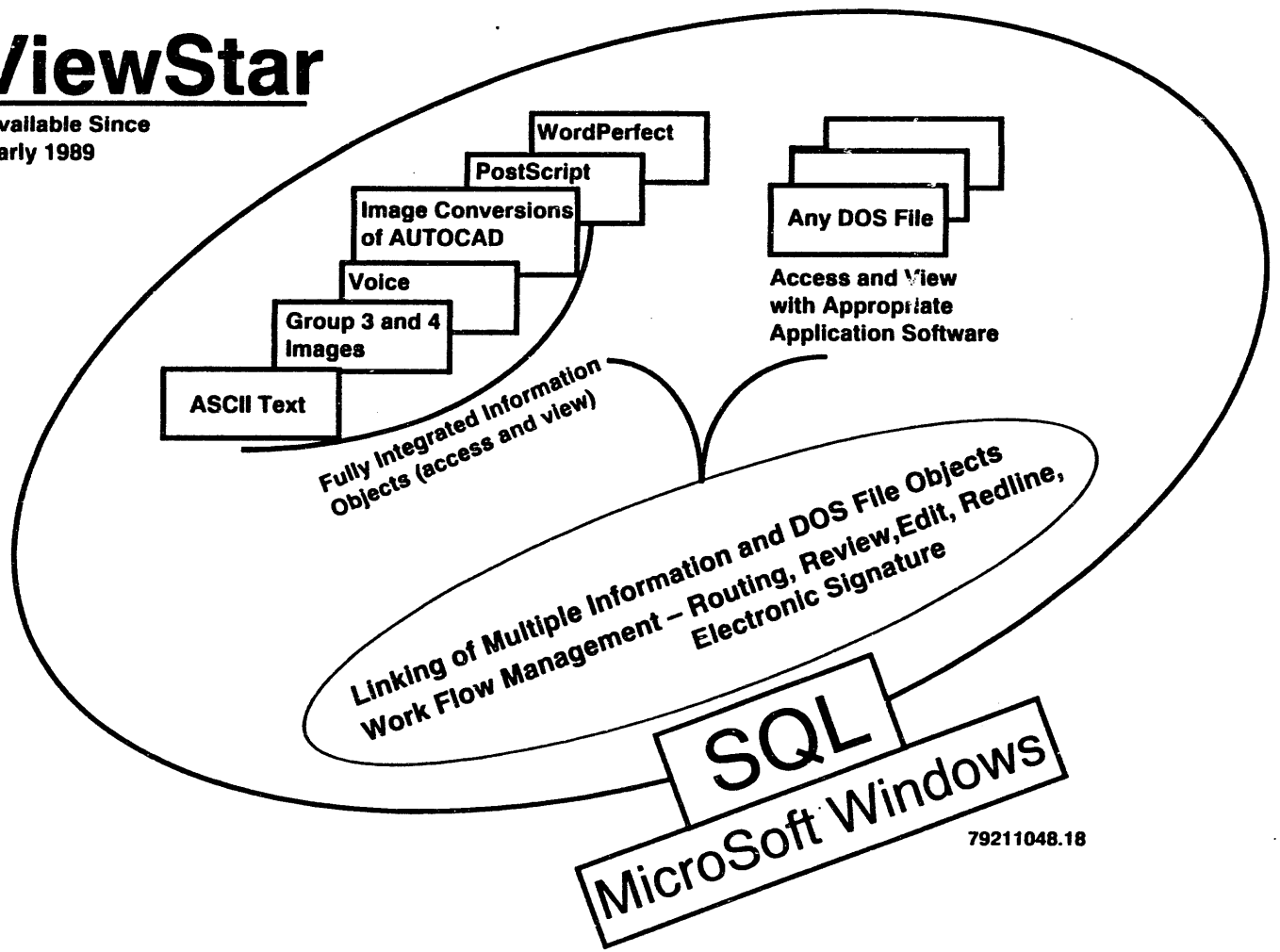




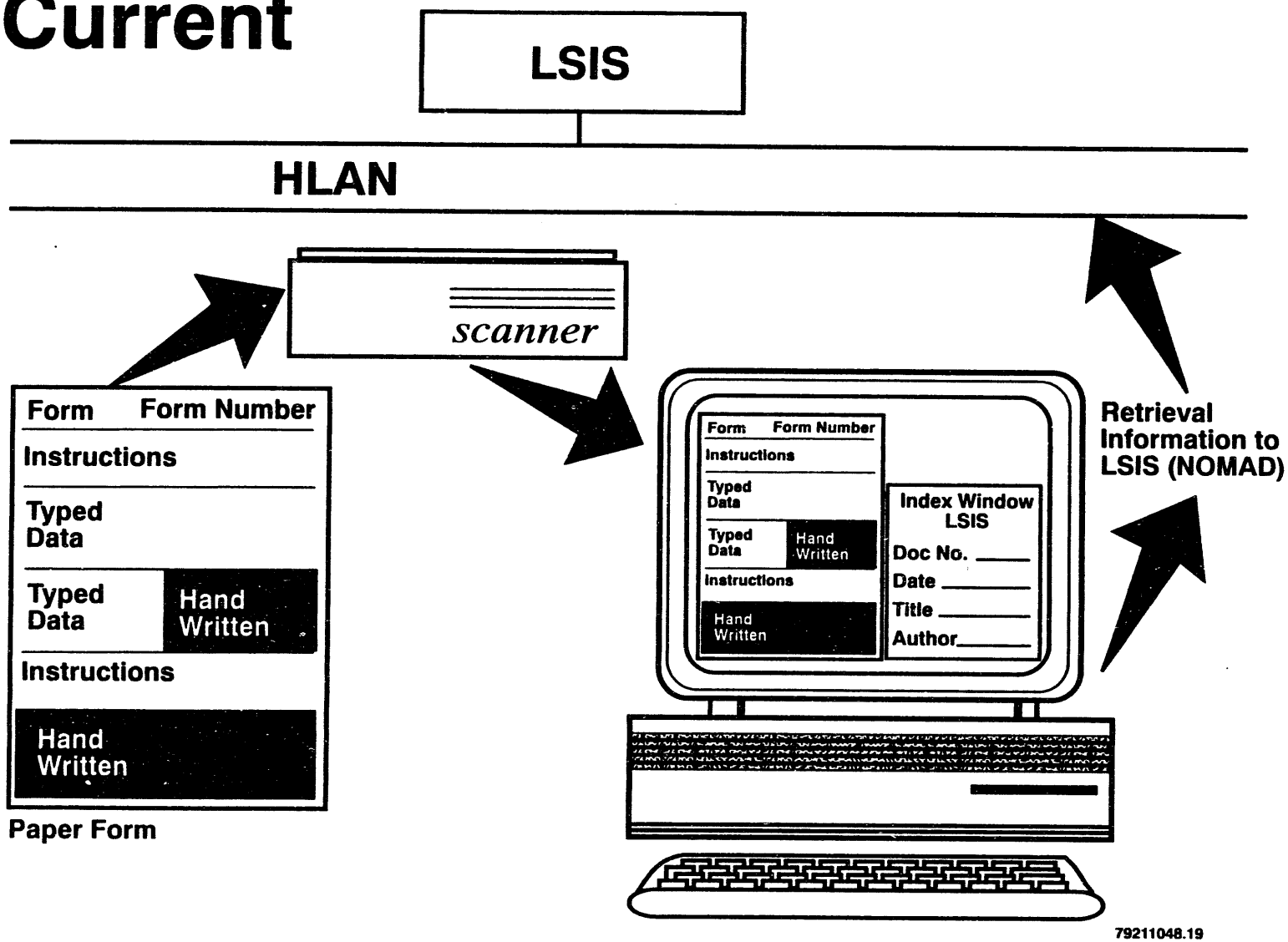
Optical Disk Case Study

ViewStar

Available Since
Early 1989



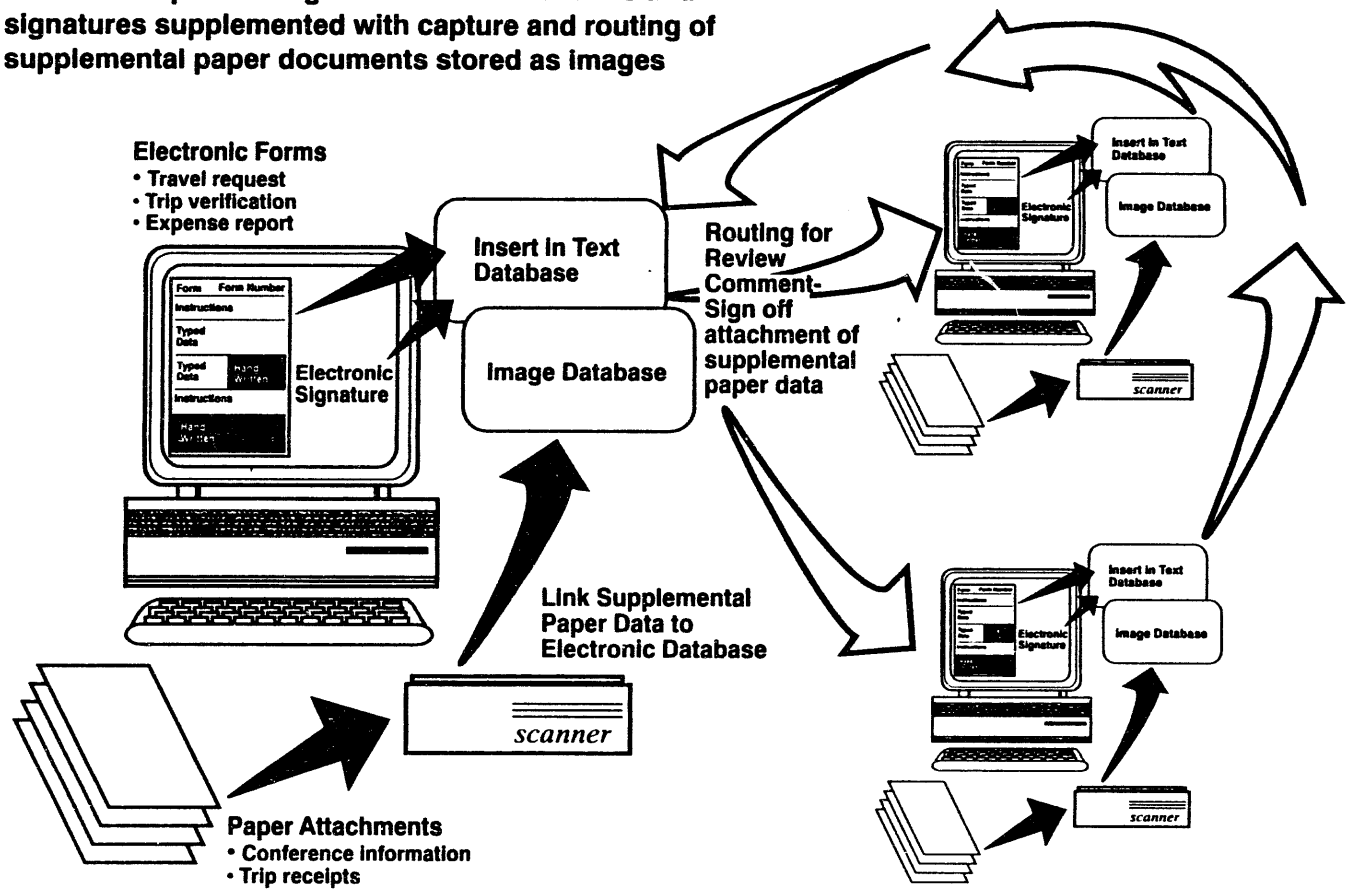
Current



HANDWRITTEN

Future Evolution

Transaction processing use of electronic forms and signatures supplemented with capture and routing of supplemental paper documents stored as images



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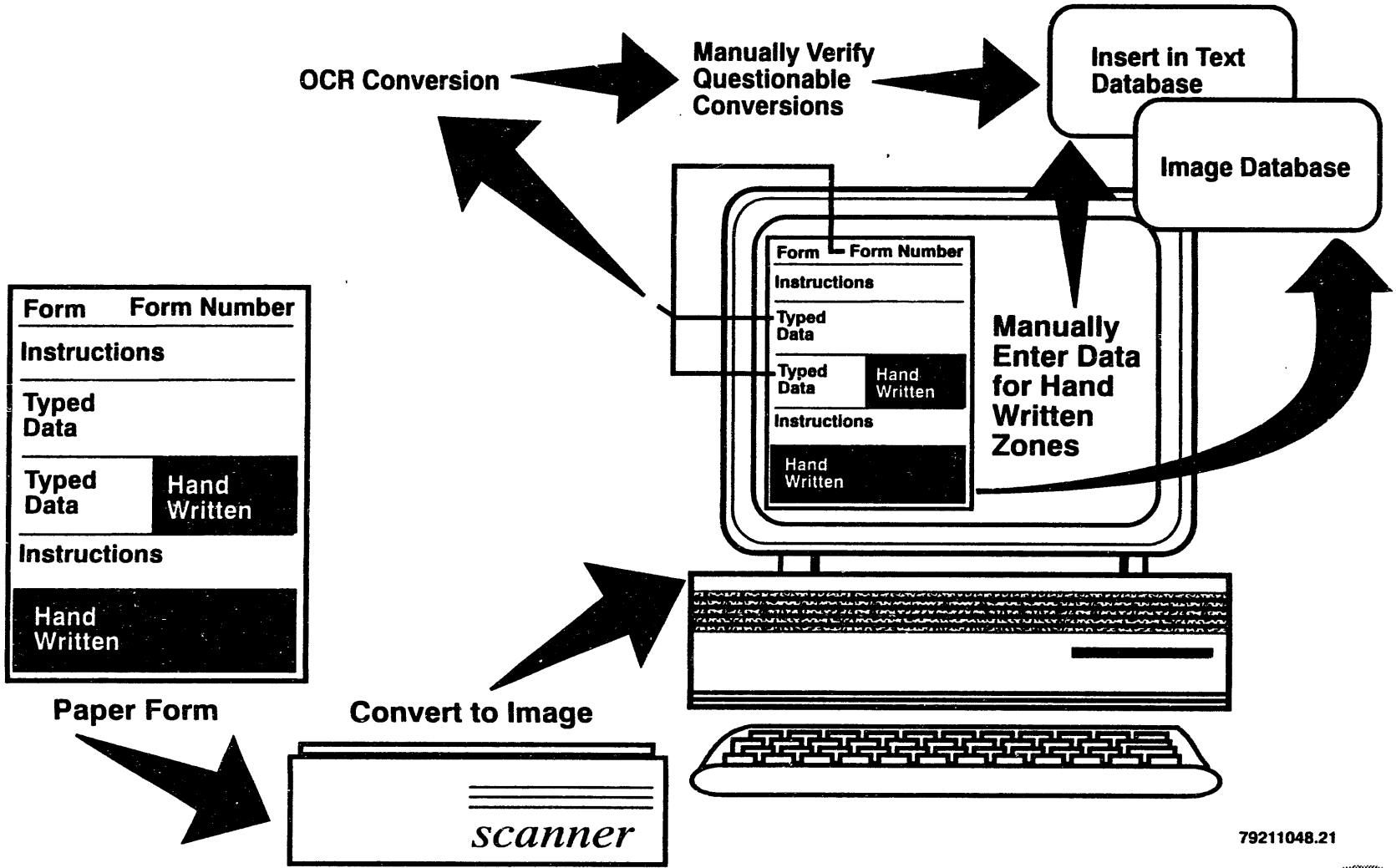
Future Enhancements



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Major Opportunities for Cost Reductions

- Storage of high volumes of paper documents
  - File cabinets
  - Vaults for documents of records
- Retrieval of documents originating internally and externally to organization
- Reduce risk of loosing/destroying high value documents
  - Record copy
  - One of a kind drawings, analysis, etc.
- Reduce cost of storage and retrieval
  - Time to locate
  - Time to retrieve
- Avoid retrieval delays that limit business opportunities
  - Proposal and report generation
  - Response to legal litigation

Major Opportunities for Cost Reductions (continued)

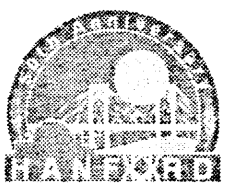
- Reduce intensive manual document processing
  - Serial document review
  - Iterative document retrieval
  - Mailing distribution
  - Document management and filing
- Avoid processing delays governed by physical routing
  - Mail room
  - In box (for review and/or signature)
  - Out box (for routing to next destination)
  - Serial routing
- Reduce lengthy transaction processing
  - Travel/expense reports
  - Procurements

Major Opportunities for Cost Reductions (continued)

- Reduce exposure to risk due to document non-availability
  - Environmental – public or government requests/accusations
  - Engineering design and safety decisions
  - Business – contracts, backup technical data

Results

- Compatibility with user/generator technology
- Timely, effective access to documents
- Shared responsibilities (contractors/users part of the process)
- Resolution of compliance issues
- Reduction of physical inventory
- Cost-effective
- Support to public demand
- Facilitate future contractor populations



7930520320

"COLD" MEDICAL RECORDS PROTECTION AUTOMATION

Robin Gibson
Martin Marietta Energy Systems

COLD Medical Records Protection

Robin E. Gibson

Central Information Systems
Information Services Division
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P.O. Box 2008
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June 1993

Prepared for

MARTIN MARIETTA ENERGY SYSTEMS, INC.
managing the

Oak Ridge K-25 Site
Oak Ridge Y-12 Site
Oak Ridge National Laboratory
under contract DE-AC05-84OR21400

Uranium Enrichment at
Paducah Gaseous Diffusion Plant
Portsmouth Gaseous Diffusion Plant
under contract DE-AC05-76OR00001

for the
U. S. DEPARTMENT OF ENERGY

COLD Medical Records Protection

Martin Marietta Energy Systems is implementing Computer Output Laser Disk (COLD) duplication for active medical records to mitigate fire protection and other disaster protection requirements. A system overview, obstacles, and status will be covered.

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COLD Medical Records Protection

R. E. Gibson, C. K. Cobb, W. H. Gray, C. G. Hillemon,
C. H. Melarkey, J. D. McClanahan, R. L. Muir

1993 Records Management Conference
Department of Energy
Doubletree Suites and Inn
Seattle, Washington

June, 17, 1993

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Portsmouth Gaseous Diffusion Plant
under contract DE-AC05-76OR00001

for the
U. S. DEPARTMENT OF ENERGY

The EMRS Team

The Electronic Medical Records Team members may be reached at:

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Introduction

- Project Background
- Objective
- Scope
- Technical Architecture
- Current Status
- Issues to be Resolved

Project Background, continued

- Determined applicable fire protection requirements for medical records
- Records fall into "Vital", "Rights and Interests", and "Privacy Act" categories
- Issues similar at all 5 Energy Systems' sites
- Recommended duplication of records onto mainframe-based optical disk system
- Cost estimates roughly similar for vault construction, microfiche jacket duplication, optical scanning

Project Background

- Analysis and Recommendations
  - Response to numerous compliance and overall fire issues
  - Energy Systems team performed needs assessment and recommendations producing report ORNL/M-2322, "Storage and Protection of Medical Records at Martin Marietta Energy Systems, Inc.," Sept., 1992
  - Multidisciplinary team representing various sites, divisions and organizations

Project Background, continued

- Team developed alternatives and cost/benefit analyses
- Recommended optical scanning and electronic imaging of active employee medical records
- Project designated Electronic Medical Records System (EMRS)

Project Background, continued

- EMRS project team for Oak Ridge Y-12 Site formed October 7, 1992
- EMRS project team for Oak Ridge K-25 Site formed October 15, 1992
- Project teams are multiorganizational involving Information Services, Computing and Telecommunications, Engineering, Records Management, Compliance and customer groups

Objective

- Mitigate loss by fire and other disasters for active medical records
- Implement optical scanning and electronic imaging
  - •Duplicate
  - •Verify
  - •Archive

Objective, continued

- Provide access control to image files
  - •Sensitivity of data
  - •Privacy Act
  - •Freedom of Information Act

Project Scope

- Duplication of active employees' medical records files onto optical disk jukebox
- Examination of alternatives for protection of employee radiograph films
- EMRS assumes continued implementation of compensatory actions to protect records and further reduce risk during implementation
- EMRS assumes transfer of inactive records to Federal Records Center without duplication

Project Scope, continued

- Volume
  - About 20,000 active records at all three Oak Ridge Sites
  - About 135 pieces of paper per record
  - Average 50 visits and 500 new imagable documents per day for one site

Project Scope, continued

- Indexing points for electronic storage
  - Patient's badge number
  - Patient's name
  - Treatment date
  - Location of medical center (site)
- Indexing points for electronic retrieval
  - Same index points as storage, plus
  - Social security number
  - Patient's birth date

Technical Architecture

- Hardware Highlights
  - State-of-the-art client/server architecture
  - VAXcluster™ mainframe server
    - Cygnet, Inc. optical drive jukebox
    - 328 gigabyte WORM storage capability

Technical Architecture

- Hardware Highlights, continued
  - PC scanner client
    - 486/DX2 66 MHz PC clone
    - Hewlett-Packard LaserJet™ 4 printer
    - Kofax image processing adapter
    - Fujitsu M3093E scanner (primary use)
    - Hewlett-Packard ScanJet™ IIc (limited use)

Technical Architecture, continued

- Network Highlights
  - Intersite FDDI
  - Intrasite Bit-site Ethernet
  - TCP/IP network protocol
  - DEC Pathworks™ network software

Software Highlights, continued

- Use TIFF graphic image format for scanned page
  - CALS compliant
  - 300 dots/inch resolution
  - CCITT group 4 compression
- Promotes usability of system for other applications
- Supports future growth and technological changes
- Utilizing System Design Methodology (SDM)

Software Highlights

- Reuse the Electronic Document Management System (EDMS)and Electronic File Manager (EFM)
  - In production since 1987
  - Provides access to and configuration control of electronic files
  - Approved for Secret RD electronic files
- Purchase COTS software where practical

Current Status

- In production at K-25 site since April
  - Three scanning stations and 1 QA station
  - Two shifts
- In production at Y-12 site since May
  - Seven scanning stations plus one QA station
  - Three shifts
- Metrics demonstrate positive trends in both file size and scanning speed

Current Status, continued

- Costs
  - Oak Ridge Y-12 Site
    - Bearing full development costs
    - Approximately $1 per sheet
  - Oak Ridge K-25 Site
    - Incremental costs
    - Approximately 48¢ per sheet

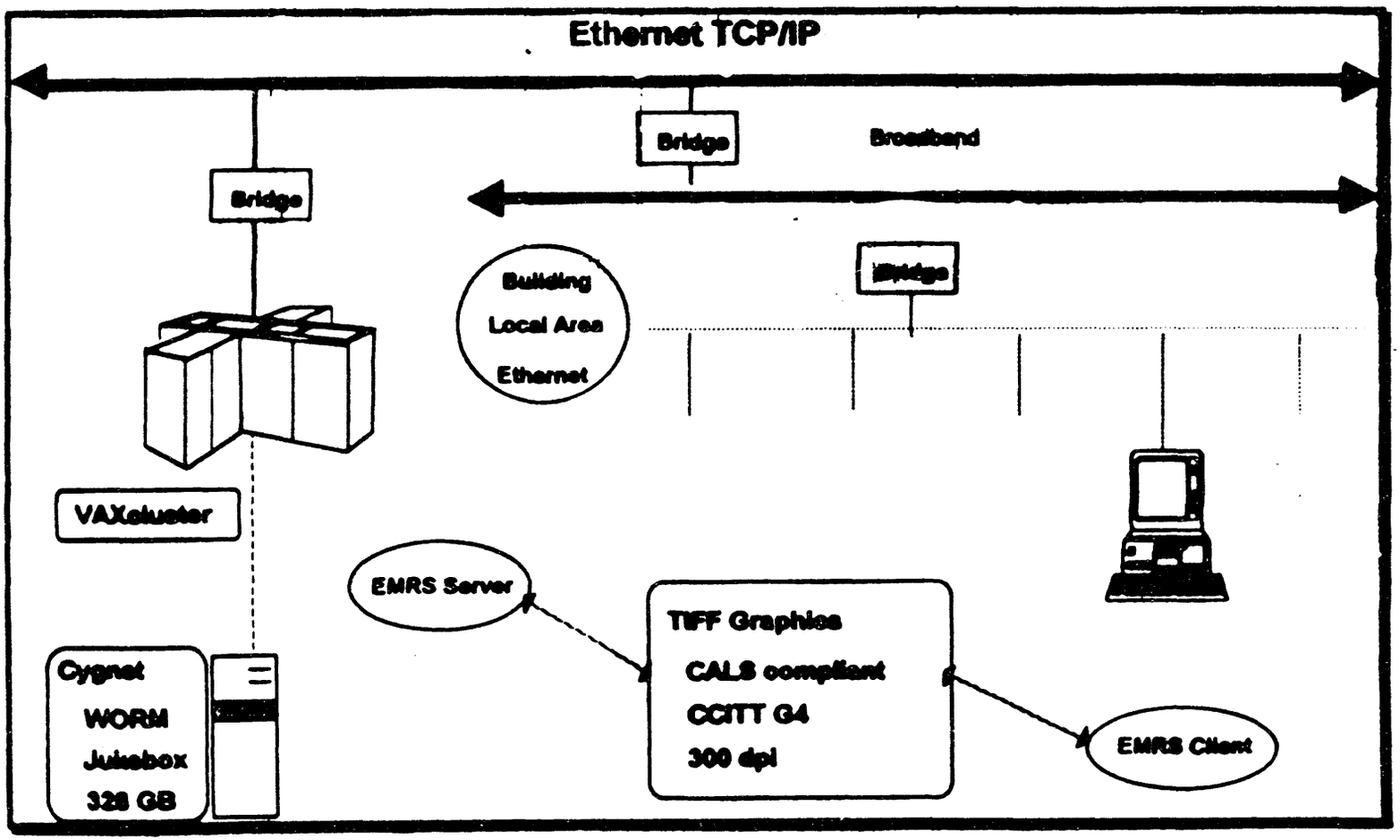
Issues to be Resolved

- Protection of inactive medical records at all sites
- Implementation of EMRS at Oak Ridge National Laboratory
- Protection of active and inactive employee radiograph films
- Rapid growth of interest in technology for other records
- Uranium Enrichment transition

Current Status

- Costs, continued
  - Oak Ridge National Laboratory
    - Funding not yet approved
    - Cost will be less than 48¢ per sheet based on reuse of scanning stations

Technical Architecture



DOE F 1325.8
(8-89)

United States Government **Department of Energy**

memorandum

DATE: MAY 5 [illegible]

REPLY TO ATTN OF: AD-244

SUBJECT: Protection of Electronic Records

TO: Distribution

This memorandum provides information regarding a recent judicial ruling concerning the management of electronic records, and reminds Department of Energy (DOE) and DOE contractor organizations of their responsibilities in this area.

A recent order by a three-judge panel of the U.S. Court of Appeals for the District of Columbia partially overturned a lower court ruling forbidding the Bush White House from deleting computer data. The panel stated, in part:

> "Defendants may remove, delete or alter such information as they see fit, so long as the information is preserved in identical form [emphasis added]... [However, backups of the information must] faithfully replicate all information removed, deleted or altered, including message logs, user directories and any other information contained in the original system."

To date, the lower court's ruling and the appeals panel decision's applicability to Federal agency recordkeeping has not been provided by the National Archives and Records Administration (NARA); implications of the decisions could be far reaching. Additional information on these cases can be found on the attached.

Notwithstanding the appeals panel decision, DOE maintains that its current records schedules and the Government's General Records Schedules are authoritative for the disposition (including destruction) of those records series "covered" by the schedules. Until NARA issues clarifying guidance regarding this matter, and in view of the Government's stated intention to appeal the lower court's decision, it is prudent to continue following current DOE policies and procedures for the maintenance and disposition of electronic records.

I strongly suggest that you review and revalidate your current local procedures to ensure that electronic records are managed in compliance with DOE directives, and that all records, regardless of medium, are covered by an approved records disposition schedule.

Please see the attachment for additional background and guidance regarding this important subject. Should you have any questions regarding this matter, please call Tom Dercola on FTS/commerical (301) 903-3495.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Attachment

MAY 5

Addressees - Memorandum dated

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Jeanne Young, NIR, NARA

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Attachment

DISPOSITION OF ELECTRONIC RECORDS

The Court Cases

In the long-continuing case of Scott Armstrong, et. al. v. Executive Office of the President, et. al., a three-judge panel of the U.S. Court of Appeals for the District of Columbia partially overturned a lower court ruling which forbade the White House from deleting computer data. Armstrong, of the National Security Archive, a non-profit organization, in concert with several other Plaintiffs, sought to prevent the deletion/destruction of Bush Administration documentary materials in the waning days of the Administration.

Lower court Judge Charles Richey prevented the Defendants from deleting electronic records and declared that hard copy printouts were insufficient to preserve the total record. He criticized the Defendants' recordkeeping procedures as arbitrary and capricious and opined that "when left to themselves, agencies have a built-in incentive to dispose of records relating to their mistakes or simply do not think about preserving information."

Several complex issues are involved in this case, including records management requirements of and differences between the Federal Records Act and the Presidential Records Act. The lower court judge saw the two main questions as being (1) did the Defendants comply with statutory requirements and (2) were the guidelines provided to the Defendant's employees "reasonable or sufficiently clear as to provide adequate guidance...in their maintenance and preservation of federal records?"

By law, a Federal agency is required "to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency, and designed to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities." The pertinent point that Judge Richey made in reaching his opinion was that the printing out of an electronic record does not necessarily result in the printout containing evidence of "who said what to whom and when," i.e., the printout likely does not contain "adequate and proper documentation." Other questions remain with regards to the implications on Governmentwide electronic records management.

The appeals panel ruling permitted Defendants to preserve unaltered backup tapes of the electronic materials, thus allowing Defendants' personnel to clear their computers for the incoming Clinton Administration. The appeals court will eventually review the merits of Judge Richey's decision. The Federal government has filed a notice of its intention to appeal Judge Richey's ruling.

NARA, in a February 11, 1993, memorandum to Agency Records Officers, stated that they could not make any specific recordkeeping recommendations to agencies at this time, nor could they predict changes to NARA's current or future guidance.

Department of Energy Records Disposition

The current Department of Energy (DOE) records disposition program prescribes that all file stations in all offices must have a continually updated DOE F 1324.10, "Records Inventory and Disposition Schedule (RIDS)," which is essentially a local file plan providing a description of the record and nonrecord documentation (regardless of storage medium) and the associated disposition (or unscheduled) maintained at the file station. The RIDS, once locally approved as prescribed by DOE 1324.2A, RECORDS DISPOSITION, of September 13, 1988, is authoritative for the disposition of records at a particular file station. Still, RIDS preparers and local approving officials are required to take precautions to ensure that the file station RIDS is, in fact, accurate and authoritative before any records disposition action occurs (including deletion/destruction) at that file station.

RIDS, a locally-used and locally-approved tool to assist recordkeepers in the management of records at an individual file station within an organization, should not be confused with the General Records Schedules nor the DOE comprehensive records disposition schedules which are approved by the National Archives and Records Administration (NARA) and which serve as authorization for the Departmentwide disposition of records, or as authorization for the site-specific disposition of records. Nor should RIDS be confused with an inventory. The RIDS does not and was not meant to capture all the information about records that must be collected when conducting an inventory.

Existing DOE comprehensive records schedules were promulgated and approved in accordance with Federal law and NARA regulations. In normal circumstances, a finite "series" of records (including electronic records) which is "covered" by an approved records disposition schedule can be dispositioned by recordkeepers (e.g., deleted/destroyed, transferred to inactive storage, preserved as permanent, etc.) in accordance with the specific instructions in that schedule. On the other hand, unscheduled records (including electronic records) cannot be dispositioned until the materials are properly inventoried and scheduled. Only documentary materials (including electronic data and information) deemed to be nonrecord materials (as defined in DOE directives and NARA regulations, and as listed in a locally approved DOE RIDS) can be dispositioned without NARA approval.

DOE 1324.6, AUTOMATED OFFICE ELECTRONIC RECORDKEEPING, of July 8, 1987, provides records management policy for electronic records which are associated with personal computers, word processors, and related electronic office equipment. Inventorying and scheduling of automated office electronic records is required in accordance with DOE 1324.2A. General Records Schedule (GRS) 20, published by NARA, is authoritative for the disposition of certain common computer records associated with main frame computers. Where DOE main frame computer records series are not found to be specifically described in GRS 20, they must be inventoried and scheduled in accordance with DOE's records disposition program. GRS 23, Records Common to Most Offices Within Agencies, provides disposition authorization for certain electronic records created on stand-alone or networked micro-and mini-computers.

NOTE: NARA-approved comprehensive records disposition schedules are exclusively found in the following documents: (1) DOE 1324.2A, RECORDS DISPOSITION, of September 13, 1988 (including Change 1 dated April 9, 1992); (2) the GRS published by NARA; and (3) circulated but unpublished DOE-initiated Standard Forms 115, "Request for Records Disposition Authorization," approved by NARA and on file in the office of the Departmental Records Officer, AD-244, at DOE Headquarters. Any locally published DOE site-specific records disposition schedules must always be based upon the above three authorities.

Extreme caution should be exercised when attributing DOE records disposition authorization to a non-DOE entity, such as another Federal agency's recordkeeping requirements which are levied upon DOE. Such requirements must be investigated by the Departmental Records Officer and the affected DOE Element(s) to ensure their validity, and to ensure that the non-DOE entity has obtained NARA approval for any records disposition standard(s) being imposed upon DOE.

The requirements of DOE 1324.2A and DOE 1324.6 are to be applied to the universe of contractors awarded a management and operating contract or another type of prime contract or subcontract, if they are performed, at least in part, on site at a DOE-owned or -leased facility. Additionally, they are applicable to contractors whose contracts contain a health and safety clause, unless by contract provision the Government does not have the right to assume custody or control of the records. For classified matter, these provisions apply to all covered contractors to the extent implemented under a contract or other agreement. A covered contractor is a seller of supplies or services involving access to classified information which is processed, handled, or stored in DOE or DOE contractor facilities.

Federal regulations require that all personnel be advised that the maximum criminal penalty for the willful and unlawful destruction, damage, or alienation of Federal records is a $2,000 fine, 3 years in prison, or both (36 Code of Federal Regulations, Subpart G).

DOE F 1325.8
(8-89)

United States Government **Department of Energy**

memorandum

DATE: MAY 6 1993

REPLY TO ATTN OF: AD-244

SUBJECT: RM 93-1, Records Management Memoranda Identification System

TO: Distribution

In order to facilitate the preparation, promulgation, and maintenance of information sent to you, we are instituting a numbering system for memoranda. As shown in the subject line above, each memorandum will be sequentially numbered within the fiscal year issued. We will periodically furnish you with a list of issued memoranda indicating which are active and which have been canceled so that you may ensure that your records are up-to-date. For those information or action items produced or signed by another office (e.g., National Archives and Records Administration, Director, Office of IRM Policy, Plans, and Oversight), we will prepare a transmittal memorandum numbered appropriately.

We expect to be issuing a number of memorandum on various records management topics within the next few months. Most, if not all, are expected to be of an informational nature. However, should any require immediate response, we will draw them to your attention.

We hope this helps you secure and maintain current records management information. If you have any questions, please call Terri Ray on FTS/ commercial (301) 903-3524.

Sharon A. Eblin for

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Addressees - Memorandum dated MAY 6

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DOE F 1325.8
(8-89)

United States Government **Department of Energy**

memorandum

DATE: MAY 7

REPLY TO ATTN OF: AD-244

SUBJECT: RM 93-2, Proper Storage and Handling of X-rays and Audio/Visual Records

TO: Distribution

Proper storage of medical x-rays is a problem that exists across the Department. A Technical Information Paper on the care and storage of x-rays is being prepared by the National Archives and Records Administration (NARA); however, the release date is yet to be determined. In the interim, the attached guidance has been developed for your information and use from existing documentation and advice from preservation experts at NARA. Also included is some general information on the care and storage of audio/visual and microform records.

Questions on this material may be directed to Sharon Evelin on FTS/ commercial (301) 903-3455 or me on FTS/commercial (301) 903-3524.

Mary Ann Wallace, Director
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B. LeFurgy, EH-42

MAY 7

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X-RAYS

DISPOSITION

Medical x-rays (unless otherwise scheduled) have a retention period of 75 years.

The Code of Federal Regulations (CFR) 1228.154 (which deals with the transfer of employee medical folders to the National Personnel Records Center (NPRC)) states that only x-rays which can easily fit into employee medical folders may be transferred to the NPRC upon employee separation. Oversized x-rays remain with the Department. Instructions on how to obtain large x-rays must be placed in the employee medical folder. X-rays are not scheduled separately (apart from the folder). They carry the same 75-year retention period.

FILM TYPES AND CHARACTERISTICS

Nitrate

Manufacturers ceased production of nitrate x-rays in the late 1930s; however, they were still in use until the mid-1950s. They do not store well and are a potential fire hazard. If you discover nitrate x-rays, remove them from storage immediately.

Polyester

Polyester film has been in use since the 1960s. It is stable and can be stored for relatively long periods in an office environment (conditions of about 72 degrees, 40-50 percent humidity). Most film used today is polyester.

Acetate

Acetate is much less stable than polyester and is not as widely used. It does not, however, present problems such as those associated with nitrate x-rays.

Life Span

Life span varies with film type.

Under optimum conditions:
- acetate - 100 years
- nitrate - unstable/potential fire hazard (remove from storage immediately)
- polyester - 500 years

X-rays are reasonably durable. If stored in a controlled environment, x-rays will be legible for the designated retention period and beyond.

STORAGE

Environmental Conditions	Applications
Excellent: - Temperature and humidity controls - 35-40 percent humidity - Store at or below 60 degrees	Recommended for: - Permanent Records - Epidemiology Records - Litigation or potentially litigation records
Adequate: (Office environment) - 72 degrees or cooler - 40-50 percent humidity	- Any other records
Poor: - High humidity - greater than 50 percent - Temperature extremes/fluctuations	- Not advisable for any x-ray (X-rays will age poorly)

Recommended storage for unprocessed film: 70 degrees Fahrenheit
20-30 percent relative humidity

Under all conditions, air circulation is desirable.

Enclosures/Shelving

X-rays are heavy and require special shelving.

X-rays should not be stored in contact with other x-rays or film. They should be stored in separate enclosures (individually in a sleeve, envelope, or folder) to avoid increased acidity and chemical reaction. Alkaline paper envelopes will counteract the acidity of the x-rays. The paper should be Ph neutral and Lignin free. Acid-free paper will help prevent deterioration. If x-ray envelopes or sleeves contain adhesive, ideally it should be located on the side instead of the middle of the envelope.

If at all possible, x-rays should be stored in controlled conditions. Generally, microform storage standards (attached) may be applied to x-rays.

Determining Storage

1. When in doubt, do a risk vs. cost assessment when selecting storage.

2. Determine type of record (permanent or temporary), record use (litigation or potentially litigation), and retention period.
   Note: Unscheduled records are considered permanent.

3. Check with your Federal Records Center (FRC) to determine humidity/ temperature of storage space before transferring x-rays. FRCs do not usually offer environmentally controlled storage.

4. Note: 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 an FRC without environmental controls, they shall be removed no later than 3 years after placement. Deterioration is a risk if x-rays are stored for a longer period.

Options

6. If possible, offer permanent records directly to the National Archives. This will ensure that the records are housed in space meeting the excellent environmental standards either in the National Archives and Records Administration (NARA) in Washington, DC, or a Regional Archives Branch. Note: Make sure that records are no longer needed by the Department as ownership will transfer to the Archives.

7. One relatively inexpensive storage option for small collections is a frost-free refrigerator.

8. If appropriate conditions are not available otherwise, a small air conditioner and dehumidifier may provide adequate improvement to existing storage space.

PROBLEMS

Poor storage conditions will result in deterioration, wrinkles, distortions, and brittleness. Outgasing and sticking are also resulting problems.

Outgasing is smelly, but is not a health problem. The smell is usually a sign of deterioration in action. When odor is detected, x-rays are starting to "go." At this point, x-rays will deteriorate quickly.

Too much humidity will cause sticking, as will storing x-rays together in envelopes or folders.

CORRECTION

To slow deterioration, move the x-rays into cool, dry storage.

Low temperatures will slow chemical reactions.

Low moisture levels slow the aging process.

DUPLICATION

X-rays should not be scanned. Greater resolution is needed than can be obtained from scanning.

Reproductions of x-rays from optical disk systems cannot be used in court. Too much opportunity exists for information manipulation during the copying process.

Special microfilm is available for x-rays; however, admissibility in court has not yet been determined.

AUDIO/VISUAL AND MICROFORM RECORDS

Handling, Preservation, and Storage

Audio/Visual

Master and use copies, such as negatives and prints, should be filed separately for convenience and to make it easier to care for the film negative or master (which is the most valuable copy of any audiovisual record).

Allow only trained staff to handle masters. No bare hands please - use white cotton gloves.

Set environmental controls for storage at 70°F or cooler with 40 to 60 percent relative humidity. Even colder and drier storage conditions are recommended for color films (which are very sensitive to heat, humidity, and light).

Secure the storage area for masters against unauthorized access and protect it from fire, water, and chemical damage.

Store jacket-cut film negatives individually in acid-free envelopes. Store other audiovisual masters in noncorroding metal or inert plastic containers.

Microforms

There are three microform types: (1) silver, (2) diazo, and (3) vesicular. Silver gelatin is the only type suitable to produce an archival microform of permanent records. Silver gelatin is the camera "master"; diazo and vesicular are considered printing or working copies.

Diazo and vesicular emit gases that attack silver gelatin film. It is vitally important that silver and non-silver microforms be separated. You may even wish to store them at different sites if the silver master and a working copy are your only source of record.

ANSI standards for storage conditions are provided on the attached chart. Ideally, silver masters should be stored where environmental conditions are maintained at approximately 50°F and 30 percent relative humidity.

Refer to Title 36 CFR 1230 for standards that identify the materials and construction of reels, containers, and related supplies for storing archival microform.

Acidic paper will "eat" away at the chemical infrastructure of microform, causing deterioration. Each microform unit should be placed in its own non-acidic cartridge, box, or paper envelope. Note: This does not constitute the separate storage necessary for silver and non-silver films. "Separate storage" means separate rooms with separate circulating air systems.

Microfiche, like other types of film, will stick together when relative humidity is higher than 40 percent. Envelopes of non-acidic, low Lignin paper or inert plastic will prevent sticking and protect microfiche from dust and abrasion.

Aperture cards cause special problems. They are usually temporary, working copies, and are not intended to meet archival standards. (The silver gelatin master should always be retained in its original, uncut format.) The adhesive, tape, card stock, and ink (that comprise the aperture card) will contribute to the deterioration of the microfilm. Microfilm also has the tendency to become detached from the card and possibly misplaced.

NARA does not encourage the use of aperture cards. A suggested alternative is card jackets. Which, unlike aperture cards, allow for easy replacement and update.

Blemish or Measles Prevention

Potassium iodide added to the fixing bath during processing provides some protection against blemish development. The results of preliminary experiments also indicate that selenium sulfate toning (which adds approximately 15 percent to the cost of film processing) will eliminate the possibility of micro-blemishes. Increased processing costs may not be justifiable for all copies, but certainly will be for silver masters. Prompt copying of film upon blemish detection will avoid any appreciable loss of information. (Recovery process is under investigation. Information to follow in a later transmittal.)

Inspections

The handling and storage requirements and preventive measures mentioned previously will help to retard the oxidation that produces deterioration. However, you may save yourself time and effort by performing regular inspections (not less than every 2 years) which will detect fading, staining, curling, wrinkling, redox blemishes or "measle" spots, separation, fungus, stiffness, and cracking before the microfilm becomes illegible and unreproducible.

Inspection of permanent records is required by regulation, and inspection of all microforms is encouraged by DOE.

For additional information, refer to the NARA Instructional Guide: Managing Audiovisual Records (1990) and the NARA Study: The Management of Micrographic Records in Federal Agencies (1993).

Table 1
Recommended Relative Humidity and Temperature Conditions for Storage

Sensitive Layer	Base Type	Medium-Term Storage		Archival Storage	
		Relative Humidity Range (%)	Maximum Temperature (°C)	Relative Humidity Range (%)	Maximum Temperature (°C)
Microfilm:					
Silver-gelatin	Cellulose ester	15-60	25 77°F	15-40	21 70°F
Silver-gelatin	Polyester	30-60	25	30-40	21
Heat-processed silver	Polyester	15-60	25	15-50	21
General:					
Silver-gelatin	Cellulose ester	15-60	25	15-50	21
Silver-gelatin	Polyester	30-60	25	30-50	21
Color	Cellulose ester	15-30	10 50°F	15-30	2 35°F
Color	Polyester	25-30	10	25-30	2
Diazo	Cellulose ester	15-50	25 77°F	15-30	21 70°F
Diazo	Polyester	15-50	25	15-30	21
Vesicular	Polyester	15-60	25	15-50	21
Electrophotographic	Polyester	15-60	25	15-50	21
Photoplastic	Polyester	15-60	25	15-50	21

DOE F 1325.8
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United States Government **Department of Energy**

memorandum

DATE: MAY 10 --

REPLY TO ATTN OF: AD-244

SUBJECT: 93-3, Request for Comments on Security Plan for Transfer of Classified Information for Nonnuclear Reconfiguration

TO: Distribution

This memorandum forwards the subject draft security plan for review and comments. Insofar as the Department of Energy Records Management Division, AD-244, is represented on the Records Management Activity Transfer Group (RMATG), we are forwarding the draft plan to you so that any comments you give to us can be conveyed to the RMATG at the next meeting which is called for May 25-27, 1993.

We would appreciate any comments you have to be faxed to Tom Dercola, AD-244, on FTS/commercial (301) 903-4125 by no later than Friday, May 21, 1993. Should you have any questions, please call Mr. Dercola on FTS/commercial (301) 903-3495.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Attachment

cc:
BPA HQ Liaison Office
WDC HQ Liaison Office
WAPA HQ Liaison Office
CP-1
ER-1
NE-1

Addressees - Memorandum dated MAY 10 --

Joseph Chervenak, Records Management, GO
Gail Clark, Site Management Division, RL
Carol Franklin, Records Management Division, SEPA
  THRU: Asst. Secretary for Energy Efficiency & Renewable Energy, EE-1
Mary Freesmeyer, Office of Manager, FERN
T. J. Glock, Director of Facilities, PNR
  THRU: Deputy Assistant Secretary for Naval Reactors Office, NE-60
Yvonne Grewe, Property/Information Resource Management Branch, SWPA
  THRU: Asst. Secretary for Energy Efficiency & Renewable Energy, EE-1
Marek Halaska, Office of Deputy Project Director, SSC Project Office
John Halvorsen, Director of Organization, Personnel, & Communications, SNR
  THRU: Deputy Assistant Secretary for Naval Reactors Office, NE-60
JoAnna Jones, Information and Property Management Division, NV
Judy Krumm, Contracts and Services Division, RF
  THRU: Deputy Assistant Secretary for Facilities, DP-60
Georgette Lane, Operations Management Support Division, CH
Lowell Langford, Information Analysis & Management Division, OSTI
Kathy Lipscomb, Records Management Section, BPA
  THRU: Asst. Secretary for Energy Efficiency & Renewable Energy, EE-1
Toni Love, Resource Management Division, ID
Pat Kelly, Information Resources Management Division, PETC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Joe Malinovsky, Office of Administrator, APA
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Cathy Marciante, Information Resources Management Division, OR
Beth McMahan, Contracts Surveillance/Administration, NPR in CO, UT, & WY
  THRU: Director, Office of Naval Petroleum & Oil Shale Reserves, FE-60
Donald Nord, Procurement & Support Services Division, WAPA
  THRU: Asst. Secretary for Energy Efficiency & Renewable Energy, EE-1
Dan Ogden, Personnel & Management Evaluation Division, SR
Gary Pastoria, Information Systems Management Division, METC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Kate Polesovsky, NREL
Anne Raible, Property & Business Services Division, SF
Dee Spillman, Information and Administrative Services Division, SPR
  THRU: Assistant Secretary for Fossil Energy, FE-1
David Warriner, Yucca Mountain Project Office
Fran Young, Programs and Budget Branch, NPR in CA
  THRU: Director, Office of Naval Petroleum & Oil Shale Reserves, FE-60
Paul J. Paradis, Headquarters Records Mgmt., AD-623
Director, SA-10
Director, SA-20

United States Government | Department of Energy

memorandum

Albuquerque Field Office

DATE: APR 29 1993

REPLY TO ATTN OF: RPB/WQD/WRD48

SUBJECT: Request for Comments on Security Plan for Transfer of Classified Information for Nonnuclear Reconfiguration

TO: Records Management ATG Members

Attached is the final draft of the Security Plan for Transfer of Classified Information for Nonnuclear Reconfiguration, which was developed by members of the Records Management Activity Transfer Group (RMATG). This document has been prepared to establish uniform practices among donor and receiver sites consistent with existing DOE security orders.

Comments from each site will be incorporated into the final document during the May 26-27, 1993, meeting of the RMATG at the Pinellas Plant. This draft should be reviewed with the site's classified document control and records management staff prior to the May meeting. Once finalized, the document will be forwarded to the DOE headquarter's offices of Defense Programs and Security Affairs for review, approval, and issuance to the field. It is imperative that all reviews focus on removing obstacles to the cost effective and timely transfer of large quantities of classified information while maintaining control over the security of the data.

The proposed plan provides a consistent process for implementation of existing security orders to permit expeditious transfer of records between reconfiguration sites. It also applies to sites directly supporting reconfiguration and is not intended to replace existing order requirements for activities unrelated to nonnuclear reconfiguration.

Your timely review of this document is required to support schedule requirements of the nonnuclear reconfiguration project.

C. R. Loeber
Project Manager
Nonnuclear Reconfiguration
Weapons Quality Division

DRAFT

Security Plan
For Transfer of Classified Information
For Nonnuclear Consolidation

Records Management
Activity Transfer Group

May 6, 1993

DRAFT

Security Plan
For Transfer of Classified Information
For Nonnuclear Consolidation

1.0 Introduction

1.1 Purpose

Nonnuclear consolidation involves the transfer of hundreds of thousands of classified documents in various forms such as paper, mylar, magnetic media, aperture cards, microfilm, and radiographs. Current security practices prohibit cost-effective and efficient transfer of these hugh volumes of information in a timely manner.

This security plan provides an interpretation of DOE requirements to ensure uniform business application of security requirements at all sites involved in nonnuclear consolidation. This plan outlines information transfer procedures, which supplement DOE orders and directives.

1.2 Scope

This plan applies to all sites involved in nonnuclear consolidation, which are Sandia National Laboratories, New Mexico and California; Los Alamos National Laboratory; Lawrence Livermore National Laboratory; Westinghouse Savannah River Site; AlliedSignal, Kansas City Division; EG&G at Mound and Rocky Flats; and Martin Marietta Specialty Components, Inc. at Pinellas.

1.3 Security Issues

The sites involved in nonnuclear consolidation want to provide secure, uniform, and cost-effective methods for the transfer of classified information. Several issues impacting transfer of large quantities of records from donor sites require resolution to ensure expedient information transfers while maintaining appropriate protection for classified information. These issues are:

- Marking Requirements for Classified Information
- Transfer of Classified Information to Federal Records Centers
- Accountability Requirements

- o Ownership of Office of Scientific and Technical Information
- o Physical Transfer, Specifically
  - Double Wrapping
  - Classified Document Receipting
  - Classified Mailing Addresses

1.4 Assumptions

Classified information should already be marked according to standards since these requirements have been in place since the release of DOE Order 5635.1A on February 12, 1988. However, some documents do not meet current marking standards. For example, some old versions of drawing aperture cards at Rocky Flats and a small percentage of other documents at Mound are known to be out of compliance with current marking requirements.

Modified accountability is also assumed to be implemented at the nonnuclear consolidation sites before the transfer of classified information.

2.0 DOE Security Policy, Interpretation, and Implementation

2.1 Marking requirements for classified information.

Classified documents transferred from a donor site's operational use (active documents) or inactive storage to a receiver site's inactive storage will not be brought to current requirements for all markings, annotation, and documentation, and will be considered inactive documents. Classified documents transferred from the donor site to a receiver site for operational use become active documents, which must meet the current classified marking standards (Reference Ed McCallum's March 16, 1992, memorandum titled "Remarking of Historical Documents."). Any active document at the receiver site not appropriately marked shall be brought up to the current classified marking standards by the receiver's user of that document. To bring the apertures up to current marking standards requires an advance change order or final change order. Any administrative changes to meet marking requirements could impact final acceptance of product. Therefore, as a drawing is updated for a product definition change, appropriate classified marking changes will be made. It is presumed that if a product is not currently in production, the drawings will be inactive at the receiver site and will not require remarking.

Access to inactive documents for purposes such as statistical sampling, custodial transfer, preparation for destruction, inspection, and/or audit purposes does not

constitute operational use. Documents removed from inactive storage for operational use (to include transfer for other than further storage and/or destruction) will be brought to current marking standards.

2.2 Transfer of classified weapon data information to Federal Records Centers.

Receiving sites shall identify Federal Records Centers (FRCs) to receive data if appropriate. The receiving sites, working with their local DOE Area or Operations Offices, will establish classified mailing channels and complete Facility Data and Approval Records (FDARs) for Federal Record Centers which will service the receiving site.

Boxes containing record information being transferred shall be marked with the highest level and category of classified information contained.

2.3 Accountability requirements.

All sites have reported completion of required Secret document inventory and reconciliation. Therefore, DP-40 Office of Weapons Complex Reconfiguration, with concurrence of SA-10 Office of Safeguards and Security, shall direct immediate implementation of modified accountability by all Operations Offices and their contractors for nonnuclear consolidation information transfers upon the record of decision, if the site has not already implemented modified accountability.

2.4 Ownership of Office of Scientific and Technical Information (OSTI)

The donor site shall notify OSTI of change in ownership of scientific and technical information as information is transferred to the receiver site.

2.5 Physical transfer - double wrapping, classified document receipting, classified mailing address.

2.5.1 Current Requirements

Code of Federal Regulations 32, Chapter XX, Section 2001.44 states "Classified information to be transmitted outside of a facility shall be enclosed in opaque inner and outer covers. The inner cover shall be a sealed wrapper or envelope plainly marked with the assigned classification and addresses of both sender and addressee. The outer cover shall be sealed and addressed with no identification of the classification of its

6

contents. A receipt shall be attached to or enclosed in the inner cover, except that Confidential information shall require a receipt only if the sender deems it necessary. The receipt shall identify the sender, the addressee, and the document, but shall contain no classified information. It shall be immediately signed by the recipient and returned to the sender. Any of these wrapping and receipting requirements may be waived by agency heads if conditions provide at least equivalent protection to prevent access by unauthorized persons."

DOE Order 5635.1A, "Control of Classified Documents and Information" Chapter IV "Transmission of Classified Documents"

Paragraph 8.a.(1) states "DOE F 5635.3, "Classified Document Receipt" or a receipt similar in content shall be used for transmittal of Secret documents. Use of receipts for Confidential documents is at the sender's discretion."

Paragraph 8.b.(1) states "Classified documents shall be enclosed in two opaque envelopes or wrappers for transmission or delivery outside a facility. When opaque envelopes are temporarily not available, appropriate measures shall be taken to ensure that the contents of the document cannot be seen through the inner envelpe and that the security markings on the inner envelope cannot be seen through the outer envelope."

Paragraph 8.b.(2)(a) states "The inner envelope or wrapper shall be adequately sealed and addressed to the person for whom the document is intended. The address approved for classified mail shall be used. The classification level marking shall be placed at the top and bottom of the front and back.....The sender's classified mailing address shall appear in the upper left-hand corner."

Paragraph 8.b.(3) states "The outer envelope or wrapper shall be sealed adequately and addressd in the ordinary manner with no indication on the envelope that it contains a classified document. The intended recipient's address approved for classified mail shall be used. The sender's classified mailing address shall appear in the upper left-hand corner."

2.5.2 Interpretation of requirements

2.5.2.1 Wrapping - Neither 32CFR nor DOE Order 5635.1A specify what an approved wrapper may be. The intent of the CFR and DOE order is to

ensure that the contents of a document are not disclosed during transmission using an uncleared source such as the U. S. Postal Service.

2.5.2.2 Receipting - The primary purpose of receipting is for transmitting classified information through the U. S. Postal Service, an uncleared government agency. Receipting is a means of ensuring that the classified information transmitted reached its destination. DOE Order 5635.1A does not stipulate that each classified document transmitted be individually receipted. Receipting requirements may be waived by DOE/HQ as indicated by 32CFR.

2.5.2.3 Classified Mailing Address - The use of approved addresses is toensure classified information reaches its destination and the individual with authorized access. The DOE order and 32CFR do not specify placement of the mailing address other than the package shall be plainly marked.

2.5.3 Implementation

Classified documents transmitted from the donor site in bulk or large quantities shall be sealed in boxes or repositories using tamper indicating devices (e.g. seals, evidence tape, shrink sleeving). A locked safe, set with a Secret National Security Information combination, shall adequately serve as a sealed container without applying tamper indicating devices. The combination may be set by the sender or the receiver. If the combination is set by the sender, the sender shall transmit the combination to the receiver site.

The appropriate cover sheet or marking shall be placed on the outside of the container indicating the classification of the highest level of information in the container (a container may be a repository, a box, or several boxes on a pallet wrapped in shrink sleeving).

The total number of containers shall be noted on one classified shipping receipt (e.g. 50 boxes of Secret information, 3 pallets containing 9 boxes each, 4 five drawer safes). An itemized inventory or listing of each individual Secret or Confidential document on the receipt will not be performed. However, any Comsec, special access program, foreign government, or use control documents will be individually listed on a separate receipt for removal from the donor's accountability system and entry into the receiver's accountability system as required under modified

accountability requirements.

A receipt shall be marked with both the sender and addressee information and attached to one of the containers inside the truck near the exit. The receipt shall serve as the inner container's classified mailing address label.

Containers shall be placed in a locked truck and transported by two Q cleared persons. The truck shall serve as the outer container. The truck's manifest shall indicate the intended recipient's classified mailing address and the sender's classified mailing address. The manifest (i.e. bill of lading) shall serve as the outer container's address label. Upon arrival at the destination, the receiving site shall verify the number of containers with the receipt, sign the receipt, and return it to the donor site.

Only for records management purposes will the receiving organization be responsible for conducting an inventory of the containers. No security inventories will be performed for documents not in accountability.

The receiver will direct the transfer of information from the donor site. Specifically, the receiver will identify its classified delivery location for the donor information being transferred. This location may be the receiver site or a Federal Records Center.

Q cleared drivers shall follow procedures for transporting the material as a classified hand carry. The information is to remain in custody of the Q cleared drivers at all times and delivered directly to the consigned facility. If it is not possible to deliver the information to the consigned facility or designated Federal Records Center, the information shall be taken to another government facility for safe-haven or the drivers shall contact the nearest FBI office.

Small quantities of classified documents can be transferred to the receiving site using existing methods and procedures in place at the site.

3.0 Risks

The volume of information in a single transport creates a potential risk of loss in the event of an accident or willful attack. However, sealing classified information in a truck and transporting by Q cleared drivers directly from a donor site to its final destination provides equivalent or better protection of classified information transported between DOE sites as compared to transmitting by U. S. mail.

4.0 Summary

This plan provides a consistent implementation of existing DOE security orders to permit expeditious transfer of records between reconfiguration laboratories and contractor sites. It applies to the sites directly supporting reconfiguration and is not intended to replace existing order requirements for activities unrelated to nonnuclear reconfiguration. Specific direction for nonnuclear consolidation and approval of this plan are directed by DP-40 Office of Weapons Complex Reconfiguration with the concurrence of the SA-10 Office of Safeguards and Security.

5.0 Approval Signatures

SA-10 Office of Safeguards and Security

DP-40 Office of Weapons Complex Reconfiguration

(10

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(8-89)
EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 11

REPLY TO ATTN OF: AD-244

SUBJECT: 93-4, Department of Energy (DOE) Records Management Committee Meeting

TO: Distribution

The next committee meeting will be held at the DOE Records Management Conference in Seattle, Washington, on June 18, 1993, from 9:00 a.m. - 4:00 p.m. The purpose of this meeting is to exchange information, share ideas, and develop solutions to enhance and improve records management throughout the DOE and DOE-contractor community. Discussion topics will include a review of the conference, possible next steps, and any other items of interest that you may have.

Please inform Jeffrey Martus on FTS/commercial (301) 903-3481 of your planned attendance, suggested agenda topics, or questions regarding this meeting.

I look forward to seeing you again and appreciate your participation on the Committee and your support throughout the year.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

cc:
EE-1
DP-1
EM-1
ER-1
NE-60

Addressees - Memorandum dated

R. Cross, Administrator, APA
J. Lewis, Chief, Policy and Appraisal Branch, AL
R. Ranft, Chief, Operational Services, BPA
A. Smith, Asst. to the Director, Operations Management Support Division, CH
J. Walsh, Jr., Dep. Asst. Secretary for Mgmt., Office of Fossil Energy, FE-10
C. Webb, Chief, Information and Technology Resources Management Branch, ID
J. Craig, Director, Information Systems Management Division, METC
THRU: Assistant Secretary for Fossil Energy, FE-1
O. Williams, Director, Planning, Analysis & Program Support Div., NPR in CA
THRU: Director, Office of Naval Petroleum and Oil Shale Reserves, FE-60
K. Roberts, Director, Contracts Surveillance/Admin., NPR in CO, UT, & WY
THRU: Director, Office of Naval Petroleum and Oil Shale Reserves, FE-60
I. Kilmer, Chief, Property and Information Branch, NV
R. Hohenbrink, Chief, Information Control and Accountability, OSTI
E. Hicks, Chief, ADP and Telecommunications Management Branch, OR
J. Appetta, Director, Information Resources Management Division, PETC
THRU: Assistant Secretary for Fossil Energy, FE-1
C. Gaddis, Manager, PNR
E. Pietsch, Chief, Property and Information Management Branch, RF
THRU: Deputy Assistant Secretary for Facilities, DP-60
J. Murphy, Chief, Information and Communications Management Branch, RL
J. Morgan, Chief, Property and Business Services Division, SF
D. Losier, Chief, Telecommunications and Services Branch, SR
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J. Seymour, Director of Administrative Management, SEPA
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S. Larsen, Director, Information & Administrative Services Division, SPR
THRU: Assistant Secretary for Fossil Energy, FE-1
J. Cipriano, Project Director, SSC Project Office
S. Froeschle, Chief, Support Services Branch, WAPA
J. Carter, Director, Reference and Information Management Division, AD-252.2
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D. Beilan, Director, Office of Administrative Services, AD-60
J. Michael Davis, Asst. Sec., Energy Efficiency and Renewable Energy, EE-1
R. Claytor, Assistant Secretary for Defense Programs, DP-1
L. Duffy, Asst. Sec. for Environmental Restoration & Waste Mgmt., EM-1
W. Happer, Director, Science and Technology Advisor, ER-1
J. Randolph, Assistant Secretary for Fossil Energy, FE-1
W. Young, Assistant Secretary for Nuclear Energy, NE-1
M. Clausen, Director, Office of Light Water Reactor, NP-10
S. Rousso, Associate Director, Office of Program and Resources Mgmt., RW-10
B. Cerny, Information Management Division, RW-12

cc:
J. Malinovsky, Administrative Division, APA
M. Sexson, Policy and Appraisal Branch, AL
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G. Lane, Operations Management Support Division, CH
M. Freesmeyer, Office of Manager, FERN
J. Chervenak, Records Management, GO
T. Love, Information Tech. Resources Mgmt. Branch, ID
G. Pastoria, Office of Resources Management, METC

F. Young, Support Services, NPR in CA
B. McMahan, Contracts Surveillance/Admin. Div., NPR in CO, UT, & WY
J. Jones, Property and Information Branch, NV
J. Kvool, Property and Information Branch, NV
C. Marciante, Logistics Management and Services Branch, OR
L. Langford, Information Control and Accountability Branch, OSTI
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M. Vignone, Information Resources Management Division, EM-123
D. Wolfe, Management and Administration Division, FE-122
R. August, Reactor Design Division, NP-13
D. Bartlett, EE-64
W. Drawdy, DP-542.2
L. Bryant, DP-542.2
R. Weller, AD-623
J. Esworthy, ER-622
J. Paradis, AD-623
C. Hutzell, AD-623
H. Taylor, EH-51
D. Anderson, EH-51
B. McIntrye, EP-31
A. Gillen, RW-12
S. Wilkins, EI-231
J. Sewell, EE-64
E. Horne, EP-31
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E. Beavers, NS-50
BPA HQ Liaison Office
WAPA HQ Liaison Office
WDC HQ Liaison Office

DOE F 1325.8
(8-89)
EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 20

REPLY TO ATTN OF: AD-244

SUBJECT: 93-5, Disposition of Federal Records

TO: Distribution

The National Archives and Records Administration (NARA) recently issued a revised and updated version of the records management handbook, "Disposition of Federal Records." Those of you who are on the NARA mailing list may have already received a copy.

This is an excellent publication. It is clear, well written, and full of records disposition information. I recommend that everyone obtain (and read) a copy or two for themselves and one for each of their contractor records managers.

We have a limited supply in the Records Management Division and can obtain more. Please call Terri Ray on FTS/commercial (301) 903-3524 and let her know of your requirements.

Hope to see you in Seattle.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Addressees - Memorandum dated _____

Director, Information Resources Management, Yucca Mountain Project Office
Director, Information Management Division, AL
Office Manager, FN
Director, Property & Business Services Division, SF
Director, Personnel & Management Evaluation Division, SR
Director, Information Systems Management Division, METC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Procurement & Support Services Division, WAPA
Director, Information and Administrative Services Division, SPR
Director, Site Management Division, RL
Director, Records Management Division, SEPA
Director, Facilities Division, PNR
Chief, Management Resource Branch, SWPA
Deputy Project Director, SSC Project Office
Director, Organization, Personnel, & Communications, SNR
Director, Information and Property Management Division, NV
Director, Contracts and Services Division, RF
  THRU: Deputy Assistant Secretary for Facilities, DP-60
Director, Operations Management Support Division, CH
Director, Information Analysis & Management Division, OSTI
Director, Division of Administrative Services, BPA
Director, Resource Management Division, ID
Director, Information Resources Management Division, PETC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Information Resources Management Division, OR

cc:
DP-1
ER-1
NE-1
NE-60
Gail Clark, Site Management Division, RL
Carol Franklin, Records Management Division, SEPA
Mary Freesmeyer, Office of Manager, FN
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Yvonne Grewe, Property/Information Resource Management Branch, SWPA
Marek Halaska, Office of Deputy Project Director, SSC Project Office
John Halvorsen, Director of Organization, Personnel, & Communications, SNR
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Beth McMahan, Contracts Surveillance/Administration, NPR in CO, UT, & WY
Donald Nord, Procurement & Support Services Division, WAPA
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Gary Pastoria, Information Systems Management Division, METC

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Anne Raible, Property & Business Services Division, SF
Margarita Sexson, Information Management Division, AL
Dee Spillman, Information and Administrative Services Division, SPR
David Warriner, Yucca Mountain Project Office
Fran Young, Programs and Budget Branch, NPR in CA
Paul J. Paradis, Headquarters Records Mgmt., AD-623
Maria Vignone, EM-123
Robert Ladesic, FE-122
David Nelson, ER/ST-7
Richard August, NP-41
Wayne Drawdy, DP-542.2
Sue Wendell, NE-13
Thomas Kitchens, ER-7
Barbara Cerny, RW-12
James Nelson, PR-3
Geoffrey Judge, EH-51
Ginny Cornwell, CR-3
Ted Kurkowski, CE-64
John Weiner, EI-23
Steve Scott, NS-50
Ray Kukol, IG-12
T. J. Hopkins, CP-10

DOE F 1325.8
(8-86)
EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 20 1993

REPLY TO ATTN OF: AD-244

SUBJECT: 93-6, Electronic and Contractor Records

TO: Distribution

Attached are two memoranda from the National Archives and Records Administration. The first deals with a new form to use when transferring electronic records. The second summarizes a Bimonthly Records and Information Discussion Group meeting at which the management of contractor records in the Department of Energy was discussed.

If you have any questions, please give me call on FTS/commercial (301) 903-3524.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

2 Attachments

Addressees - Memorandum dated _____

Director, Information Resources Management, Yucca Mountain Project Office
Director, Information Management Division, AL
Office Manager, FN
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Director, Personnel & Management Evaluation Division, SR
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Director, Records Management Division, SEPA
Director, Facilities Division, PNR
Chief, Management Resource Branch, SWPA
Deputy Project Director, SSC Project Office
Director, Organization, Personnel, & Communications, SNR
Director, Information and Property Management Division, NV
Director, Contracts and Services Division, RF
  THRU: Deputy Assistant Secretary for Facilities, DP-60
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Director, Information Analysis & Management Division, OSTI
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Director, Information Resources Management Division, PETC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Information Resources Management Division, OR

cc:
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NE-60
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Carol Franklin, Records Management Division, SEPA
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Kate Polesovsky, NREL

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Sue Wendell, NE-13
Thomas Kitchens, ER-7
Barbara Cerny, RW-12
James Nelson, PR-3
Geoffrey Judge, EH-51
Ginny Cornwell, CR-3
Ted Kurkowski, CE-64
John Weiner, EI-23
Steve Scott, NS-50
Ray Kukol, IG-12
T. J. Hopkins, CP-10

National Archives

Washington, DC 20408

APR 5 1993

NI 19.93

MEMORANDUM TO AGENCY RECORDS OFFICERS: Transfer of Permanent Electronic Records to the National Archives (Use of NA Form 14097)

The attached NA Form 14097, "Technical Description for Transfer of Electronic Records to the National Archives," has replaced the now abolished SF 277 for providing technical information pertaining to permanent electronic records. NARA's regulations require that agencies submit this information with each transfer of electronic records to the National Archives (see 36 CFR 1228.188 and 36 CFR 1234.22). It is important, however, to note that it is the *information* which is required, **not** the form itself. Agencies may substitute their own reporting format or use the NA Form 14097 provided, which identifies the required information.

NARA's Center for Electronic Records (NSX) is responsible for distributing the form. In order to provide additional guidance to Federal agencies, NSX has also prepared a packet of information on preparing electronic records for transfer to NARA that includes a checklist for transfers, instructions on completing transfer forms, guidelines for compiling documentation and technical format requirements. This packet is intended to be used in conjunction with the NARA Instructional Guide, *Managing Electronic Records*.

If you have questions about NA Form 14097 or are interested in acquiring copies of the form or the transfer instruction packet, please contact the Center for Electronic Records (Room 20E, National Archives and Records Administration, Washington, DC, 20408, 202-501-5565. The NARA Instructional Guide, *Managing Electronic Records*, may be obtained from NSX or by calling the Records Administration Information Center (RAIC) on 202-501-6025.

JAMES W. MOORE
Assistant Archivist
for Records Administration

Attachment

TECHNICAL DESCRIPTION FOR TRANSFER OF ELECTRONIC RECORDS TO THE NATIONAL ARCHIVES

FILE IDENTIFICATION

01. OFFICIAL FILE TITLE, COMMONLY USED IDENTIFIER, AND/OR DESCRIPTIVE TITLE:

02. ACRONYM ASSIGNED TO FILE:

03. RESTRICTIONS ON ACCESS:

04. TITLE/DESCRIPTION OF DOCUMENTATION PROVIDED:

05. FORMAT OF DOCUMENTATION:
- ☐ Paper
- ☐ Electronic Format *(Specify)*
- ☐ Other *(Specify)*

06. ELECTRONIC RECORDS SUBMITTED BY *(Agency name and address)*:

07. IDENTIFY TECHNICAL CONTACT(S):
Name:
Phone:

FILE CHARACTERISTICS

08. SHORT TITLE ON EXTERNAL LABEL

10. STORAGE MEDIA UNIT VOLUME SERIAL NUMBER:

12. DENSITY *(CPI/BPI)*:

09. RETURN STORAGE MEDIA TO AGENCY AFTER ARCHIVAL PROCESSING:
☐ Yes ☐ No
If Yes, Provide Address for Return *(if different from item 06)*:

11. TYPE OF MEDIA PROVIDED:
- ☐ Open-Reel Magnetic Tape
- ☐ 3480-Class Tape Cartridge
- ☐ Other *(Specify)*

13. NUMBER OF TRACKS:
☐ 7 ☐ 9 ☐ 18
☐ Other *(Specify)*

14. FILE ORGANIZATION ON STORAGE MEDIA
- ☐ One File on One Media Unit
- ☐ One File on Multiple Media Units
- ☐ Multiple Files on One Media Unit
- ☐ Multiple Files/Multiple Media Units

15. RECORDED LABEL *(Internal Label)*
- ☐ IBM OS
- ☐ IBM DOS
- ☐ ANSI X 3.27 Standard
- ☐ No Internal Lables
- ☐ Other *(Specify and Describe)*

16. CHARACTER SET
- ☐ ASCII
- ☐ EBCDIC
- ☐ BCD *(7 track only)*
- ☐ Binary
- ☐ Packed Decimal
- ☐ Other *(Specify)*

17. DATE FILE COPIED:

18. INTERNAL FILE NAME/IDENTIFIER *(aka Data Set Name)*:

19. SEQUENCE OF FILE ON STORAGE MEDIA UNIT:
file _____ of _____

20. NUMBER OF LOGICAL RECORDS PER BLOCK *(Blocking Factor)*:

21. RECORD TYPE
- ☐ Fixed Length (F)
- ☐ Fixed Length Blocked (FB)
- ☐ Other Than Fixed Length *(Specify Format)*

22. LENGTH OF LOGICAL RECORDS IN CHARACTERS OR BYTES:

24. NUMBER OF LOGICAL RECORDS:

23. LENGTH OF PHYSICAL RECORDS IN CHARACTERS OR BYTES:

25. NUMBER OF PHYSICAL RECORDS *(Blocks)*:

26. AGENCY COMMENTS:

27. FORM PREPARED BY:
Name:
Phone: ( )

28. DATE FORM COMPLETED:

INSTRUCTIONS

GENERAL:

The purpose of this form is to facilitate the transfer of electronic records with continuing or enduring value to the National Archives. A packet containing additional information on the transfer of electronic records is available from the National Archives. This form is not intended to take the place of other required documentation. FIPS PUB 20 contains a discussion of file documentation. Technical information describing each file is required by 36 CFR, but NA Form 14097 is optional. If there is an alternative reporting format that provides all of this required information, substitute the report for NA Form 14097. Include the required information as an attachment to the SF 258. ***A separate form should be completed for each file.*** If multiple files have very similar technical specifications, one form with an attachment that specifically identifies all of the files covered by the form may be used.

IDENTIFICATION SECTIONS

01. **Official Title, Commonly Used Identifier, and/or Descriptive Title.** Enter the name by which the agency identifies the file. Consider how the title would appear in a bibliographic entry. If there is no official title, provide a descriptive title.

02. **Acronym Assigned to File.** Enter the commonly used abbreviation or acronym as assigned by the agency. Often, the acronym will be used on the external (gummed) label of the storage media unit.

03. **Restrictions on Access.** Specify any restrictions that apply to this file — cite FOIA exemption, and, if b(3), cite statute, indicate specific columns or types of records in the file that are affected; specify length of restriction on access and method of determining the date when restrictions end. If there are no applicable restrictions on access, please indicate.

04. **Title/Description of Documentation Provided.** Documentation is required for all transfers of electronic records to the National Archives. Enter the title or description of the documentation provided by the agency for the file. Guidelines are available on the source and content of documentation. If any documentation is available in electronic form, include it in the transfer.

05. **Format of Documentation Provided.** Mark all boxes that apply to the transfer with an "X." If "Electronic Format" is checked, include a technical description form for each documentation file in electronic format. If "Other" is checked, be as specific as possible in describing the documentation transferred.

06. **Electronic Records Submitted by.** Enter the name and address of the agency that is responsible for the transfer.

07. **Identify Technical Contact(s).** Identify the person who will respond to technical questions about the records if they arise during archival processing.

FILE CHARACTERISTICS

08. **Short Title on External Label of Storage Media Unit.** Enter the short title that appears on the external (gummed) label of the storage media unit(s).

09. **Return Storage Media to Agency After Archival Processing.** The National Archives returns the reels or cartridges included in the transfer to the agency when two preservation copies have been created. Check "No" to indicate that the storage media should not be returned or provide an address for return shipment. If Yes, Provide Address for Return (if different from Item 06).

10. **Storage Media Unit Volume Serial Number.** Enter the volume serial number which uniquely identifies this tape/tape cartridge. If the file is recorded on multiple volumes, enter the first volume serial number in this item and list all others, in sequence, in Item 26.

11. **Type of Media Provided.** To comply with the transfer standard identified in 36 CFR, a storage media unit should be an open-reel magnetic tape or 3480 tape cartridge. Enter an "X" in the appropriate box. If "Other" is checked, contact the National Archives prior to transfer and provide a specific identification of the storage media used for transfer.

12. **Density (CPI/BPI).** Enter an "X" in the appropriate box to indicate characters or bytes per inch.

13. **Number of Tracks.** Enter an "X" in the appropriate box. For 7 track tapes, indicate whether the parity is odd or even in Item 26.

14. **File Organization on Storage Media.** Enter an "X" in the appropriate box. If a single file on a single storage media unit is described, check "One File on One Media Unit." If a multi-volume file is described, check "One File on Multiple Media Units." If more than one file is on the storage media unit, check "Multiple Files on One Media Unit." If the transfer includes multiple files on multiple storage media units, check "Multiple Files on Multiple Media Units."

15. **Recorded Label (Internal Label).** Enter an "X" in the appropriate box. If "Other" is checked, provide a specific description of the internal labels in Item 26.

16. **Character Set.** Enter an "X" in the appropriate box. If "Binary" or "Packed Decimal" is checked, indicate the characters (bytes) that are stored in those formats in Item 26.

17. **Date File Copied.** Enter the date that appears on internal labels, if the files are labelled. This is the date the records were copied onto the storage media unit(s).

18. **Internal File Name/Identifier (aka Data Set Name).** If there is a recorded label, enter the file identification (e.g., Data Set Name) used in the label. File Names in IBM standard labels should follow IBM DSN naming conventions.

19. **Sequence of File on Storage Media Unit.** If this is the only file on the storage media unit, enter a "1." If the storage media unit contains multiple files, enter the file's position number on the storage media unit. See Item 14.

20. **Number of Logical Records per Block (Blocking Factor).** If "Fixed Length" is checked in Item 21, enter the blocking factor.

21. **Record Type.** Enter an "X" in the appropriate box. If "Other Than Fixed Length" is checked, a specific description of the format is very important, especially if the documentation provided does not contain a precise description. Use Item 26 to describe "Other" formats.

22. **Length of Logical Records in Characters or Bytes.** Enter the logical record length in bytes or characters. If the record is not fixed length, enter the maximum size record, and describe techniques used to control and indicate size in Item 26.

23. **Length of Physical Records in Characters or Bytes.** Enter the physical record length in bytes or characters. If the record is not fixed length, enter the maximum size record, and describe techniques used to control and indicate size in Item 26.

24. **Number of Logical Records.** Enter the number of logical records in the file. This number is usually supplied by the program which created the file. Labels are not included in this count. If the last block is padded with blank records to fill out the block, please provide a total record count and a count of records that contain information.

25. **Number of Physical Records (Blocks).** Enter the number of physical records (blocks). Labels are not included in this count.

26. **Comments.** Provide additional information as necessary or desired. If the information pertains to another item on the form, identify the relevant item number. Files transferred to the National Archives should not be software-dependent in accordance with 36 CFR. If there are any exceptions to this, identify the release and/or level of any software required to read the file. Provide attachments if the information required will not fit in Item 26.

27. **Form Prepared By.** Enter the name and phone number (including area code) of the individual who prepared this form.

28. **Date Form Completed (YY/MM/DD).** Enter date this form was prepared.

GPO : 1992 O - 333-109

National Archives

Washington, DC 20408

April 19, 1993

NI 20.93

MEMORANDUM TO AGENCY RECORDS OFFICERS: Summary of BRIDG meeting on documentation of contractor programs

In the March 17 session of the Bimonthly Records and Information Discussion Group (BRIDG), 41 Federal records managers and NARA staff members met at the National Archives Conference Center in Washington, DC, to discuss the special conditions associated with contractor created and/or maintained records in support of Federal programs. By using the Department of Energy's experience with one of its contractors as an example, the session focused on common problems and techniques to ensure that the Government establishes and maintains control over records created or maintained by contractors which are needed for adequate and proper documentation of agency program activities.

NARA's Mike Anderson and Bill Leary highlighted the types of agency programs commonly supported by contractors, described how the Federal regulations governing contractor records were formulated, and discussed the major provisions of the regulations. The importance of specifying in the contract the delivery to the Government of all data needed for documentation of contractor-operated programs remained a theme throughout the meeting.

The best method an agency can use to ensure that a contractor program is adequately documented is to (1) include in the contract a clause requiring the contractor to provide the agency with all pertinent records of how the contractor carried out the program and (2) make certain that the records are transferred to the physical custody of the agency.

These records of how the contractor carried out the program may include transactional or case files, handbooks, directives, procedural statements, and other information created by the contractor. In addition, the contract should identify background data that may have reuse value to the Government, and require that such data also be delivered to the contracting agency. Background data of reuse value may include raw data used to support statistical analyses and background data needed to verify facts or assertions or to justify conclusions in reports representing the official position of the agency.

However, it is not enough merely to include these "data deliverable" clauses in the contract. If the records remain in the custody of the contractor, and the delivery called for in the contract never occurs, ownership of the records may be

questioned. The safest approach an agency can take to establish clear-cut ownership of contractor records is to invoke the data deliverable clause of the contract and take physical possession of the records.

Mary Ann Wallace, Director of the Department of Energy's Records Management Division, described three different ways DOE contractors are involved in records. All DOE contractors furnish deliverables to the Department. In addition, some DOE contractors manage and operate DOE facilities, while others support DOE records management programs. Records management policies and procedures differ for each. However, precise contract language which allows for accountability and oversight is critical to the success of any of these arrangements.

Other potential pitfalls in the contract process include varying interpretations of contract language; lack of coordination between records manager, legal counsel and the contractor; disparity among contracts written within an agency; and lack of procedures to facilitate a smooth transition when contractors change. Access and dissemination considerations surrounding rights to data are seen as the most pressing concerns for the future. To assure a place in policy development on this issue, records managers should remain in close contact with acquisition managers and agency legal counsels.

Angela Tayfun and Martin Cummings of TRW, management and operating contractor for DOE's Office of Civilian Radioactive Waste Management, provided the contractor's perspective on Federal records. Ultimately accountable to the agency, the contractor is responsible for meeting the recordkeeping requirements of the agency and the contractor. The discussion touched on such topics as ensuring that contractor and agency records schedules are coordinated in order to fulfill the recordkeeping requirements of the other party, the importance of establishing an office of record for the receipt of contract deliverables, and issues relating to the potential transfer of records to contractor custody following expiration of the Federal retention period.

Participants suggested NARA offer further guidance by updating expired NARA Bulletin 88-5 which elaborates upon 36 CFR 1222.48 and defines many of its terms; supplying a sample Request for Proposals on which agencies may base their contractor announcements; incorporating information on documentation of contractor programs in relevant NARA training courses such as Records Disposition and Records Management for Agency Managers; and keeping agencies and contractors up-to-date by publicizing requirements for creating, maintaining and arranging for the disposition of Federal records.

Along with the meeting agenda, participants received a copy of 36

CFR 1222.48, expired NARA Bulletin 88-5, and Federal Acquisition Regulation Part 4, which contains records retention requirements for financial, cost accounting, pay administration, acquisition, and supply records in order for contractors to meet the records review requirements of the Government.

Please call the Records Administration Information Center at 202-501-6025 or write the Agency Services Division (NIA), National Archives, Washington, DC 20408 if you wish to:

--receive copies of the March 17 BRIDG handouts
--tell about your agency's experiences with contractor records
--learn about contractor materials in the Records Administration Information Center.

JAMES W. MOORE
Assistant Archivist
for Records Administration

DOE F 13 5 8
(3-89)
EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 20

REPLY TO ATTN OF: AD-244

SUBJECT: 93-7, New Design for Federal Records Center (FRC) Boxes

TO: Distribution

Attached is a memorandum from the National Archives and Records Administration. The memorandum summarizes the new design for FRC standard records retiring boxes.

If you have any questions, please give me call on FTS/commercial (301) 903-3524.

Mary Ann Wallace

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Attachment

Addressees - Memorandum dated

Director, Information Resources Management, Yucca Mountain Project Office
Director, Information Management Division, AL
Office Manager, FN
Director, Property & Business Services Division, SF
Director, Personnel & Management Evaluation Division, SR
Director, Information Systems Management Division, METC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Procurement & Support Services Division, WAPA
Director, Information and Administrative Services Division, SPR
Director, Site Management Division, RL
Director, Records Management Division, SEPA
Director, Facilities Division, PNR
Chief, Management Resource Branch, SWPA
Deputy Project Director, SSC Project Office
Director, Organization, Personnel, & Communications, SNR
Director, Information and Property Management Division, NV
Director, Contracts and Services Division, RF
  THRU: Deputy Assistant Secretary for Facilities, DP-60
Director, Operations Management Support Division, CH
Director, Information Analysis & Management Division, OSTI
Director, Division of Administrative Services, BPA
Director, Resource Management Division, ID
Director, Information Resources Management Division, PETC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Information Resources Management Division, OR

cc:
DP-1
ER-1
NE-1
NE-60
Gail Clark, Site Management Division, RL
Carol Franklin, Records Management Division, SEPA
Mary Freesmeyer, Office of Manager, FN
T. J. Glock, Director of Facilities, PNR
Yvonne Grewe, Property/Information Resource Management Branch, SWPA
Marek Halaska, Office of Deputy Project Director, SSC Project Office
John Halvorsen, Director of Organization, Personnel, & Communications, SNR
JoAnna Jones, Information and Property Management Division, NV
Judy Krumm, Contracts and Services Division, RF
Georgette Lane, Operations Management Support Division, CH
Lowell Langford, Information Analysis & Management Division, OSTI
Kathy Lipscomb, Records Management Section, BPA
Toni Love, Resource Management Division, ID
Pat Kelly, Information Resources Management Division, PETC
Joe Malinovsky, Office of Administrator, APA
Cathy Marciante, Information Resources Management Division, OR
Beth McMahan, Contracts Surveillance/Administration, NPR in CO, UT, & WY
Donald Nord, Procurement & Support Services Division, WAPA
Dan Ogden, Personnel & Management Evaluation Division, SR
Gary Pastoria, Information Systems Management Division, METC
Kate Polesovsky, NREL

Anne Raible, Property & Business Services Division, SF
Margarita Sexson, Information Management Division, AL
Dee Spillman, Information and Administrative Services Division, SPR
David Warriner, Yucca Mountain Project Office
Fran Young, Programs and Budget Branch, NPR in CA
Paul J. Paradis, Headquarters Records Mgmt., AD-623
Maria Vignone, EM-123
Robert Ladesic, FE-122
David Nelson, ER/ST-7
Richard August, NP-41
Wayne Drawdy, DP-542.2
Sue Wendell, NE-13
Thomas Kitchens, ER-7
Barbara Cerny, RW-12
James Nelson, PR-3
Geoffrey Judge, EH-51
Ginny Cornwell, CR-3
Ted Kurkowski, CE-64
John Weiner, EI-23
Steve Scott, NS-50
Ray Kukol, IG-12
T. J. Hopkins, CP-10

National Archives

Washington, DC 20408

January 14, 1993

Subject: New design for Federal Records Center (FRC) boxes

MEMORANDUM TO AGENCY RECORDS OFFICERS

This memorandum informs you about certain re-design features of our standard records retiring boxes - - the commonly called cubic foot "FRC boxes" - - that agencies use to transfer inactive files to Federal Records Centers. We standardized a new design for two of the boxes, after considerable review and testing, in order to maximize overall effectiveness.

The newly designed boxes are used specifically for retiring letter or legal size files and magnetic tape records on 10 1/2" reels to the Federal Records Centers. These boxes have been re-designed in two distinct sizes with new standard features, as follows: (1) a "lock bottom" style to enhance records security while in transit, (2) pre-printed instructions for agency use in files packing and labeling, (3) increased bursting strength to resist crushing of filled boxes in transit or while stacked, (4) reinforced hand holes on each end to facilitate carrying boxed records or withdrawing them from shelf storage, and (5) a white exterior surface to enhance readability of annotations on box exteriors.

For related information about the new boxes, see characteristics under the Style 2 boxes, Sizes C and D, as shown in the attached Commercial Item Description A-A-670B issued by the General Services Administration (GSA).

Concerning future retirements of your letter or legal size files, please note specifically that our former "oversize" FRC box, Size 10"W x 12"H x 15"L, has been eliminated from the commercial item description for two reasons. One, because of its **extra length**, the box projects into our narrow shelving service aisles and tends, over time, to get bumped and damaged by our mobile ladders and other files operating equipment; and two, because of its **extra height**, the top flaps of this box tend to "catch" on the lip of the shelf above during its storage on or withdrawal from our standard shelving.

GSA expects that the new standard boxes will be available from the normal sources in Federal Supply Service (FSS) by about mid-February 1993, or as soon thereafter as the existing stocks are exhausted. At this time, the new box for retiring letter or legal size files is available to those agencies that requisition from FSS in Stockton, California, under NSN 8115-00-117-8249.

To help facilitate assembly of the new "lock bottom" style boxes by first-time users, we are attaching a simple 5-step graphic entitled Assembly Instructions for your information.

For any necessary assistance in obtaining the new boxes, please telephone the appropriate local GSA/FSS Customer Service Director as shown in the attached excerpt from the Federal Supply Service catalog.

DAVID F. PETERSON
Assistant Archivist for
Federal Records Centers

Enclosures

cc: All FRCs
NI

[INCH - POUND]

A-A-670B
December 19, 1991
SUPERSEDING
A-A-670A
December 1,1982

COMMERCIAL ITEM DESCRIPTION

BOXES, CORRUGATED FIBERBOARD, RECORDS RETIRING

The General Services Administration has authorized the use of this commercial item description in preference to Federal Specification PPP-B-650B, which is canceled.

This description covers fiberboard boxes to be used for shipping and storing Federal records.

1. Salient Characteristics:

A. Styles. The boxes shall be of two styles.

Style 1 - Regular slotted box of two sizes (see figure 1).
Style 2 - Lock bottom box of two sizes (see figure 2)

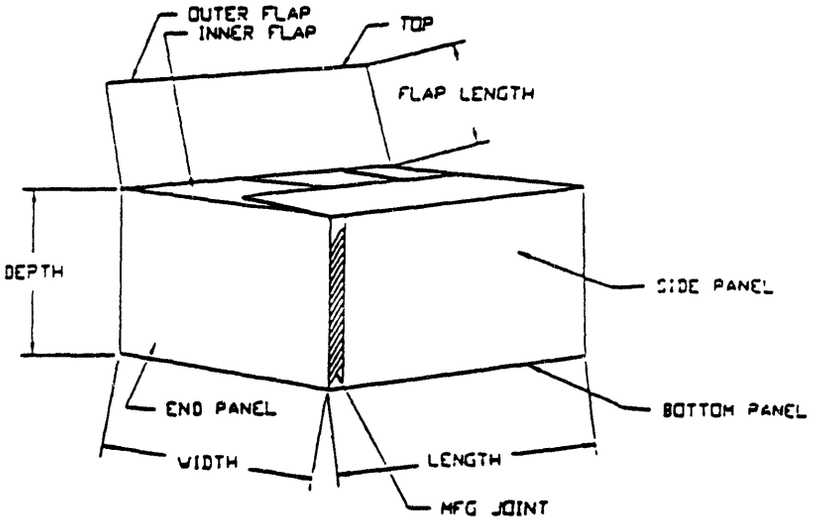


FIGURE 1

Style 1 - Regular slotted box

TOP LOADING
OUTER FLAPS MEET;
INNER & OUTER FLAPS
ARE OF EQUAL LENGTH

Size A - 14 3/4" X 9 1/2" X 4 7/8"
Size B - 14 3/4" X 6 1/2" X 4 1/2"

DISTRIBUTION STATEMENT A : Approved for public release; distribution is unlimited.

FSC 8115

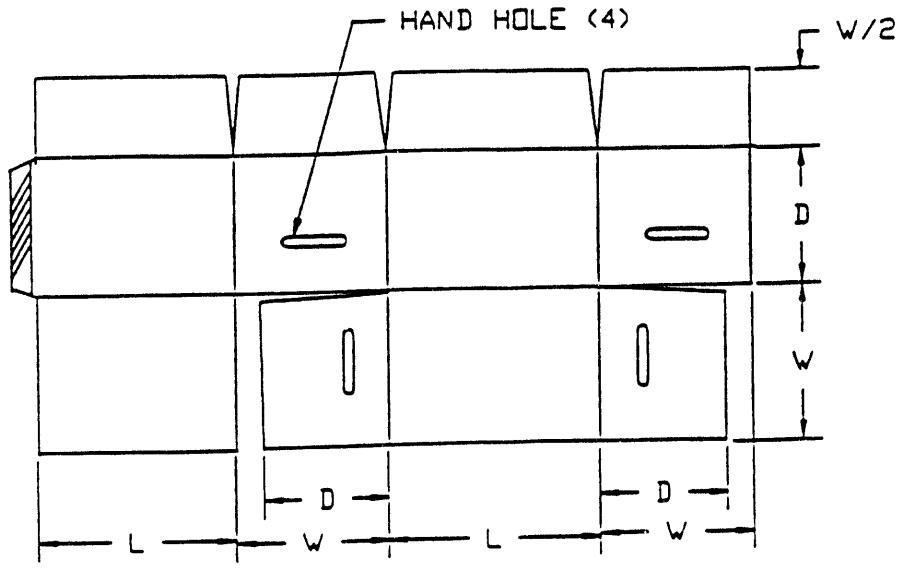


FIGURE 2

TOP LOADING, TOP OUTER FLAPS MEET
TOP INNER & OUTER FLAPS ARE OF EQUAL LENGTH

L = Length W = Width D = Depth

Style 2 - Lock bottom box (See 1.G)

Size C - 14 3/4" X 12" X 9 1/2"
Size D - 14 3/4" X 11 3/4" X 11 3/4"

B. Dimensions. Dimensions shall be inside measurements given in the sequence of length, width, and depth, with a tolerance of plus or minus 1/8 inch.

C. Fabrication. Fiberboard used in the fabrication of the boxes shall be in accordance with ASTM D5118 and ASTM D4727, domestic class, single wall, B-flute with a minimum dry bursting strength of 200 p.s.i. for style 1, and 275 p.s.i. for style 2.

D. Box body. Style 1 shall be constructed from one piece of fiberboard scored to form the box. Direction of the flutes shall be parallel to the manufacturer's joint. Style 2 shall be constructed of one piece of fiberboard as indicated in figure 2.

E. Joints. The manufacturer's joint for both Style 1 and Style 2 shall be fastened with metal staples or stitches spaced not more than 1 1/2 inches apart. Each box shall bear the box-maker's certification on the bottom panel of the box.

F. Workmanship. The box shall be free from any defect that may affect its appearance, performance, use or cause injury to the end user.

G. Additional requirements: Applies only to Style 2, Size C and size D.

I. The following instructions shall be printed in bold lettering, at least 1/4 inch high on both side panels. (See Figure 4)

INSTRUCTIONS

1. DO NOT OBSCURE BOX NUMBER OR ACCESSION NUMBER WITH TAPE.

2. USE BLACK FELT TIP MARKER.

3. MAKE NUMBERS 1 1/2 INCHES HIGH.

4. PACK BOXES WITH RECORDS ONLY.

5. RECORDS MUST BE IN ORDER BY NAME, NUMBER, OR DATE FACING THE LABELED END OF BOX.

II. On the end panel with the stitched joint, above the hand hole, the following shall be printed in bold letters at least 1/2 inch high.

DO NOT WRITE ON THIS END

III. In both end panels; there shall be hand holes through both thicknesses that are oval in shape, 1 inch high and 3 inches in length. The bottom of the hand holes shall be 4 inches +/- 1/4 inch above the bottom of the box.

IV. Three blocks shall be printed on the end panel (without the stitched joint) at the corners as shown in Figure 3, also see Figure 4.

V. Entire exterior of box shall have a bleached white appearance.

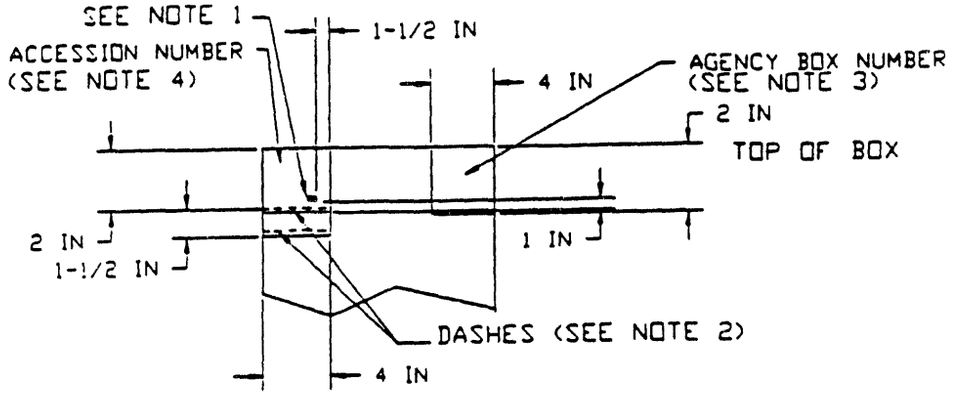


FIGURE 3

NOTE 1: Black square is 1/4" X 1/4"

NOTE 2: Dashes are 1/8" above solid line & 1/2" in length, uniformly spaced.

NOTE 3: The following two lines shall be printed in bold lettering at least 1/4" high. Top of lettering for upper line shall be 1/2" +/- 1/8" from top of box.

AGENCY BOX NUMBER

OF

NOTE 4: The following line shall be printed in bold lettering at least 1/4 inch high. Top of lettering shall be 1/2" +/- 1/8" from top of box.

ACCESSION NUMBER

2. Recovered Materials:

The contractor must certify that the product offered shall include a minimum of 40 % post-consumer recovered material as defined in 40 CFR, Part 250. The Government reserves the right to require proof of such conformance prior to first delivery and thereafter as may be otherwise provided for under the provisions of the contract.

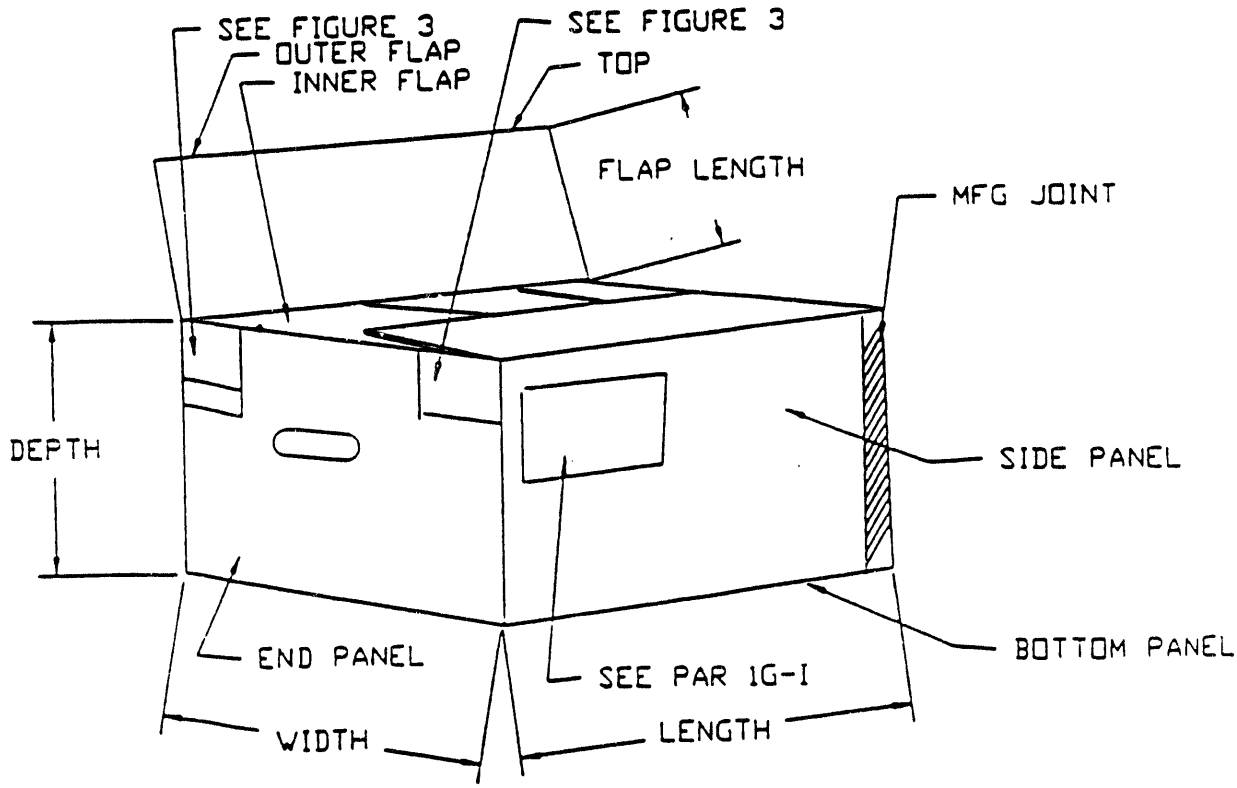

SEE FIGURE 3
OUTER FLAP
INNER FLAP
SEE FIGURE 3
TOP
FLAP LENGTH
MFG JOINT
DEPTH
SIDE PANEL
END PANEL
SEE PAR 1G-I
BOTTOM PANEL
WIDTH
LENGTH

FIGURE 4

3. Quality Assurance:

Responsibility for Inspection - Unless otherwise specified in the contract or purchase order, the supplier is responsible for the performance of all inspection requirements as specified herein. Except as otherwise specified, the supplier may utilize his own facilities or any commercial laboratory acceptable to the Government. The Government reserves the right to perform any of the inspections set forth herein, where such inspections are deemed necessary to assure that supplies and services conform to the prescribed requirements.

Each lot of boxes shall be inspected for conformance to the requirements herein. Inspection shall be in accordance with MIL-STD-105 using the sampling plans specified below.

A. Visual characteristics - Inspection level S-4 with an Acceptable Quality level (AQL) of 4.0 percent defective. The sample unit shall be a single box.

B. Dimensional characteristics - Inspection level S-2 with an Acceptable Quality level (AQL) of 4.0 percent defective. The sample unit shall be one box.

C. Sampling for end item testing - Inspection level S-2 with an AQL of 4.0 percent defective. The sample unit shall be one box.

D. Preservation, Packaging, Packing, Labeling and Marking - Inspection level S-2 with an AQL of 4.0 percent defective. The sample unit shall be one fully prepared shipping container.

4. Application for copies of technical documents referenced herein:

The issue date in effect on date of invitation for bids or request for proposal shall apply.

A. MIL-STD-105 is available from Standardization Documents Order Desk; Building 4D; 700 Robbins Avenue; Philadelphia, PA 19111 - 5094.

B. ASTM D5118 and ASTM D4727 are available from the American Society for Testing and Materials, 1916 Race Street , Philadelphia, Pa 19103.

C. Code of Federal Regulations, Title 40, Part 250 is available through the Superintendent of documents, U.S. Government Printing Office, Washington, DC 20402.

5. Preparation for Delivery:

Preservation, Packaging, Packing, Labeling and Marking shall be as specified in the contract or purchase order.

6. Ordering Data:

Purchasers should select the prefered options permitted herein, and include the following information in procurement documents:

A. Title, number and date of this commercial item description.
B. Size of box.

7. Item Identifiers/Reference Part Number System (For Cataloging use only)

Part Reference Numbers:

AA670 - C :This example describes a
LOCK BOTTOM BOX, 14 3/4" X 12" X 9 1/2"

---Size: A - 14 3/4" X 9 1/2" X 4 7/8", REGULAR SLOTTED

B - 14 3/4" X 6 1/2" X 4 1/2", REGULAR SLOTTED

C - 14 3/4" X 12" X 9 1/2", LOCK BOTTOM

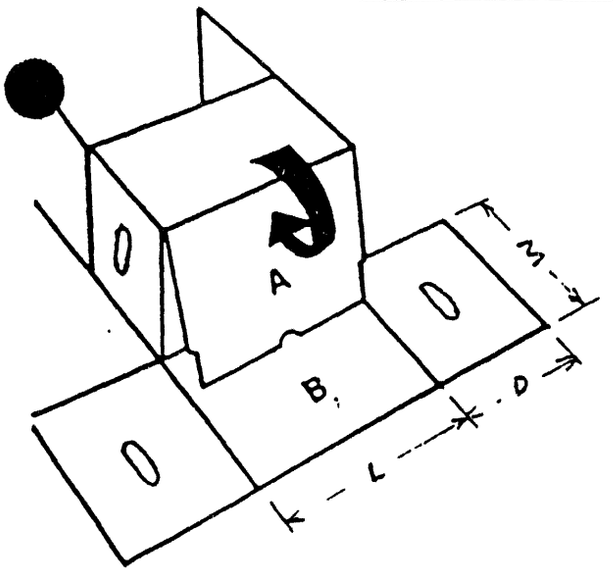
D - 14 3/4" X 11 3/4" X 11 3/4", LOCK BOTTOM

Civil Agency Coordinating Activity:
National Archives and Records Administration

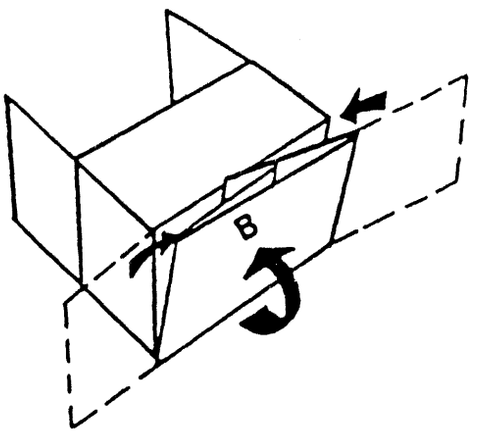
No official DOD interest has been registered

Preparing Activity:
GSA-FSS

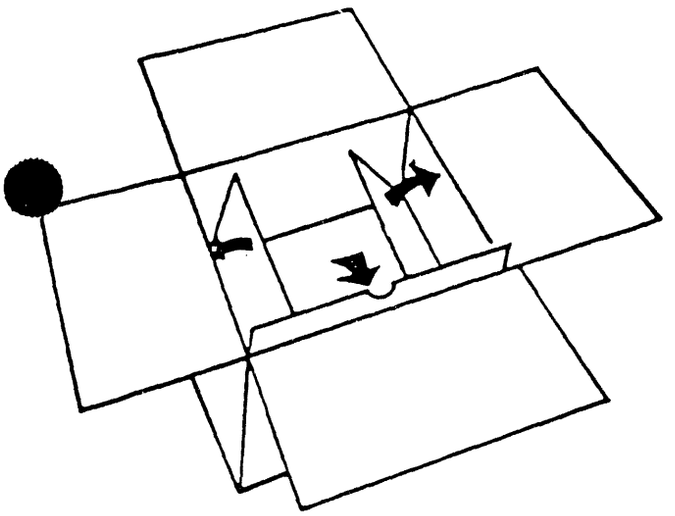
ASSEMBLY INSTRUCTIONS



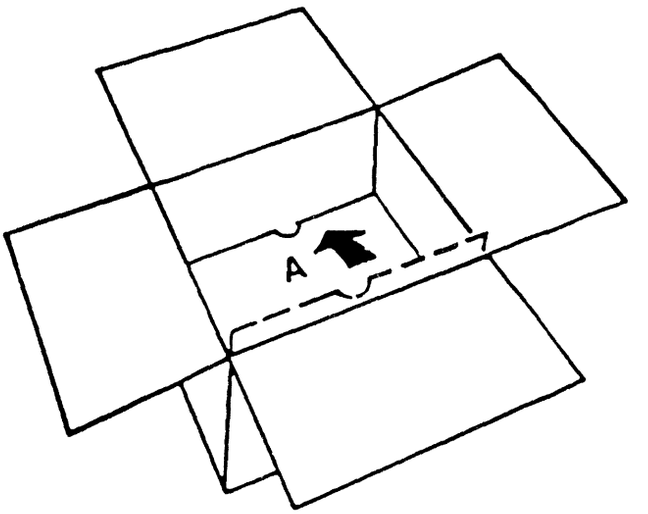
STEP 1. SQUARE UP BOX ON ITS SIDE AND FOLD FLAP A INSIDE.



STEP 2. FOLD EXTENSIONS OVER ON FLAP B AND FOLD TO CLOSED POSITION.

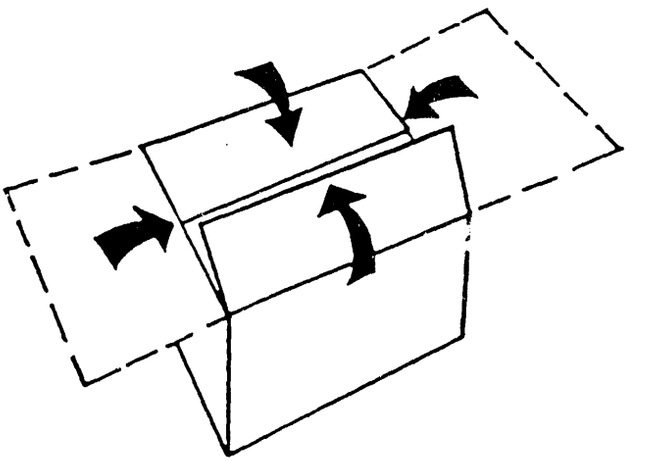


STEP 3. LIFT FLAP A TO VERTICAL POSITION AND THEN LIFT AND FOLD EXTENSIONS OF FLAP B UP AGAINST END WALLS OF BOX.



STEP 4. LOWER FLAP A TO BOTTOM OF BOX.

STEP 5. FOLD ALL FLAPS IN TO TOP. SMALL FLAPS FIRST, LARGE FLAPS LAST.



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U.S. Department of Energy

Washington, D.C.

NOTICE

DOE N 1324

EXPIRES:

SUBJECT: RIGHTS AND INTERESTS RECORDS NEEDED FOR EPIDEMIOLOGICAL AND OTHER HEALTH STUDIES

1. PURPOSE. To clarify requirements for identifying, protecting, and preserving Department of Energy (DOE) and DOE contractor rights and interests records needed for epidemiologic and other health studies. These records include employee personnel, medical, radiation exposure/protection, and industrial hygiene files.

2. SCOPE. The provisions of this Notice apply to all Departmental Elements and managing and operating contractors with the exception of the exclusion noted in paragraph 3, below. The Notice also applies to subcontracts if any of the following factors is present:

   (1) The contracting officer determines that the subcontract is, or involves, a critical task related to the contract;

   (2) The subcontract includes any of the following, or similar, clauses from the DOE Acquisition Regulation (DEAR):

   970.5204-2 Safety and health (Government-owned or leased facilities).
   970.5204-26 Nuclear facility safety applicability.
   970.5204-41 Preservation of individual occupational radiation exposure records.

3. EXCLUSIONS. This Notice does not apply to Naval Reactors activities.

4. REFERENCES.

   a. DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, which assigns responsibilities and authorities and prescribes policies, standards, and guidelines for the orderly disposition of records of the Department and its management and operating contractors.

   b. DOE 1324.8, RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM, of 10-23-91, which establishes policy and requirements necessary to insure preservation of the legal rights and interests of individual citizens and the Government during a post-attack recovery period or recovery from a calamit us event.

   c. Title 36 Code of Federal Regulations (CFR) § 1228.222, Facility standards for agency records centers, which prescribes structural building standards and storage equipment standards for records storage facilities.

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INITIATED BY:

DRAFT

d. Title 48 CFR Subpart 970, DOE Acquisition Regulation (DEAR), which provides requirements and provisions regarding the award and administration of management and operating contracts.

5. BACKGROUND. In 1990, the Secretarial Panel for the Evaluation of Epidemiologic Research Activities (SPEERA) cited a need to improve the management, credibility, and openness of health studies pertaining to the Department, its workers, and the communities near its sites. Specific improvements were called for in supporting independent research and restoring public trust in relation to these health studies. The SPEERA report also included recommendations for better management and preservation of site epidemiologic data.

To this end, former Secretary Watkins directed the DOE Field Office Managers to institute a moratorium on the destruction of records and data useful for epidemiologic studies. The Secretary also directed preparation of site inventories of records needed for health studies and gave oversight responsibility to the Office of Epidemiology and Health Surveillance (EH-42). DOE F 1324.13, "Survey of Epidemiologic and Health Records," was prescribed by EH-42 for recordkeepers and others to describe and report on the types of records containing the data items which would likely qualify as information to be saved for DOE epidemiologic and health studies.

In addition to the steps taken to maintain and identify needed records, it is necessary to ensure the ongoing protection and preservation of certain key groups of employee health-related records. These records have special value for epidemiologic and other health studies, and are important to the legal rights and interests of individual employees and the Government.

6. RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM. The requirements of this program were established under DOE 1324.8, RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM, of 10-23-91. Because records are essential to preserve the legal rights and interests of individual citizens and their Government, certain vital records must be identified, kept current, complete, retrievable, and protected from loss or damage. For the purposes of the Department's epidemiology and occupational health programs, the following vital records at all Departmental and contractor facilities are designated as rights and interests records and shall be managed accordingly (see Attachment 1 for detailed series descriptions):

a. Employee Medical Files;

b. Individual Personnel Files;

c. Employee Radiation Exposure/Protection Files; and

d. Employee Industrial Hygiene Exposure/Protection Files.

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(Although not the subject of this Notice, Departmental Elements and contractors also might be responsible for additional categories of rights and interests records as provided for under DOE 1324.8.)

7. ACTION.

a. Departmental Elements and contractors shall apply the requirements of DOE 1324.8 to the records noted in paragraph 6, above.

b. When conducting a general site-specific records inventory, any inventorying forms to be used (see Note below) shall provide for the identification and description of rights and interests records, including those cited in paragraphs 6a-d, above. When inventorying/surveying only for epidemiologic and health records, use DOE F 1324.13, block 3e (series description), to identify those records series which are deemed to be rights and interests records, in addition to other series recorded on the form(s).

[NOTE: The use of detailed records inventorying forms should not be confused with the purposes and use of DOE F 1324.10, "Records Inventory and Disposition Schedule (RIDS)." DOE 1324.2A prescribes the use of the RIDS form as a tool to help recordkeepers manage the files at a particular file station. The completed RIDS is a basic file plan for a specific file station within a specific organization, and it is not designed nor recommended to conduct and document a detailed records inventory. However, any rights and interests records series which is found being maintained at a file station must be identified as such on the RIDS or on any alternate file plan form being used at the file station.]

c. Rights and interests records shall be identified as vital records, duplicated, and copies stored at an off-site location, such as a Federal Records Center (FRC). Duplication and periodic off-site maintenance will ensure that the information in these records are preserved in the event of an attack, fire, flood, or other calamity at their originating site.

d. In the event that inactive rights and interests records cannot be duplicated, sites should transfer them to an FRC. Active and/or inactive rights and interests records kept on site shall be maintained in a storage facility meeting the facility specifications in 36 CFR §1228.222 prescribed by the National Archives and Records Administration (NARA).

e. Requests for an exemption from these requirements must be directed to the Departmental Records Officer (AD-244), through the local site Records Officer and/or the Operations Office Records Management Program Coordinator or the DOE Headquarters Records Management Program Coordinator (AD-623), as applicable.

LINDA G. SYE
Acting Director of Administration
and Management

RECORDS SERIES DESIGNATED AS RIGHTS AND INTERESTS RECORDS
FOR THE PURPOSES OF THE DEPARTMENT OF ENERGY
EPIDEMIOLOGY AND OCCUPATIONAL HEALTH PROGRAMS

SERIES: Employee Medical Files

NATIONAL ARCHIVES JOB NUMBER: N1-434-89-1, Items 4a-4b

DESCRIPTION:

Item 4. HEALTH UNIT RECORDS

a. Individual Health Case File. Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the health unit, including records of exposure to toxic substances, toxic chemicals, and to unique occupational hazards of the atomic energy program. Also includes preemployment physical examinations and disability retirement and fitness for duty examinations.

Authorized Disposition: Cut off file at time of separation. Transfer folders to local Federal Records Center (FRC) in one-cubic foot increments. Destroy 75 years after cut off. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

b. Individual Health Record Files. Cards which contain such information as date of employee's visit, diagnosis, and treatment.

Authorized Disposition: Destroy 6 years after date of last entry. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

SERIES: Individual Personnel Files

NATIONAL ARCHIVES JOB NUMBER: N1-434-89-1, Item 1

DESCRIPTION:

Item 1. Records consist of employment histories and jobs held by the employee from initial date of employment to date of separation. Includes, among other things, copy of all personnel and pay actions, life and health insurance coverage, resumes, proof of residence, copy of background investigation (not the Personal Security Questionnaire or Standard Form 86, which is filed in Security Offices), military service documents; and training records of more than 40 hours and any and all training records (certificates of completion) on health and

safety, radiation, hazardous duty and other courses when the employer's contract includes safety and health clauses (DEAR subparts 970.52; 970.5204-2; 952.223; 952.223-71; 952.223-72; 952.223-74; 952.223-75), unless separate training records are kept in training activity. Drug testing records may be part of these files or may be maintained elsewhere provided they are adequately safeguarded.

Authorized Disposition: Cut off file at time of separation. Transfer folders to local FRC in one-cubic foot increments. Destroy 75 years after cut off. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

SERIES: Employee Radiation Exposure/Protection Files

NATIONAL ARCHIVES JOB NUMBER: NC1-430-76-9(4), Items 5a(1)-5a(2); Items 6a-6e(2).

DESCRIPTION:

Item 5: Radiation-Contamination Control Program Records (includes correspondence) concerning or documenting accurate, quantitative description of the exposure of personnel to external radiation and internally deposited radionuclides, including development of appropriate regulations and procedures used as a basis for the radiation-contamination control program; excludes individual employee files.

a. Personnel Exposure Dose Record concerning or documenting radiation exposure dose to the individual due to alpha, beta, gamma, and neutron radiation as determined by personnel radiation monitors or by estimates based on other radiation dose instruments.

(1) Results of equipment calibration establishing the authenticity of the above dose results.

(2) Automatic data processing system programs, codes, instruction tapes, and discs if used for retrieval of item a, above.

Authorized Disposition: Destroy when 75 years old. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

Item 6: Individual Employee Health Hazard Case File. Individual employee radiation exposure history file (both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results, and shall include:

a. Records of skin and nasal contamination incidents, including decontamination details.

b. Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used.

c. Results of direct measurement of radiation from the chest, specific organs, or whole body.

d. Investigations of the following types:

(1) Assimilations of radioactive materials in excess of standards and control guides.

(2) Missing or unusual data concerning exposure of personnel to radiation.

(3) Radiation exposures exceeding quarterly to yearly exposure guides and standards.

e. Records of bioassay data.

(1) Positive laboratory results on bioassay samples (urine, feces, blood) used to determine internal assimilation by an individual of a radionuclide.

(2) Laboratory results indicating no assimilation of radioactive materials.

Authorized Disposition: Destroy when 75 years old. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

SERIES: Employee Industrial Hygiene Exposure/Protection Files

NATIONAL ARCHIVES JOB NUMBER: NC1-430-76-9(5), Items 4a-4d(2).

DESCRIPTION:

Item 4. RECORDS CONCERNING PERSONNEL EXPOSURE TO HAZARDOUS CONCENTRATIONS OF TOXIC CHEMICALS AND OTHER MATERIALS. Records (includes correspondence) prepared in the normal course of business concerning or documenting the exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides and individual employee files.

a. Standards, operating guides, and procedures, including revisions and background records which establish or relate to establishing operating practices.

Authorized Disposition: Permanent. Offer to NARA in 25 years.

b. Operating plans for specific jobs within the scope of the above-established operating practices.

Authorized Disposition: Destroy when purpose is served or when 1 year old, whichever is earlier. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

c. Records and investigations establishing the extent of employee exposure to toxic chemicals and materials. Those records should be filed in the Health Hazard Case File (see Item 6, above), wherever possible.

Authorized Disposition: Destroy when 75 years old. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

d. Industrial hygiene logsheets recording surveys for industrial hazards other than radiation and contamination.

(1) Surveys indicating no industrial hazard.

Authorized Disposition: Destroy when 75 years old. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

(2) Surveys indicating a potential industrial hazard.

Authorized Disposition: Until related facility is dismantled. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

Assessment Criteria for Records Management Review

April 1993

DRAFT

Section 1 - GENERAL MANAGEMENT

Criterion 1 - Organization and Staffing
Criterion 2 - Directives and Procedures
Criterion 3 - Employee Development
Criterion 4 - Quality Attainment and Checks and Balances
Criterion 5 - Control over Sub-Contractor held files

Section 2 - RECORDS MANAGEMENT OPERATIONS

Criterion 6 - Management and Control of Records
Criterion 7 - Management of Files
Criterion 8 - RIDS Development & Approval
Criterion 9 - Facility Standards
Criterion 10 - Storage and Retrieval
Criterion 11 - Utilization of Federal Records Centers
Criterion 12 - Disaster Recovery Program
Criterion 13 - Micrographics
Criterion 14 - Electronic Records
Criterion 15 - Emergency Operating Records Program
Criterion 16 - Rights and Interest Records Program

Section 1 - GENERAL MANAGEMENT

CRITERION 1 - ORGANIZATION AND STAFFING

Requirement

The contractor has assigned records management functions and responsibilities to appropriate organizations. The records activity's organizational structure and personnel staffing enhance the records management process. Staff resources are provided at a level sufficient to ensure accomplishment of responsibilities. A records manager has been designated.

Performance Criteria

ORGANIZATIONAL STRUCTURE

1. Have all records management functions been officially assigned to an appropriate organization or organizations, as evidenced by documentation such as an organizations chart or functional statement?

2. Is the organizational structure of the records management organization appropriate?

3. Are the duties and responsibilities of the records management staff specifically spelled out and adequately documented by functional statements of duties?

4. Where records management functions have been divided among organizations, has a system of coordination between these organizations been established?

STAFFING

5. Are personnel resources adequate to meet workload requirements?

6. Is the supervisory span of control appropriate?

7. Is supervision generally available to perform management functions such as planning, directing, and controlling?

8. Is workload data maintained and used to evaluate staffing requirements and to control backlogs?

CRITERION 2 - OPERATING PROCEDURES

Requirement

The contractor has developed and provided effective overall procedural guidance to those organizations involved in records management. Formal operating procedures that address all aspects of records management and which ensure application of laws, regulations, and sound business practices have been established and are being followed. The procedures reflect DOE and other Federal policy and guidance. A library of records management related publications are maintained.

Performance Criteria

DIRECTIVES AND GUIDANCE

1. Has a focal point been established to ensure development, control, and dissemination of contractor records management operating procedures and guidance?

2. Is a formal procedure in place for development, control, and updating of the contractor operating procedures, and is it followed?

3. Are internal operations and Government regulations and directive reviewed to identify areas in which operating procedures or guidance is needed, and are those changes made in a timely manner?

4. Are the operating procedures current?

5. Is a formal procedure in place and utilized for dissemination guidance to appropriate operating organizations in a timely manner

RECORDS MANAGEMENT DIRECTIVES LIBRARY

6. Has a library been established which includes updated records management regulations, directives, and applicable guidance such as 44 U.S.C Chapters 21, 29, 31, 33, 35, and 36 CFR Chapter XII, DOE Orders, General Records Schedules and the DOE contracting office directives?

DEVIATION REQUESTS

7. Is there an established procedure for the submission to the DOE contracting office for approval to deviate from Government regulations and DOE policy?

CRITERION 3 - EMPLOYEE DEVELOPMENT

Requirement

The contractor has an established employee development program which effectively promotes career development and provides the skills needed to manage and administer an effective and efficient records management program

Performance Criteria

CAREER DEVELOPMENT PLANS

1. Have career development plans been established for all records management professionals?

TRAINING

2. Have training needs been identified for the records management staff?

3. Is management taking advantage of available training courses?

4. Has an effective on-the-job training program for new records staff members been instituted?

5. Have internal training programs been established for records custodians?

6. Do users of records management services receive appropriate training on their responsibilities for records management?

7. Are National Archives and Records Administration courses utilized?

8. Have Federal Records Center staffs been utilized for training purposes?

CRITERION 4 - QUALITY ATTAINMENT AND CHECKS AND BALANCES

Requirement

The contractor has an effective program for monitoring, evaluating, documenting, and improving the quality of the organization's performance in records management, and for ensuring the maintenance of sufficient checks and balances in these activities. Management improvement objectives are established to ensure improvement of overall records management practices. Independent review procedures ensure accuracy, efficiency, and integrity of the operation. Interrelationships with all organizations with records management responsibilities, are effectively maintained to meet records management priorities within the organization.

Performance Criteria

MANAGEMENT

1. Are management improvement objectives and plans established to improve the quality of records management practices?

2. Are the records management operations subjected to periodic review and/or audit?

3. Are the recommendations from such reviews or audits discussed with responsible staffs?

4. Are appropriate corrective actions taken or initiated?

5. Are follow-ups made to review findings and adequacy of corrective actions?

6. Does the records organization perform and document self-evaluations of their own operations?

7. Is there a successful working relationship between the records management staff and the operating, procurement, and financial organizations?

8. Is the records management staff involved in activities related to records management such as budget, procurement, and administration and close-out of subcontracts?

9. Are users of the records management systems contacted periodically to determine the extent to which the systems are utilized, and to solicit their opinions and ideas on how to improve them?

Contracting Office Records Management Systems Review of Management and Operating Contractors

10. Is a management information system maintained which is capable of providing information and data on the records management operations to their management and the DOE contracting office?

11. Are records management reports and information used by management for analysis and decision making?

12. Is record data reviewed and verified by the records staff before entry into information systems?

13. Are all required records management reports reviewed for accuracy and submitted to the DOE contracting office as required?

14. When was the last self appraisal conducted?

CRITERION 5 - CONTROLS OVER SUBCONTRACTOR -HELD RECORDS

Requirement

The contractor has a system in operation that provides for the control of Government records generated and held by subcontractors in accordance with regulatory provisions and guidance of the DOE contracting officer. Subcontractor records systems are approved, appraised and received upon close-out in accordance with applicable regulations, and contracting officer guidance.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management and control of subcontractor generated and held Government records.

2. Are these instructions comprehensive and current?

GENERAL

3. Has a records administrator been designated in writing and assigned responsibility for records administration of subcontractors with Federal Records?

SOLICITATION REQUIREMENTS

4. Do solicitations specify Government record keeping requirements in sufficient detail to enable offer's to evaluate them accurately?

CONTRACT REQUIREMENTS

5. Do subcontract file checklists require a notation that a Government record keeping requirement is or is not included in the subcontract?

6. Do subcontracts contain an appropriate records clause?

CLOSE-OUT

7. Do record turn-over requirements and procedures exist for the close-out of subcontracts?

8. Does the contractor have any suggestions for program improvements?

Section 2 - RECORDS MANAGEMENT OPERATIONS

CRITERION 6 - MANAGEMENT AND CONTROL OF RECORDS

Requirement

The contractor has an effective program for the acquisition, management, control and disposition of records including receiving, marking, indexing, the conduct of physical inventories, scheduling, and destruction of records.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management and control of records?

2. Are these instructions comprehensive and current? (provide copy of procedures)

REQUIREMENTS PLANNING

3. Does the records management organization provide input into the budget preparation or planning cycle with respect to capital equipment needs?

4. Is a want list of equipment items developed based on budget plans?

5. Is a determination of need performed prior to the acquisition of an item of equipment?

6. Are requirements documents reviewed by responsible and knowledgeable supervisory staff prior to submitting orders?

RECORD ACCESSION

7. Are records management personnel familiar with the procedures for bringing records into the records management system?

8. Are operations personnel familiar with their responsibilities in the records transfer process?

9. Are proper quality assurance checks in place in the accession process to ensure that records are properly transferred?

10. Are records stored in records facilities prior to being entered into the indexing system?

11. Are procedures in place which ensures that transferring office is informed of proper identification of boxes for future referencing?

12. Does the contractor have any suggestions for program improvements?

CRITERION 7 ____ - ____ MANAGEMENT OF FILES

Requirement

The contractor has an effective files management program for the development, management, control and disposition of files including receiving, marking, indexing, the conduct of physical inventories, scheduling, and disposition of files which document the business of the contractor and meet the requirements of DOE Order 1324.3.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of files?

2. Are these instructions comprehensive and current?

3. Who is responsible for the development of the written instructions for files management?

FILE PLANS

4. Are file plans required for each organization/office?

5. Do all organizations have current file plans?

6. Do file plans contain provisions for file set-up, (type: i.e. case, subject), file breaks, and indexing aids?

7. Are file plans updated on a regular basis?

FILE MANAGEMENT

8. Do files contain items that are past retention periods listed on organizational RIDS?

9. Do staff feel current system is the most efficient?

(a). If not what suggestions:

_____ _____

_____

_____

CRITERION 8 ____ - ____ RIDS DEVELOPMENT AND APPROVAL

Requirement

The contractor maintains an organization that ensures that records inventories, and dispositions' schedules are developed in accordance with applicable regulations. Ensuring that each organization's RIDS is approved in accordance with DOE Order 1324.2A.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions stating the requirements for the proper development and approval of Records Inventory and Disposition Schedules?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for RIDS?

4. Who approves Contractor developed RIDS?

INVENTORIES

5. Has the contractor completed a total inventory of all records in all organizations?

   (a). What percentage have been inventoried?

   (b). Is inventory is progress for remaining records?

   (c). Anticipated completion date: _____?

6. Have staff members been trained in proper inventory procedures?

7. Is contractor utilizing NARA recommended inventory forms?

   (a). If not, does contractor form cover all information listed on NARA form?

   (b). If yes, does contractor see additional information that is needed but not listed on form?

8. Is physical inventory actually taking place at the files?

SCHEDULING

9. Are records being scheduled by records management personnel?

10. If scheduling is being done by clerical staff have they received the proper training?

11. Are proposed schedules being written for records which do not match DOE or GRS descriptions?

12. Are the proposed schedules screened by records management personnel?

13. Are proposed schedules submitted on properly approved DOE F. 1324.5 with Standard Form 115 attached?

14. Does every organization have an approved RIDS?

15. How often are RIDS verified and updated?

16. Does records management personnel work with organizations clerical staff to ensure that RIDS are done properly?

17. How often does records management staff evaluate organizational RIDS?

18. Does the contractor have any suggestions for program improvements?

CRITERION 9 ____ - ____ FACILITY STANDARDS

Requirement

The contractor has established a program to ensure that all of their records are maintained in facilities that meet the criteria of applicable regulations, laws and good business practices.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the requirements for storage of records within the company?

2. Are these instructions comprehensive and current? (provide copy of procedures)

FACILITY STANDARDS

3. Do current storage facilities meet requirements?

(a). List storage facilities:

_____

_____

_____

_____

(b). If facilities do not meet standards list deficiencies:

_____

_____

_____

_____

_____

4. Are there plans to improve current storage facilities?

CRITERION 10 ___ - ___ STORAGE AND RETRIEVAL

Requirement

The contractor conducts an effective storage and retrieval program for the records that are maintained. Effective operating procedures are in effect and followed, and accessions and disposals are conducted in accordance with prescribed regulations and procedures. Utilization practices are effective, with appropriate controls on the use of space established and enforced.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management and operations of storage and retrieval processes for records?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the contractor written instructions?

4. At what level are these procedures approved?

RECEIVING

5. Are boxes checked to ensure that metal items have been removed from the records? (i.e. Paper clips, Fasteners, etc.)

6. Are contents of boxes checked against items listed on transfer requests?

7. Are boxes receipted for on transfer documentation?

RETRIEVAL

8. Does contractor have an electronic database which is used for tracking and locating records?

9. Does contractor have a form which is used to request retrieval of records held by the records management organization?

10. Does the contractor procedure give adequate guidance on how to retrieve records?

DESTRUCTION

11. Does the contractor procedure give adequate guidance on the methods of destruction for all types of records?

12. Do procedures prescribe methods of destruction for both classified and non-classified records?

13. Are records being destroyed on dates indicated by organizational RIDS?

14. Are prescribed methods being utilized for the destruction of records?

15. Does the contractor have any suggestions for program improvements?

CRITERION 11 - UTILIZATION OF FEDERAL RECORDS CENTERS

Requirement

The contractor has an effective system in place for ensuring that records requiring long term storage are transferred to the nearest Federal Records Center in accordance with prescribed regulations' procedures.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the transfer of Federal records to Federal Records Centers?

2. Are these instructions comprehensive and current? (provide copy of procedures).

UTILIZATION

3. What is the volume of records located at the FRC?

4. Is there a current file retained containing SF 135's (transfer forms from agency to FRC)?

5. What are the procedures for records retrieval from the FRC?

6. What is the volume of records located at the National Archives (regional location)?

7. What is the volume of records located at the National Archives (Suitland, MD location)?

8. Is there a current file retained containing SF 258's (transfer to Archives from FRC)?

9. Are procedures identified for research of records located off-site at the FRC/NARA?

10. Do responsible personnel fully understand the procedures for transfer of records to FRC?

11. Do personnel responsible for the shipment of records have any recommendations for changes in the way that records are transferred to the FRC?

12. Does the contractor have any suggestions for program improvements?

CRITERION 12 - DISASTER RECOVERY PROGRAM

Requirement

The contractor has a Disaster Recovery Plan in place for ensuring that records can be recreated or recovered in the event of a natural or national disaster in accordance with DOE Order 1324.5A.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of a disaster recovery program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the disaster recovery program?

DISASTER RECOVERY PLAN

4. Does the contractor have a written disaster recovery Plan?

5. Does the plan identify the personnel responsible for actions specified in the plan?

6. Have responsible personnel been trained in records disaster recovery?

7. Have personnel been trained to perform the required actions of the plan?

8. Is the proper equipment on hand to carry out the requirements of the plan?

9. Does the plan require usage of outside resources to perform recovery procedures?

10. Does plan give telephone numbers for both working and non-working hour emergencies?

11. Do records management personnel feel comfortable with the disaster recovery plan?

12. Does the contractor have any suggestions for program improvements?

CRITERION 13 - MICROGRAPHICS MANAGEMENT

Requirement

The contractor has a Micrographics management program in place for ensuring that applications of micrographics technology are operated efficiently and cost effectively, and that adequate plans and studies are made prior to a decision to implement micrographics technology in information systems; require the implementation of Title 36 Code of Federal Regulations (CFR), Part 1230, Micrographics Management", and DOE Order 1324.4

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of a micrographics program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the micrographics program?

REQUIREMENTS

4. Is the Operations Office Managers' approval received prior to implementation of new or significantly enhanced micrographics systems?

5. Does contractor have a current inventory of all micrographic production and reproduction equipment?

6. Does contractor request authority to destroy original records after they have been microfilmed?

OPERATIONS

7. Does contractor have a procedures in place to ensure that quality standards are met?

8. Are quality checks made and certifications completed in accordance with existing requirements?

9. Are personnel responsible for the operation of micrographic equipment formally trained operators?

10. Are equipment operators familiar with micrographic management requirements?

11. Does the contractor have any suggestions for program improvements?

CRITERION 14 ___ - ___ ELECTRONIC RECORDS PROGRAM

Requirement

The contractor has an Electronic Records management Plan in place for ensuring that electronic records are protected from loss during their life cycle.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of an electronic records program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the electronic records program?

PROGRAM

4. Does the contractor have requirements for the labeling of disks and diskettes?

5. Are employees trained on labeling requirements for electronic records?

6. Does the contractor have record requirement training built into their electronic mail system training?

7. Does the contractor have a means of saving record copies of electronic mail?

8. Who is in charge of the electronic records program in the contractor organization?

9. Are electronic records schedules listed on the organizational RIDS?

10. Does the contractor have a program or elements of a program which might be beneficial to other sites?

Such as?

11. Does the contractor have any suggestions for program improvements?

CRITERION 15 - EMERGENCY OPERATING RECORDS PROGRAM

Requirement

The contractor has an Emergency Operating Records Program Plan to safeguard that core of records deemed necessary to assure continuity of essential Governmental activities during and following disaster and attack-related emergency conditions in accordance with DOE Order 5500.7B.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of an emergency operating records program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the Emergency Operating Records program?

PROGRAM

4. Has the contractor designated an Emergency Operating Records Program Officer?

5. Does the Emergency Operating Records Program Officer ensure annual reviews are conducted with planned emergency exercises or site visits as of December 1, each calendar year?

6. Does the contractor have a training program in place which ensure that program personnel are knowledgeable of the purpose and operations of the Emergency Operating Records Program?

7. Are records of training maintained and available for inspection?

8. Where are emergency operating records stored? Does this facility meet the improved risk level of fire protection required by DOE 5480.7?

9. Are records stored at these locations marked and numbered for immediate retrieval and control?

10. In what format are these records maintained?

11. Are any official record copies being used for this purpose?

12. Does the contractor have any suggestions for program improvements?

CRITERION 16 - RIGHTS AND INTERESTS RECORDS PROGRAM

Requirement

The contractor has a Rights and Interests Records Protection Program management plan in place for ensuring the preservation of the legal rights and interests of individual citizens and the Government during a period of post-attack recovery in accordance with DOE Order 1324.8.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of a rights and interests records management program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the rights and interests records management program?

PROGRAM

4. Has an official been designated as Rights and Interests Records Protection Program Officer?

5. Has designation been reported to Records Officer within 30 days of appointment?

6. Is designation current? (within last 12 mos.)

7. Has the Program Officer conducted reviews or site visits to ensure rights and interest records are identified, current, complete, adequately protected, accessible, and retrievable?

8. Has the Program Officer ensured that personnel are properly trained?

9. Has the Program Officer ensured that the proper transfer of rights and interests records, as appropriate, to Federal Records Centers?

10 Do Records Inventory and Disposition Schedules identify rights and interests records?

11. Are disposition schedules appropriate and authorized?

COLD Medical Records Protection

R. E. Gibson, C. K. Cobb, W. H. Gray, C. G. Hilsmon,
C. H. Malarkey, J. D. McClanahan, R. L. Muir

1993 Records Management Conference
Department of Energy
Doubletree Suites and Inn
Seattle, Washington

June, 17, 1993

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Prepared for
Martin Marietta Energy Systems, Inc.
managing the

Oak Ridge K-25 Site
Oak Ridge Y-12 Site
Oak Ridge National Laboratory
under contract DE-AC05-84OR21400

Uranium Enrichment at
Paducah Gaseous Diffusion Plant
Portsmouth Gaseous Diffusion Plant
under contract DE-AC05-76OR00001

for the
U. S. DEPARTMENT OF ENERGY

The EMRS Team

The Electronic Medical Records Team members may be reached at:

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Buildings, mail stops and phone numbers are listed with each name.

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Introduction

- Project Background
- Objective
- Scope
- Technical Architecture
- Current Status
- Issues to be Resolved

Project Background

- Analysis and Recommendations
  - Response to numerous compliance and award fee issues
  - Energy Systems team performed needs assessment and recommendations producing report ORNL/M-2322, "Storage and Protection of Medical Records at Martin Marietta Energy Systems, Inc.," Sept., 1992
  - Multidisciplinary team representing various sites, divisions and organizations

Project Background, continued

- Determined applicable fire protection requirements for medical records
- Records fall into "Vital", "Rights and Interests", and "Privacy Act" categories
- Issues similar at all 5 Energy Systems' sites
- Recommended duplication of records onto mainframe-based optical disk system
- Cost estimates roughly similar for vault construction, microfiche jacket duplication, optical scanning

Project Background, continued

- Team developed alternatives and cost/benefit analyses
- Recommended optical scanning and electronic imaging of active employee medical records
- Project designated Electronic Medical Records System (EMRS)

Project Background, continued

- EMRS project team for Oak Ridge Y-12 Site formed October 7, 1992
- EMRS project team for Oak Ridge K-25 Site formed October 15, 1992
- Project teams are multiorganizational involving Information Services, Computing and Telecommunications, Engineering, Records Management, Compliance and customer groups

Objective

- Mitigate loss by fire and other disasters for active medical records
- Implement optical scanning and electronic imaging
  - •Duplicate
  - •Verify
  - •Archive

Objective, continued

- Provide access control to image files
  - •Sensitivity of data
  - •Privacy Act
  - •Freedom of Information Act

Project Scope

- Duplication of active employees' medical records files onto optical disk jukebox
- Examination of alternatives for protection of employee radiograph films
- EMRS assumes continued implementation of compensatory actions to protect records and further reduce risk during implementation
- EMRS assumes transfer of inactive records to Federal Records Center without duplication

Project Scope, continued

- Volume
  - About 20,000 active records at all three Oak Ridge Sites
  - About 130 pieces of paper per record
  - Average 80 visits and 500 new imagable documents per day for one site

Project Scope, continued

- Indexing points for electronic storage
  - Patient's badge number
  - Patient's name
  - Treatment date
  - Location of medical center (site)
- Indexing points for electronic retrieval
  - Same index points as storage, plus
  - Social security number
  - Patient's birth date

Technical Architecture

- Hardware Highlights
  - State-of-the-art client/server architecture
  - VAXcluster™ mainframe server
    - Cygnet, Inc. optical drive jukebox
    - 328 gigabyte WORM storage capability

Technical Architecture

- Hardware Highlights, continued
  - PC scanner client
    - 486/DX2 66 MHz PC clone
    - Hewlett-Packard LaserJet™ 4 printer
    - Xerox image processing adapter
    - Fujitsu M3093E scanner (primary use)
    - Hewlett-Packard ScanJet™ IIc (limited use)

Technical Architecture, continued

- Network Highlights
  - Intranet FDDI
  - Intranet thin-wire Ethernet
  - TCP/IP network protocol
  - DEC Pathworks™ network software

Software Highlights, continued

- Use TIFF graphic image format for scanned page
  - CALS compliant
  - 300 dots/inch resolution
  - CCITT group 4 compression
- Promotes usability of system for other applications
- Supports future growth and technological changes
- Utilizing System Design Methodology (SDM)

Software Highlights

- Reuse the Electronic Document Management System (EDMS)and Electronic File Manager (EFM)
  - In production since 1987
  - Provides access to and configuration control of electronic files
  - Approved for Secret RD electronic files
- Purchase COTS software where practical

Current Status

- In production at K-25 site since April
  - Three scanning stations and 1 QA station
  - Two shifts
- In production at Y-12 site since May
  - Seven scanning stations plus one QA station
  - Three shifts
- Metrics demonstrate positive trends in both file size and scanning speed

Current Status, continued

- Costs
  - Oak Ridge Y-12 Site
    - Bearing full development costs
    - Approximately $1 per sheet
  - Oak Ridge K-25 Site
    - Incremental costs
    - Approximately 46¢ per sheet

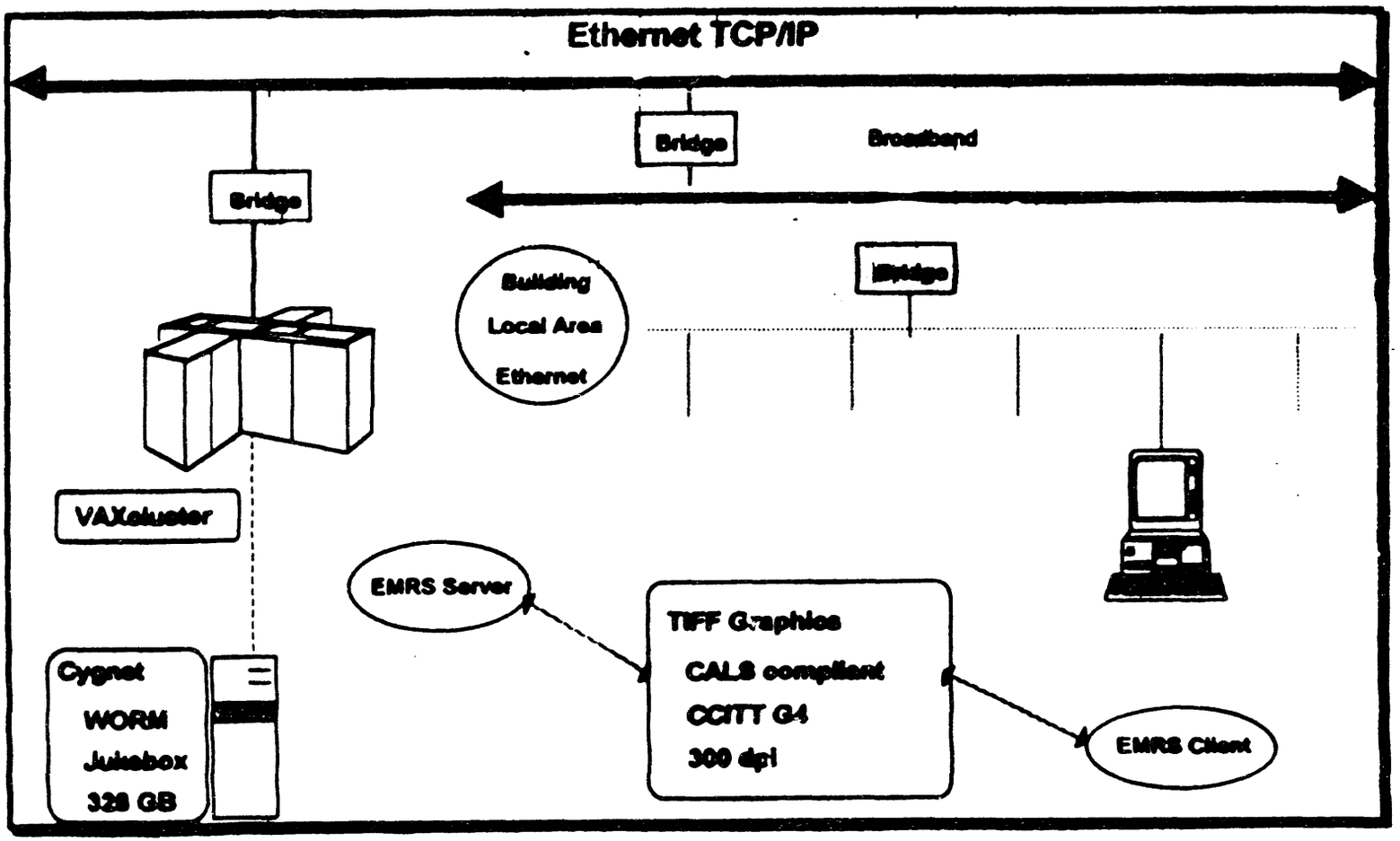
Issues to be Resolved

- Protection of inactive medical records at all sites
- Implementation of EMRS at Oak Ridge National Laboratory
- Protection of active and inactive employee radiograph films
- Rapid growth of interest in technology for other records
- Uranium Enrichment transition

Current Status

- Costs, continued
  - Oak Ridge National Laboratory
    - Funding not yet approved
    - Cost will be less than 46¢ per sheet based on reuse of scanning stations

Technical Architecture



DOE F 1325.8
(8-89)

United States Government **Department of Energy**

memorandum

DATE: MAY 5 [illegible]

REPLY TO ATTN OF: AD-244

SUBJECT: Protection of Electronic Records

TO: Distribution

This memorandum provides information regarding a recent judicial ruling concerning the management of electronic records, and reminds Department of Energy (DOE) and DOE contractor organizations of their responsibilities in this area.

A recent order by a three-judge panel of the U.S. Court of Appeals for the District of Columbia partially overturned a lower court ruling forbidding the Bush White House from deleting computer data. The panel stated, in part:

> "Defendants may remove, delete or alter such information as they see fit, so long as the information is preserved in identical form [emphasis added]... [However, backups of the information must] faithfully replicate all information removed, deleted or altered, including message logs, user directories and any other information contained in the original system."

To date, the lower court's ruling and the appeals panel decision's applicability to Federal agency recordkeeping has not been provided by the National Archives and Records Administration (NARA); implications of the decisions could be far reaching. Additional information on these cases can be found on the attached.

Notwithstanding the appeals panel decision, DOE maintains that its current records schedules and the Government's General Records Schedules are authoritative for the disposition (including destruction) of those records series "covered" by the schedules. Until NARA issues clarifying guidance regarding this matter, and in view of the Government's stated intention to appeal the lower court's decision, it is prudent to continue following current DOE policies and procedures for the maintenance and disposition of electronic records.

I strongly suggest that you review and revalidate your current local procedures to ensure that electronic records are managed in compliance with DOE directives, and that all records, regardless of medium, are covered by an approved records disposition schedule.

Please see the attachment for additional background and guidance regarding this important subject. Should you have any questions regarding this matter, please call Tom Dercola on FTS/commerical (301) 903-3495.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Attachment

MAY 5

Addressees - Memorandum dated

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Director, Site Management Division, RL
Director, Records Management Division, SEPA
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James Nelson, PR-3
Geoffrey Judge, EH-51
Ginny Cornwell, CR-3
Ted Kurkowski, CE-64
John Weiner, EI-23
Steve Scott, NS-50
Ray Kukol, IG-12
T. J. Hopkins, CP-10
Jeanne Young, NIR, NARA

BPA HQ Liaison Office
WDC HQ Liaison Office
WAPA HQ Liaison Office

Attachment

DISPOSITION OF ELECTRONIC RECORDS

The Court Cases

In the long-continuing case of Scott Armstrong, et. al. v. Executive Office of the President, et. al., a three-judge panel of the U.S. Court of Appeals for the District of Columbia partially overturned a lower court ruling which forbade the White House from deleting computer data. Armstrong, of the National Security Archive, a non-profit organization, in concert with several other Plaintiffs, sought to prevent the deletion/destruction of Bush Administration documentary materials in the waning days of the Administration.

Lower court Judge Charles Richey prevented the Defendants from deleting electronic records and declared that hard copy printouts were insufficient to preserve the total record. He criticized the Defendants' recordkeeping procedures as arbitrary and capricious and opined that "when left to themselves, agencies have a built-in incentive to dispose of records relating to their mistakes or simply do not think about preserving information."

Several complex issues are involved in this case, including records management requirements of and differences between the Federal Records Act and the Presidential Records Act. The lower court judge saw the two main questions as being (1) did the Defendants comply with statutory requirements and (2) were the guidelines provided to the Defendant's employees "reasonable or sufficiently clear as to provide adequate guidance...in their maintenance and preservation of federal records?"

By law, a Federal agency is required "to make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency, and designed to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities." The pertinent point that Judge Richey made in reaching his opinion was that the printing out of an electronic record does not necessarily result in the printout containing evidence of "who said what to whom and when," i.e., the printout likely does not contain "adequate and proper documentation." Other questions remain with regards to the implications on Governmentwide electronic records management.

The appeals panel ruling permitted Defendants to preserve unaltered backup tapes of the electronic materials, thus allowing Defendants' personnel to clear their computers for the incoming Clinton Administration. The appeals court will eventually review the merits of Judge Richey's decision. The Federal government has filed a notice of its intention to appeal Judge Richey's ruling.

NARA, in a February 11, 1993, memorandum to Agency Records Officers, stated that they could not make any specific recordkeeping recommendations to agencies at this time, nor could they predict changes to NARA's current or future guidance.

Department of Energy Records Disposition

The current Department of Energy (DOE) records disposition program prescribes that all file stations in all offices must have a continually updated DOE F 1324.10, "Records Inventory and Disposition Schedule (RIDS)," which is essentially a local file plan providing a description of the record and nonrecord documentation (regardless of storage medium) and the associated disposition (or unscheduled) maintained at the file station. The RIDS, once locally approved as prescribed by DOE 1324.2A, RECORDS DISPOSITION, of September 13, 1988, is authoritative for the disposition of records at a particular file station. Still, RIDS preparers and local approving officials are required to take precautions to ensure that the file station RIDS is, in fact, accurate and authoritative before any records disposition action occurs (including deletion/destruction) at that file station.

RIDS, a locally-used and locally-approved tool to assist recordkeepers in the management of records at an individual file station within an organization, should not be confused with the General Records Schedules nor the DOE comprehensive records disposition schedules which are approved by the National Archives and Records Administration (NARA) and which serve as authorization for the Departmentwide disposition of records, or as authorization for the site-specific disposition of records. Nor should RIDS be confused with an inventory. The RIDS does not and was not meant to capture all the information about records that must be collected when conducting an inventory.

Existing DOE comprehensive records schedules were promulgated and approved in accordance with Federal law and NARA regulations. In normal circumstances, a finite "series" of records (including electronic records) which is "covered" by an approved records disposition schedule can be dispositioned by recordkeepers (e.g., deleted/destroyed, transferred to inactive storage, preserved as permanent, etc.) in accordance with the specific instructions in that schedule. On the other hand, unscheduled records (including electronic records) cannot be dispositioned until the materials are properly inventoried and scheduled. Only documentary materials (including electronic data and information) deemed to be nonrecord materials (as defined in DOE directives and NARA regulations, and as listed in a locally approved DOE RIDS) can be dispositioned without NARA approval.

DOE 1324.6, AUTOMATED OFFICE ELECTRONIC RECORDKEEPING, of July 8, 1987, provides records management policy for electronic records which are associated with personal computers, word processors, and related electronic office equipment. Inventorying and scheduling of automated office electronic records is required in accordance with DOE 1324.2A. General Records Schedule (GRS) 20, published by NARA, is authoritative for the disposition of certain common computer records associated with main frame computers. Where DOE main frame computer records series are not found to be specifically described in GRS 20, they must be inventoried and scheduled in accordance with DOE's records disposition program. GRS 23, Records Common to Most Offices Within Agencies, provides disposition authorization for certain electronic records created on stand-alone or networked micro-and mini-computers.

NOTE: NARA-approved comprehensive records disposition schedules are exclusively found in the following documents: (1) DOE 1324.2A, RECORDS DISPOSITION, of September 13, 1988 (including Change 1 dated April 9, 1992); (2) the GRS published by NARA; and (3) circulated but unpublished DOE-initiated Standard Forms 115, "Request for Records Disposition Authorization," approved by NARA and on file in the office of the Departmental Records Officer, AD-244, at DOE Headquarters. Any locally published DOE site-specific records disposition schedules must always be based upon the above three authorities.

Extreme caution should be exercised when attributing DOE records disposition authorization to a non-DOE entity, such as another Federal agency's recordkeeping requirements which are levied upon DOE. Such requirements must be investigated by the Departmental Records Officer and the affected DOE Element(s) to ensure their validity, and to ensure that the non-DOE entity has obtained NARA approval for any records disposition standard(s) being imposed upon DOE.

The requirements of DOE 1324.2A and DOE 1324.6 are to be applied to the universe of contractors awarded a management and operating contract or another type of prime contract or subcontract, if they are performed, at least in part, on site at a DOE-owned or -leased facility. Additionally, they are applicable to contractors whose contracts contain a health and safety clause, unless by contract provision the Government does not have the right to assume custody or control of the records. For classified matter, these provisions apply to all covered contractors to the extent implemented under a contract or other agreement. A covered contractor is a seller of supplies or services involving access to classified information which is processed, handled, or stored in DOE or DOE contractor facilities.

Federal regulations require that all personnel be advised that the maximum criminal penalty for the willful and unlawful destruction, damage, or alienation of Federal records is a $2,000 fine, 3 years in prison, or both (36 Code of Federal Regulations, Subpart G).

DOE F 1325.8
(8-89)

United States Government **Department of Energy**

memorandum

DATE: MAY 6 1993

REPLY TO ATTN OF: AD-244

SUBJECT: RM 93-1, Records Management Memoranda Identification System

TO: Distribution

In order to facilitate the preparation, promulgation, and maintenance of information sent to you, we are instituting a numbering system for memoranda. As shown in the subject line above, each memorandum will be sequentially numbered within the fiscal year issued. We will periodically furnish you with a list of issued memoranda indicating which are active and which have been canceled so that you may ensure that your records are up-to-date. For those information or action items produced or signed by another office (e.g., National Archives and Records Administration, Director, Office of IRM Policy, Plans, and Oversight), we will prepare a transmittal memorandum numbered appropriately.

We expect to be issuing a number of memorandum on various records management topics within the next few months. Most, if not all, are expected to be of an informational nature. However, should any require immediate response, we will draw them to your attention.

We hope this helps you secure and maintain current records management information. If you have any questions, please call Terri Ray on FTS/ commercial (301) 903-3524.

Sharon A. Evelin for

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Addressees - Memorandum dated MAY 6

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BPA HQ Liaison Office
WDC HQ Liaison Office
WAPA HQ Liaison Office

DOE F 1325.8
(8-89)

United States Government | Department of Energy

memorandum

DATE: MAY 7

REPLY TO ATTN OF: AD-244

SUBJECT: RM 93-2, Proper Storage and Handling of X-rays and Audio/Visual Records

TO: Distribution

Proper storage of medical x-rays is a problem that exists across the Department. A Technical Information Paper on the care and storage of x-rays is being prepared by the National Archives and Records Administration (NARA); however, the release date is yet to be determined. In the interim, the attached guidance has been developed for your information and use from existing documentation and advice from preservation experts at NARA. Also included is some general information on the care and storage of audio/visual and microform records.

Questions on this material may be directed to Sharon Evelin on FTS/commercial (301) 903-3455 or me on FTS/commercial (301) 903-3524.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Attachment

cc:
B. LeFurgy, EH-42

Addressees - Memorandum dated

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Anne Raible, Property & Business Services Division, SF
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James Nelson, PR-3
Geoffrey Judge, EH-51
Ginny Cornwell, CR-3
Ted Kurkowski, CE-64
John Weiner, EI-23
Steve Scott, NS-50
Ray Kukol, IG-12
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BPA HQ Liaison Office
WDC HQ Liaison Office
WAPA HQ Liaison Office

X-RAYS

DISPOSITION

Medical x-rays (unless otherwise scheduled) have a retention period of 75 years.

The Code of Federal Regulations (CFR) 1228.154 (which deals with the transfer of employee medical folders to the National Personnel Records Center (NPRC)) states that only x-rays which can easily fit into employee medical folders may be transferred to the NPRC upon employee separation. Oversized x-rays remain with the Department. Instructions on how to obtain large x-rays must be placed in the employee medical folder. X-rays are not scheduled separately (apart from the folder). They carry the same 75-year retention period.

FILM TYPES AND CHARACTERISTICS

Nitrate

Manufacturers ceased production of nitrate x-rays in the late 1930s; however, they were still in use until the mid-1950s. They do not store well and are a potential fire hazard. If you discover nitrate x-rays, remove them from storage immediately.

Polyester

Polyester film has been in use since the 1960s. It is stable and can be stored for relatively long periods in an office environment (conditions of about 72 degrees, 40-50 percent humidity). Most film used today is polyester.

Acetate

Acetate is much less stable than polyester and is not as widely used. It does not, however, present problems such as those associated with nitrate x-rays.

Life Span

Life span varies with film type.

Under optimum conditions:
- acetate - 100 years
- nitrate - unstable/potential fire hazard (remove from storage immediately)
- polyester - 500 years

X-rays are reasonably durable. If stored in a controlled environment, x-rays will be legible for the designated retention period and beyond.

STORAGE

Environmental Conditions	Applications
Excellent: - Temperature and humidity controls - 35-40 percent humidity - Store at or below 60 degrees	Recommended for: - Permanent Records - Epidemiology Records - Litigation or potentially litigation records
Adequate: (Office environment) - 72 degrees or cooler - 40-50 percent humidity	- Any other records
Poor: - High humidity - greater than 50 percent - Temperature extremes/fluctuations	- Not advisable for any x-ray (X-rays will age poorly)

Recommended storage for unprocessed film: 70 degrees Fahrenheit
20-30 percent relative humidity

Under all conditions, air circulation is desirable.

Enclosures/Shelving

X-rays are heavy and require special shelving.

X-rays should not be stored in contact with other x-rays or film. They should be stored in separate enclosures (individually in a sleeve, envelope, or folder) to avoid increased acidity and chemical reaction. Alkaline paper envelopes will counteract the acidity of the x-rays. The paper should be Ph neutral and Lignin free. Acid-free paper will help prevent deterioration. If x-ray envelopes or sleeves contain adhesive, ideally it should be located on the side instead of the middle of the envelope.

If at all possible, x-rays should be stored in controlled conditions. Generally, microform storage standards (attached) may be applied to x-rays.

Determining Storage

1. When in doubt, do a risk vs. cost assessment when selecting storage.

2. Determine type of record (permanent or temporary), record use (litigation or potentially litigation), and retention period.
   Note: Unscheduled records are considered permanent.

3. Check with your Federal Records Center (FRC) to determine humidity/ temperature of storage space before transferring x-rays. FRCs do not usually offer environmentally controlled storage.

4. Note: 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 an FRC without environmental controls, they shall be removed no later than 3 years after placement. Deterioration is a risk if x-rays are stored for a longer period.

Options

6. If possible, offer permanent records directly to the National Archives. This will ensure that the records are housed in space meeting the excellent environmental standards either in the National Archives and Records Administration (NARA) in Washington, DC, or a Regional Archives Branch. Note: Make sure that records are no longer needed by the Department as ownership will transfer to the Archives.

7. One relatively inexpensive storage option for small collections is a frost-free refrigerator.

8. If appropriate conditions are not available otherwise, a small air conditioner and dehumidifier may provide adequate improvement to existing storage space.

PROBLEMS

Poor storage conditions will result in deterioration, wrinkles, distortions, and brittleness. Outgasing and sticking are also resulting problems.

Outgasing is smelly, but is not a health problem. The smell is usually a sign of deterioration in action. When odor is detected, x-rays are starting to "go." At this point, x-rays will deteriorate quickly.

Too much humidity will cause sticking, as will storing x-rays together in envelopes or folders.

CORRECTION

To slow deterioration, move the x-rays into cool, dry storage.

Low temperatures will slow chemical reactions.

Low moisture levels slow the aging process.

DUPLICATION

X-rays should not be scanned. Greater resolution is needed than can be obtained from scanning.

Reproductions of x-rays from optical disk systems cannot be used in court. Too much opportunity exists for information manipulation during the copying process.

Special microfilm is available for x-rays; however, admissibility in court has not yet been determined.

AUDIO/VISUAL AND MICROFORM RECORDS

Handling, Preservation, and Storage

Audio/Visual

Master and use copies, such as negatives and prints, should be filed separately for convenience and to make it easier to care for the film negative or master (which is the most valuable copy of any audiovisual record).

Allow only trained staff to handle masters. No bare hands please - use white cotton gloves.

Set environmental controls for storage at 70°F or cooler with 40 to 60 percent relative humidity. Even colder and drier storage conditions are recommended for color films (which are very sensitive to heat, humidity, and light).

Secure the storage area for masters against unauthorized access and protect it from fire, water, and chemical damage.

Store jacket-cut film negatives individually in acid-free envelopes. Store other audiovisual masters in noncorroding metal or inert plastic containers.

Microforms

There are three microform types: (1) silver, (2) diazo, and (3) vesicular. Silver gelatin is the only type suitable to produce an archival microform of permanent records. Silver gelatin is the camera "master"; diazo and vesicular are considered printing or working copies.

Diazo and vesicular emit gases that attack silver gelatin film. It is vitally important that silver and non-silver microforms be separated. You may even wish to store them at different sites if the silver master and a working copy are your only source of record.

ANSI standards for storage conditions are provided on the attached chart. Ideally, silver masters should be stored where environmental conditions are maintained at approximately 50°F and 30 percent relative humidity.

Refer to Title 36 CFR 1230 for standards that identify the materials and construction of reels, containers, and related supplies for storing archival microform.

Acidic paper will "eat" away at the chemical infrastructure of microform, causing deterioration. Each microform unit should be placed in its own non-acidic cartridge, box, or paper envelope. Note: This does not constitute the separate storage necessary for silver and non-silver films. "Separate storage" means separate rooms with separate circulating air systems.

Microfiche, like other types of film, will stick together when relative humidity is higher than 40 percent. Envelopes of non-acidic, low Lignin paper or inert plastic will prevent sticking and protect microfiche from dust and abrasion.

Aperture cards cause special problems. They are usually temporary, working copies, and are not intended to meet archival standards. (The silver gelatin master should always be retained in its original, uncut format.) The adhesive, tape, card stock, and ink (that comprise the aperture card) will contribute to the deterioration of the microfilm. Microfilm also has the tendency to become detached from the card and possibly misplaced.

NARA does not encourage the use of aperture cards. A suggested alternative is card jackets. Which, unlike aperture cards, allow for easy replacement and update.

Blemish or Measles Prevention

Potassium iodide added to the fixing bath during processing provides some protection against blemish development. The results of preliminary experiments also indicate that selenium sulfate toning (which adds approximately 15 percent to the cost of film processing) will eliminate the possibility of micro-blemishes. Increased processing costs may not be justifiable for all copies, but certainly will be for silver masters. Prompt copying of film upon blemish detection will avoid any appreciable loss of information. (Recovery process is under investigation. Information to follow in a later transmittal.)

Inspections

The handling and storage requirements and preventive measures mentioned previously will help to retard the oxidation that produces deterioration. However, you may save yourself time and effort by performing regular inspections (not less than every 2 years) which will detect fading, staining, curling, wrinkling, redox blemishes or "measle" spots, separation, fungus, stiffness, and cracking before the microfilm becomes illegible and unreproducible.

Inspection of permanent records is required by regulation, and inspection of all microforms is encouraged by DOE.

For additional information, refer to the NARA Instructional Guide: Managing Audiovisual Records (1990) and the NARA Study: The Management of Micrographic Records in Federal Agencies (1993).

Table 1
Recommended Relative Humidity and Temperature Conditions for Storage

Sensitive Layer	Base Type	Medium-Term Storage		Archival Storage	
		Relative Humidity Range (%)	Maximum Temperature (°C)	Relative Humidity Range (%)	Maximum Temperature (°C)
Microfilm:					
Silver-gelatin	Cellulose ester	15-60	25 77°F	15-40	21 70°F
Silver-gelatin	Polyester	30-60	25	30-40	21
Heat-processed silver	Polyester	15-60	25	15-50	21
General:					
Silver-gelatin	Cellulose ester	15-60	25	15-50	21
Silver-gelatin	Polyester	30-60	25	30-50	21
Color	Cellulose ester	15-30	10 50°F	15-30	2 35°F
Color	Polyester	25-30	10	25-30	2
Diazo	Cellulose ester	15-50	25 77°F	15-30	21 70°F
Diazo	Polyester	15-50	25	15-30	21
Vesicular	Polyester	15-60	25	15-50	21
Electrophotographic	Polyester	15-60	25	15-50	21
Photoplastic	Polyester	15-60	25	15-50	21

DOE F 1325.8
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SFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 10 --

REPLY TO ATTN OF: AD-244

SUBJECT: 93-3, Request for Comments on Security Plan for Transfer of Classified Information for Nonnuclear Reconfiguration

TO: Distribution

This memorandum forwards the subject draft security plan for review and comments. Insofar as the Department of Energy Records Management Division, AD-244, is represented on the Records Management Activity Transfer Group (RMATG), we are forwarding the draft plan to you so that any comments you give to us can be conveyed to the RMATG at the next meeting which is called for May 25-27, 1993.

We would appreciate any comments you have to be faxed to Tom Dercola, AD-244, on FTS/commercial (301) 903-4125 by no later than Friday, May 21, 1993. Should you have any questions, please call Mr. Dercola on FTS/ commercial (301) 903-3495.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Attachment

cc:
BPA HQ Liaison Office
WDC HQ Liaison Office
WAPA HQ Liaison Office
DP-1
ER-1
NE-1

Addressees - Memorandum dated MAY 10 --

Joseph Chervenak, Records Management, GO
Gail Clark, Site Management Division, RL
Carol Franklin, Records Management Division, SEPA
  THRU: Asst. Secretary for Energy Efficiency & Renewable Energy, EE-1
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Dee Spillman, Information and Administrative Services Division, SPR
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David Warriner, Yucca Mountain Project Office
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Paul J. Paradis, Headquarters Records Mgmt., AD-623
Director, SA-10
Director, SA-20

United States Government | Department of Energy

memorandum

Albuquerque Field Office

DATE: APR 29 1993

REPLY TO ATTN OF: RPB/WQD/WRD48

SUBJECT: Request for Comments on Security Plan for Transfer of Classified Information for Nonnuclear Reconfiguration

TO: Records Management AIG Members

Attached is the final draft of the Security Plan for Transfer of Classified Information for Nonnuclear Reconfiguration, which was developed by members of the Records Management Activity Transfer Group (RMATG). This document has been prepared to establish uniform practices among donor and receiver sites consistent with existing DOE security orders.

Comments from each site will be incorporated into the final document during the May 26-27, 1993, meeting of the RMATG at the Pinellas Plant. This draft should be reviewed with the site's classified document control and records management staff prior to the May meeting. Once finalized, the document will be forwarded to the DOE headquarter's offices of Defense Programs and Security Affairs for review, approval, and issuance to the field. It is imperative that all reviews focus on removing obstacles to the cost effective and timely transfer of large quantities of classified information while maintaining control over the security of the data.

The proposed plan provides a consistent process for implementation of existing security orders to permit expeditious transfer of records between reconfiguration sites. It also applies to sites directly supporting reconfiguration and is not intended to replace existing order requirements for activities unrelated to nonnuclear reconfiguration.

Your timely review of this document is required to support schedule requirements of the nonnuclear reconfiguration project.

C. R. Loeber
Project Manager
Nonnuclear Reconfiguration
Weapons Quality Division

DRAFT

Security Plan
For Transfer of Classified Information
For Nonnuclear Consolidation

Records Management
Activity Transfer Group

May 6, 1993

DRAFT

Security Plan
For Transfer of Classified Information
For Nonnuclear Consolidation

1.0 Introduction

1.1 Purpose

Nonnuclear consolidation involves the transfer of hundreds of thousands of classified documents in various forms such as paper, mylar, magnetic media, aperture cards, microfilm, and radiographs. Current security practices prohibit cost-effective and efficient transfer of these hugh volumes of information in a timely manner.

This security plan provides an interpretation of DOE requirements to ensure uniform business application of security requirements at all sites involved in nonnuclear consolidation. This plan outlines information transfer procedures, which supplement DOE orders and directives.

1.2 Scope

This plan applies to all sites involved in nonnuclear consolidation, which are Sandia National Laboratories, New Mexico and California; Los Alamos National Laboratory; Lawrence Livermore National Laboratory; Westinghouse Savannah River Site; AlliedSignal, Kansas City Division; EG&G at Mound and Rocky Flats; and Martin Marietta Specialty Components, Inc. at Pinellas.

1.3 Security Issues

The sites involved in nonnuclear consolidation want to provide secure, uniform, and cost-effective methods for the transfer of classified information. Several issues impacting transfer of large quantities of records from donor sites require resolution to ensure expedient information transfers while maintaining appropriate protection for classified information. These issues are:

- o Marking Requirements for Classified Information
- o Transfer of Classified Information to Federal Records Centers
- o Accountability Requirements

- Ownership of Office of Scientific and Technical Information
- Physical Transfer, Specifically
  - Double Wrapping
  - Classified Document Receipting
  - Classified Mailing Addresses

1.4 Assumptions

Classified information should already be marked according to standards since these requirements have been in place since the release of DOE Order 5635.1A on February 12, 1988. However, some documents do not meet current marking standards. For example, some old versions of drawing aperture cards at Rocky Flats and a small percentage of other documents at Mound are known to be out of compliance with current marking requirements.

Modified accountability is also assumed to be implemented at the nonnuclear consolidation sites before the transfer of classified information.

2.0 DOE Security Policy, Interpretation, and Implementation

2.1 Marking requirements for classified information.

Classified documents transferred from a donor site's operational use (active documents) or inactive storage to a receiver site's inactive storage will not be brought to current requirements for all markings, annotation, and documentation, and will be considered inactive documents. Classified documents transferred from the donor site to a receiver site for operational use become active documents, which must meet the current classified marking standards (Reference Ed McCallum's March 16, 1992, memorandum titled "Remarking of Historical Documents."). Any active document at the receiver site not appropriately marked shall be brought up to the current classified marking standards by the receiver's user of that document. To bring the apertures up to current marking standards requires an advance change order or final change order. Any administrative changes to meet marking requirements could impact final acceptance of product. Therefore, as a drawing is updated for a product definition change, appropriate classified marking changes will be made. It is presumed that if a product is not currently in production, the drawings will be inactive at the receiver site and will not require remarking.

Access to inactive documents for purposes such as statistical sampling, custodial transfer, preparation for destruction, inspection, and/or audit purposes does not

constitute operational use. Documents removed from inactive storage for operational use (to include transfer for other than further storage and/or destruction) will be brought to current marking standards.

2.2 Transfer of classified weapon data information to Federal Records Centers.

Receiving sites shall identify Federal Records Centers (FRCs) to receive data if appropriate. The receiving sites, working with their local DOE Area or Operations Offices, will establish classified mailing channels and complete Facility Data and Approval Records (FDARs) for Federal Record Centers which will service the receiving site.

Boxes containing record information being transferred shall be marked with the highest level and category of classified information contained.

2.3 Accountability requirements.

All sites have reported completion of required Secret document inventory and reconciliation. Therefore, DP-40 Office of Weapons Complex Reconfiguration, with concurrence of SA-10 Office of Safeguards and Security, shall direct immediate implementation of modified accountability by all Operations Offices and their contractors for nonnuclear consolidation information transfers upon the record of decision, if the site has not already implemented modified accountability.

2.4 Ownership of Office of Scientific and Technical Information (OSTI)

The donor site shall notify OSTI of change in ownership of scientific and technical information as information is transferred to the receiver site.

2.5 Physical transfer - double wrapping, classified document receipting, classified mailing address.

2.5.1 Current Requirements

Code of Federal Regulations 32, Chapter XX, Section 2001.44 states "Classified information to be transmitted outside of a facility shall be enclosed in opaque inner and outer covers. The inner cover shall be a sealed wrapper or envelope plainly marked with the assigned classification and addresses of both sender and addressee. The outer cover shall be sealed and addressed with no identification of the classification of its

6

contents. A receipt shall be attached to or enclosed in the inner cover, except that Confidential information shall require a receipt only if the sender deems it necessary. The receipt shall identify the sender, the addressee, and the document, but shall contain no classified information. It shall be immediately signed by the recipient and returned to the sender. Any of these wrapping and receipting requirements may be waived by agency heads if conditions provide at least equivalent protection to prevent access by unauthorized persons."

DOE Order 5635.1A, "Control of Classified Documents and Information" Chapter IV "Transmission of Classified Documents"

Paragraph 8.a.(1) states "DOE F 5635.3, "Classified Document Receipt" or a receipt similar in content shall be used for transmittal of Secret documents. Use of receipts for Confidential documents is at the sender's discretion."

Paragraph 8.b.(1) states "Classified documents shall be enclosed in two opaque envelopes or wrappers for transmission or delivery outside a facility. When opaque envelopes are temporarily not available, appropriate measures shall be taken to ensure that the contents of the document cannot be seen through the inner envelpe and that the security markings on the inner envelope cannot be seen through the outer envelope."

Paragraph 8.b.(2)(a) states "The inner envelope or wrapper shall be adequately sealed and addressed to the person for whom the document is intended. The address approved for classified mail shall be used. The classification level marking shall be placed at the top and bottom of the front and back.....The sender's classified mailing address shall appear in the upper left-hand corner."

Paragraph 8.b.(3) states "The outer envelope or wrapper shall be sealed adequately and addressd in the ordinary manner with no indication on the envelope that it contains a classified document. The intended recipient's address approved for classified mail shall be used. The sender's classified mailing address shall appear in the upper left-hand corner."

2.5.2 Interpretation of requirements

2.5.2.1 Wrapping - Neither 32CFR nor DOE Order 5635.1A specify what an approved wrapper may be. The intent of the CFR and DOE order is to

ensure that the contents of a document are not disclosed during transmission using an uncleared source such as the U. S. Postal Service.

2.5.2.2 Receipting - The primary purpose of receipting is for transmitting classified information through the U. S. Postal Service, an uncleared government agency. Receipting is a means of ensuring that the classified information transmitted reached its destination. DOE Order 5635.1A does not stipulate that each classified document transmitted be individually receipted. Receipting requirements may be waived by DOE/HQ as indicated by 32CFR.

2.5.2.3 Classified Mailing Address - The use of approved addresses is toensure classified information reaches its destination and the individual with authorized access. The DOE order and 32CFR do not specify placement of the mailing address other than the package shall be plainly marked.

2.5.3 Implementation

Classified documents transmitted from the donor site in bulk or large quantities shall be sealed in boxes or repositories using tamper indicating devices (e.g. seals, evidence tape, shrink sleeving). A locked safe, set with a Secret National Security Information combination, shall adequately serve as a sealed container without applying tamper indicating devices. The combination may be set by the sender or the receiver. If the combination is set by the sender, the sender shall transmit the combination to the receiver site.

The appropriate cover sheet or marking shall be placed on the outside of the container indicating the classification of the highest level of information in the container (a container may be a repository, a box, or several boxes on a pallet wrapped in shrink sleeving).

The total number of containers shall be noted on one classified shipping receipt (e.g. 50 boxes of Secret information, 3 pallets containing 9 boxes each, 4 five drawer safes). An itemized inventory or listing of each individual Secret or Confidential document on the receipt will not be performed. However, any Comsec, special access program, foreign government, or use control documents will be individually listed on a separate receipt for removal from the donor's accountability system and entry into the receiver's accountability system as required under modified

accountability requirements.

A receipt shall be marked with both the sender and addressee information and attached to one of the containers inside the truck near the exit. The receipt shall serve as the inner container's classified mailing address label.

Containers shall be placed in a locked truck and transported by two Q cleared persons. The truck shall serve as the outer container. The truck's manifest shall indicate the intended recipient's classified mailing address and the sender's classified mailing address. The manifest (i.e. bill of lading) shall serve as the outer container's address label. Upon arrival at the destination, the receiving site shall verify the number of containers with the receipt, sign the receipt, and return it to the donor site.

Only for records management purposes will the receiving organization be responsible for conducting an inventory of the containers. No security inventories will be performed for documents not in accountability.

The receiver will direct the transfer of information from the donor site. Specifically, the receiver will identify its classified delivery location for the donor information being transferred. This location may be the receiver site or a Federal Records Center.

Q cleared drivers shall follow procedures for transporting the material as a classified hand carry. The information is to remain in custody of the Q cleared drivers at all times and delivered directly to the consigned facility. If it is not possible to deliver the information to the consigned facility or designated Federal Records Center, the information shall be taken to another government facility for safe-haven or the drivers shall contact the nearest FBI office.

Small quantities of classified documents can be transferred to the receiving site using existing methods and procedures in place at the site.

3.0 Risks

The volume of information in a single transport creates a potential risk of loss in the event of an accident or willful attack. However, sealing classified information in a truck and transporting by Q cleared drivers directly from a donor site to its final destination provides equivalent or better protection of classified information transported between DOE sites as compared to transmitting by U. S. mail.

4.0 Summary

This plan provides a consistent implementation of existing DOE security orders to permit expeditious transfer of records between reconfiguration laboratories and contractor sites. It applies to the sites directly supporting reconfiguration and is not intended to replace existing order requirements for activities unrelated to nonnuclear reconfiguration. Specific direction for nonnuclear consolidation and approval of this plan are directed by DP-40 Office of Weapons Complex Reconfiguration with the concurrence of the SA-10 Office of Safeguards and Security.

5.0 Approval Signatures

SA-10 Office of Safeguards and Security

DP-40 Office of Weapons Complex Reconfiguration

(10

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EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 11

REPLY TO ATTN OF: AD-244

SUBJECT: 93-4, Department of Energy (DOE) Records Management Committee Meeting

TO: Distribution

The next committee meeting will be held at the DOE Records Management Conference in Seattle, Washington, on June 18, 1993, from 9:00 a.m. - 4:00 p.m. The purpose of this meeting is to exchange information, share ideas, and develop solutions to enhance and improve records management throughout the DOE and DOE-contractor community. Discussion topics will include a review of the conference, possible next steps, and any other items of interest that you may have.

Please inform Jeffrey Martus on FTS/commercial (301) 903-3481 of your planned attendance, suggested agenda topics, or questions regarding this meeting.

I look forward to seeing you again and appreciate your participation on the Committee and your support throughout the year.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

cc:
EE-1
DP-1
EM-1
ER-1
NE-60

MAY 11

Addressees - Memorandum dated

R. Cross, Administrator, APA
J. Lewis, Chief, Policy and Appraisal Branch, AL
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A. Smith, Asst. to the Director, Operations Management Support Division, CH
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C. Webb, Chief, Information and Technology Resources Management Branch, ID
J. Craig, Director, Information Systems Management Division, METC
THRU: Assistant Secretary for Fossil Energy, FE-1
O. Williams, Director, Planning, Analysis & Program Support Div., NPR in CA
THRU: Director, Office of Naval Petroleum and Oil Shale Reserves, FE-60
K. Roberts, Director, Contracts Surveillance/Admin., NPR in CO, UT, & WY
THRU: Director, Office of Naval Petroleum and Oil Shale Reserves, FE-60
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J. Seymour, Director of Administrative Management, SEPA
D. Cooper, Chief, Acquisition, Property/Info. Res. Mgmt. Branch, SWPA
S. Larsen, Director, Information & Administrative Services Division, SPR
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S. Froeschle, Chief, Support Services Branch, WAPA
J. Carter, Director, Reference and Information Management Division, AD-252.2
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L. Duffy, Asst. Sec. for Environmental Restoration & Waste Mgmt., EM-1
W. Happer, Director, Science and Technology Advisor, ER-1
J. Randolph, Assistant Secretary for Fossil Energy, FE-1
W. Young, Assistant Secretary for Nuclear Energy, NE-1
M. Clausen, Director, Office of Light Water Reactor, NP-10
S. Rousso, Associate Director, Office of Program and Resources Mgmt., RW-10
B. Cerny, Information Management Division, RW-12

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G. Pastoria, Office of Resources Management, METC

F. Young, Support Services, NPR in CA
B. McMahan, Contracts Surveillance/Admin. Div., NPR in CO, UT, & WY
J. Jones, Property and Information Branch, NV
J. Kvool, Property and Information Branch, NV
C. Marciante, Logistics Management and Services Branch, OR
L. Langford, Information Control and Accountability Branch, OSTI
P. Kelly, Information Resources Management Division, PETC
T. Glock, Director of Facilities, PNR
J. Krumm, Property and Information Management Branch, RF
G. Clark, ADP and Telecommunications Branch, RL
A. Raible, Property and Business Services Division, SF
J. Halvorsen, Director of Organization, Personnel, and Communications, SNR
C. Franklin, Records Management Division, SEPA
D. Spillman, Information and Admin. Services Division, SPRO
D. Ogden, Telecommunications and Services Branch, SR
Y. Grewe, Acquisition, Property/Info. Res. Mgmt. Branch, SWPA
M. Halaska, Office of Deputy Project Director, SSC Project Office
J. Paradis, Headquarters Records Management Branch, AD-623
D. Bartlett, Facilities and Systems Coordination Division, EE-64
M. Vignone, Information Resources Management Division, EM-123
D. Wolfe, Management and Administration Division, FE-122
R. August, Reactor Design Division, NP-13
D. Bartlett, EE-64
W. Drawdy, DP-542.2
L. Bryant, DP-542.2
R. Weller, AD-623
J. Esworthy, ER-622
J. Paradis, AD-623
C. Hutzell, AD-623
H. Taylor, EH-51
D. Anderson, EH-51
B. McIntrye, EP-31
A. Gillen, RW-12
S. Wilkins, EI-231
J. Sewell, EE-64
E. Horne, EP-31
M. A. Smith, AD-64
E. Beavers, NS-50
BPA HQ Liaison Office
WAPA HQ Liaison Office
WDC HQ Liaison Office

DOE F 1325.8
(8-89)
EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 20

REPLY TO ATTN OF: AD-244

SUBJECT: 93-5, Disposition of Federal Records

TO: Distribution

The National Archives and Records Administration (NARA) recently issued a revised and updated version of the records management handbook, "Disposition of Federal Records." Those of you who are on the NARA mailing list may have already received a copy.

This is an excellent publication. It is clear, well written, and full of records disposition information. I recommend that everyone obtain (and read) a copy or two for themselves and one for each of their contractor records managers.

We have a limited supply in the Records Management Division and can obtain more. Please call Terri Ray on FTS/commercial (301) 903-3524 and let her know of your requirements.

Hope to see you in Seattle.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Addressees - Memorandum dated

Director, Information Resources Management, Yucca Mountain Project Office
Director, Information Management Division, AL
Office Manager, FN
Director, Property & Business Services Division, SF
Director, Personnel & Management Evaluation Division, SR
Director, Information Systems Management Division, METC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Procurement & Support Services Division, WAPA
Director, Information and Administrative Services Division, SPR
Director, Site Management Division, RL
Director, Records Management Division, SEPA
Director, Facilities Division, PNR
Chief, Management Resource Branch, SWPA
Deputy Project Director, SSC Project Office
Director, Organization, Personnel, & Communications, SNR
Director, Information and Property Management Division, NV
Director, Contracts and Services Division, RF
  THRU: Deputy Assistant Secretary for Facilities, DP-60
Director, Operations Management Support Division, CH
Director, Information Analysis & Management Division, OSTI
Director, Division of Administrative Services, BPA
Director, Resource Management Division, ID
Director, Information Resources Management Division, PETC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Information Resources Management Division, OR

cc:
DP-1
ER-1
NE-1
NE-60
Gail Clark, Site Management Division, RL
Carol Franklin, Records Management Division, SEPA
Mary Freesmeyer, Office of Manager, FN
T. J. Glock, Director of Facilities, PNR
Yvonne Grewe, Property/Information Resource Management Branch, SWPA
Marek Halaska, Office of Deputy Project Director, SSC Project Office
John Halvorsen, Director of Organization, Personnel, & Communications, SNR
JoAnna Jones, Information and Property Management Division, NV
Judy Krumm, Contracts and Services Division, RF
Georgette Lane, Operations Management Support Division, CH
Lowell Langford, Information Analysis & Management Division, OSTI
Kathy Lipscomb, Records Management Section, BPA
Toni Love, Resource Management Division, ID
Pat Kelly, Information Resources Management Division, PETC
Joe Malinovsky, Office of Administrator, APA
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Beth McMahan, Contracts Surveillance/Administration, NPR in CO, UT, & WY
Donald Nord, Procurement & Support Services Division, WAPA
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Gary Pastoria, Information Systems Management Division, METC

Kate Polesovsky, NREL
Anne Raible, Property & Business Services Division, SF
Margarita Sexson, Information Management Division, AL
Dee Spillman, Information and Administrative Services Division, SPR
David Warriner, Yucca Mountain Project Office
Fran Young, Programs and Budget Branch, NPR in CA
Paul J. Paradis, Headquarters Records Mgmt., AD-623
Maria Vignone, EM-123
Robert Ladesic, FE-122
David Nelson, ER/ST-7
Richard August, NP-41
Wayne Drawdy, DP-542.2
Sue Wendell, NE-13
Thomas Kitchens, ER-7
Barbara Cerny, RW-12
James Nelson, PR-3
Geoffrey Judge, EH-51
Ginny Cornwell, CR-3
Ted Kurkowski, CE-64
John Weiner, EI-23
Steve Scott, NS-50
Ray Kukol, IG-12
T. J. Hopkins, CP-10

DOE F 1325.8
(8-86)
EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 20 1993

REPLY TO ATTN OF: AD-244

SUBJECT: 93-6, Electronic and Contractor Records

TO: Distribution

Attached are two memoranda from the National Archives and Records Administration. The first deals with a new form to use when transferring electronic records. The second summarizes a Bimonthly Records and Information Discussion Group meeting at which the management of contractor records in the Department of Energy was discussed.

If you have any questions, please give me call on FTS/commercial (301) 903-3524.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

2 Attachments

Addressees - Memorandum dated

Director, Information Resources Management, Yucca Mountain Project Office
Director, Information Management Division, AL
Office Manager, FN
Director, Property & Business Services Division, SF
Director, Personnel & Management Evaluation Division, SR
Director, Information Systems Management Division, METC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Procurement & Support Services Division, WAPA
Director, Information and Administrative Services Division, SPR
Director, Site Management Division, RL
Director, Records Management Division, SEPA
Director, Facilities Division, PNR
Chief, Management Resource Branch, SWPA
Deputy Project Director, SSC Project Office
Director, Organization, Personnel, & Communications, SNR
Director, Information and Property Management Division, NV
Director, Contracts and Services Division, RF
  THRU: Deputy Assistant Secretary for Facilities, DP-60
Director, Operations Management Support Division, CH
Director, Information Analysis & Management Division, OSTI
Director, Division of Administrative Services, BPA
Director, Resource Management Division, ID
Director, Information Resources Management Division, PETC
  THRU: Assistant Secretary for Fossil Energy, FE-1
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Ted Kurkowski, CE-64
John Weiner, EI-23
Steve Scott, NS-50
Ray Kukol, IG-12
T. J. Hopkins, CP-10

National Archives

Washington, DC 20408

APR 5 1993

NI 19.93

MEMORANDUM TO AGENCY RECORDS OFFICERS: Transfer of Permanent Electronic Records to the National Archives (Use of NA Form 14097)

The attached NA Form 14097, "Technical Description for Transfer of Electronic Records to the National Archives," has replaced the now abolished SF 277 for providing technical information pertaining to permanent electronic records. NARA's regulations require that agencies submit this information with each transfer of electronic records to the National Archives (see 36 CFR 1228.188 and 36 CFR 1234.22). It is important, however, to note that it is the *information* which is required, **not** the form itself. Agencies may substitute their own reporting format or use the NA Form 14097 provided, which identifies the required information.

NARA's Center for Electronic Records (NSX) is responsible for distributing the form. In order to provide additional guidance to Federal agencies, NSX has also prepared a packet of information on preparing electronic records for transfer to NARA that includes a checklist for transfers, instructions on completing transfer forms, guidelines for compiling documentation and technical format requirements. This packet is intended to be used in conjunction with the NARA Instructional Guide, *Managing Electronic Records*.

If you have questions about NA Form 14097 or are interested in acquiring copies of the form or the transfer instruction packet, please contact the Center for Electronic Records (Room 20E, National Archives and Records Administration, Washington, DC, 20408, 202-501-5565. The NARA Instructional Guide, *Managing Electronic Records*, may be obtained from NSX or by calling the Records Administration Information Center (RAIC) on 202-501-6025.

JAMES W. MOORE
Assistant Archivist
for Records Administration

Attachment

TECHNICAL DESCRIPTION FOR TRANSFER OF ELECTRONIC RECORDS TO THE NATIONAL ARCHIVES

FILE IDENTIFICATION

01. OFFICIAL FILE TITLE, COMMONLY USED IDENTIFIER, AND/OR DESCRIPTIVE TITLE:

02. ACRONYM ASSIGNED TO FILE:

03. RESTRICTIONS ON ACCESS:

04. TITLE/DESCRIPTION OF DOCUMENTATION PROVIDED:

05. FORMAT OF DOCUMENTATION:
- ☐ Paper
- ☐ Electronic Format *(Specify)*
- ☐ Other *(Specify)*

06. ELECTRONIC RECORDS SUBMITTED BY *(Agency name and address)*:

07. IDENTIFY TECHNICAL CONTACT(S):
Name:
Phone:

FILE CHARACTERISTICS

08. SHORT TITLE ON EXTERNAL LABEL

10. STORAGE MEDIA UNIT VOLUME SERIAL NUMBER:

12. DENSITY *(CPI/BPI)*:

09. RETURN STORAGE MEDIA TO AGENCY AFTER ARCHIVAL PROCESSING:
☐ Yes ☐ No
If Yes, Provide Address for Return *(if different from item 06)*:

11. TYPE OF MEDIA PROVIDED:
- ☐ Open-Reel Magnetic Tape
- ☐ 3480-Class Tape Cartridge
- ☐ Other *(Specify)*

13. NUMBER OF TRACKS:
☐ 7 ☐ 9 ☐ 18
☐ Other *(Specify)*

14. FILE ORGANIZATION ON STORAGE MEDIA
- ☐ One File on One Media Unit
- ☐ One File on Multiple Media Units
- ☐ Multiple Files on One Media Unit
- ☐ Multiple Files/Multiple Media Units

15. RECORDED LABEL *(Internal Label)*
- ☐ IBM OS
- ☐ IBM DOS
- ☐ ANSI X 3.27 Standard
- ☐ No Internal Lables
- ☐ Other *(Specify and Describe)*

16. CHARACTER SET
- ☐ ASCII
- ☐ EBCDIC
- ☐ BCD *(7 track only)*
- ☐ Binary
- ☐ Packed Decimal
- ☐ Other *(Specify)*

17. DATE FILE COPIED:

18. INTERNAL FILE NAME/IDENTIFIER *(aka Data Set Name)*:

19. SEQUENCE OF FILE ON STORAGE MEDIA UNIT:
file _____ of _____

20. NUMBER OF LOGICAL RECORDS PER BLOCK *(Blocking Factor)*:

21. RECORD TYPE
- ☐ Fixed Length (F)
- ☐ Fixed Length Blocked (FB)
- ☐ Other Than Fixed Length *(Specify Format)*

22. LENGTH OF LOGICAL RECORDS IN CHARACTERS OR BYTES:

24. NUMBER OF LOGICAL RECORDS:

23. LENGTH OF PHYSICAL RECORDS IN CHARACTERS OR BYTES:

25. NUMBER OF PHYSICAL RECORDS *(Blocks)*:

26. AGENCY COMMENTS:

27. FORM PREPARED BY:
Name:
Phone: ( )

28. DATE FORM COMPLETED:

INSTRUCTIONS

GENERAL:

The purpose of this form is to facilitate the transfer of electronic records with continuing or enduring value to the National Archives. A packet containing additional information on the transfer of electronic records is available from the National Archives. This form is not intended to take the place of other required documentation. FIPS PUB 20 contains a discussion of file documentation. Technical information describing each file is required by 36 CFR, but NA Form 14097 is optional. If there is an alternative reporting format that provides all of this required information, substitute the report for NA Form 14097. Include the required information as an attachment to the SF 258. ***A separate form should be completed for each file.*** If multiple files have very similar technical specifications, one form with an attachment that specifically identifies all of the files covered by the form may be used.

IDENTIFICATION SECTIONS

01. **Official Title, Commonly Used Identifier, and/or Descriptive Title.** Enter the name by which the agency identifies the file. Consider how the title would appear in a bibliographic entry. If there is no official title, provide a descriptive title.

02. **Acronym Assigned to File.** Enter the commonly used abbreviation or acronym as assigned by the agency. Often, the acronym will be used on the external (gummed) label of the storage media unit.

03. **Restrictions on Access.** Specify any restrictions that apply to this file — cite FOIA exemption, and, if b(3), cite statute, indicate specific columns or types of records in the file that are affected; specify length of restriction on access and method of determining the date when restrictions end. If there are no applicable restrictions on access, please indicate.

04. **Title/Description of Documentation Provided.** Documentation is required for all transfers of electronic records to the National Archives. Enter the title or description of the documentation provided by the agency for the file. Guidelines are available on the source and content of documentation. If any documentation is available in electronic form, include it in the transfer.

05. **Format of Documentation Provided.** Mark all boxes that apply to the transfer with an "X." If "Electronic Format" is checked, include a technical description form for each documentation file in electronic format. If "Other" is checked, be as specific as possible in describing the documentation transferred.

06. **Electronic Records Submitted by.** Enter the name and address of the agency that is responsible for the transfer.

07. **Identify Technical Contact(s).** Identify the person who will respond to technical questions about the records if they arise during archival processing.

FILE CHARACTERISTICS

08. **Short Title on External Label of Storage Media Unit.** Enter the short title that appears on the external (gummed) label of the storage media unit(s).

09. **Return Storage Media to Agency After Archival Processing.** The National Archives returns the reels or cartridges included in the transfer to the agency when two preservation copies have been created. Check "No" to indicate that the storage media should not be returned or provide an address for return shipment. If Yes, Provide Address for Return (if different from Item 06).

10. **Storage Media Unit Volume Serial Number.** Enter the volume serial number which uniquely identifies this tape/tape cartridge. If the file is recorded on multiple volumes, enter the first volume serial number in this item and list all others, in sequence, in Item 26.

11. **Type of Media Provided.** To comply with the transfer standard identified in 36 CFR, a storage media unit should be an open-reel magnetic tape or 3480 tape cartridge. Enter an "X" in the appropriate box. If "Other" is checked, contact the National Archives prior to transfer and provide a specific identification of the storage media used for transfer.

12. **Density (CPI/BPI).** Enter an "X" in the appropriate box to indicate characters or bytes per inch.

13. **Number of Tracks.** Enter an "X" in the appropriate box. For 7 track tapes, indicate whether the parity is odd or even in Item 26.

14. **File Organization on Storage Media.** Enter an "X" in the appropriate box. If a single file on a single storage media unit is described, check "One File on One Media Unit." If a multi-volume file is described, check "One File on Multiple Media Units." If more than one file is on the storage media unit, check "Multiple Files on One Media Unit." If the transfer includes multiple files on multiple storage media units, check "Multiple Files on Multiple Media Units."

15. **Recorded Label (Internal Label).** Enter an "X" in the appropriate box. If "Other" is checked, provide a specific description of the internal labels in Item 26.

16. **Character Set.** Enter an "X" in the appropriate box. If "Binary" or "Packed Decimal" is checked, indicate the characters (bytes) that are stored in those formats in Item 26.

17. **Date File Copied.** Enter the date that appears on internal labels, if the files are labelled. This is the date the records were copied onto the storage media unit(s).

18. **Internal File Name/Identifier (aka Data Set Name).** If there is a recorded label, enter the file identification (e.g., Data Set Name) used in the label. File Names in IBM standard labels should follow IBM DSN naming conventions.

19. **Sequence of File on Storage Media Unit.** If this is the only file on the storage media unit, enter a "1." If the storage media unit contains multiple files, enter the file's position number on the storage media unit. See Item 14.

20. **Number of Logical Records per Block (Blocking Factor).** If "Fixed Length" is checked in Item 21, enter the blocking factor.

21. **Record Type.** Enter an "X" in the appropriate box. If "Other Than Fixed Length" is checked, a specific description of the format is very important, especially if the documentation provided does not contain a precise description. Use Item 26 to describe "Other" formats.

22. **Length of Logical Records in Characters or Bytes.** Enter the logical record length in bytes or characters. If the record is not fixed length, enter the maximum size record, and describe techniques used to control and indicate size in Item 26.

23. **Length of Physical Records in Characters or Bytes.** Enter the physical record length in bytes or characters. If the record is not fixed length, enter the maximum size record, and describe techniques used to control and indicate size in Item 26.

24. **Number of Logical Records.** Enter the number of logical records in the file. This number is usually supplied by the program which created the file. Labels are not included in this count. If the last block is padded with blank records to fill out the block, please provide a total record count and a count of records that contain information.

25. **Number of Physical Records (Blocks).** Enter the number of physical records (blocks). Labels are not included in this count.

26. **Comments.** Provide additional information as necessary or desired. If the information pertains to another item on the form, identify the relevant item number. Files transferred to the National Archives should not be software-dependent in accordance with 36 CFR. If there are any exceptions to this, identify the release and/or level of any software required to read the file. Provide attachments if the information required will not fit in Item 26.

27. **Form Prepared By.** Enter the name and phone number (including area code) of the individual who prepared this form.

28. **Date Form Completed (YY/MM/DD).** Enter date this form was prepared.

GPO : 1992 O - 333-109

National Archives

Washington, DC 20408

April 19, 1993

NI 20.93

MEMORANDUM TO AGENCY RECORDS OFFICERS: Summary of BRIDG meeting on documentation of contractor programs

In the March 17 session of the Bimonthly Records and Information Discussion Group (BRIDG), 41 Federal records managers and NARA staff members met at the National Archives Conference Center in Washington, DC, to discuss the special conditions associated with contractor created and/or maintained records in support of Federal programs. By using the Department of Energy's experience with one of its contractors as an example, the session focused on common problems and techniques to ensure that the Government establishes and maintains control over records created or maintained by contractors which are needed for adequate and proper documentation of agency program activities.

NARA's Mike Anderson and Bill Leary highlighted the types of agency programs commonly supported by contractors, described how the Federal regulations governing contractor records were formulated, and discussed the major provisions of the regulations. The importance of specifying in the contract the delivery to the Government of all data needed for documentation of contractor-operated programs remained a theme throughout the meeting.

The best method an agency can use to ensure that a contractor program is adequately documented is to (1) include in the contract a clause requiring the contractor to provide the agency with all pertinent records of how the contractor carried out the program and (2) make certain that the records are transferred to the physical custody of the agency.

These records of how the contractor carried out the program may include transactional or case files, handbooks, directives, procedural statements, and other information created by the contractor. In addition, the contract should identify background data that may have reuse value to the Government, and require that such data also be delivered to the contracting agency. Background data of reuse value may include raw data used to support statistical analyses and background data needed to verify facts or assertions or to justify conclusions in reports representing the official position of the agency.

However, it is not enough merely to include these "data deliverable" clauses in the contract. If the records remain in the custody of the contractor, and the delivery called for in the contract never occurs, ownership of the records may be

questioned. The safest approach an agency can take to establish clear-cut ownership of contractor records is to invoke the data deliverable clause of the contract and take physical possession of the records.

Mary Ann Wallace, Director of the Department of Energy's Records Management Division, described three different ways DOE contractors are involved in records. All DOE contractors furnish deliverables to the Department. In addition, some DOE contractors manage and operate DOE facilities, while others support DOE records management programs. Records management policies and procedures differ for each. However, precise contract language which allows for accountability and oversight is critical to the success of any of these arrangements.

Other potential pitfalls in the contract process include varying interpretations of contract language; lack of coordination between records manager, legal counsel and the contractor; disparity among contracts written within an agency; and lack of procedures to facilitate a smooth transition when contractors change. Access and dissemination considerations surrounding rights to data are seen as the most pressing concerns for the future. To assure a place in policy development on this issue, records managers should remain in close contact with acquisition managers and agency legal counsels.

Angela Tayfun and Martin Cummings of TRW, management and operating contractor for DOE's Office of Civilian Radioactive Waste Management, provided the contractor's perspective on Federal records. Ultimately accountable to the agency, the contractor is responsible for meeting the recordkeeping requirements of the agency and the contractor. The discussion touched on such topics as ensuring that contractor and agency records schedules are coordinated in order to fulfill the recordkeeping requirements of the other party, the importance of establishing an office of record for the receipt of contract deliverables, and issues relating to the potential transfer of records to contractor custody following expiration of the Federal retention period.

Participants suggested NARA offer further guidance by updating expired NARA Bulletin 88-5 which elaborates upon 36 CFR 1222.48 and defines many of its terms; supplying a sample Request for Proposals on which agencies may base their contractor announcements; incorporating information on documentation of contractor programs in relevant NARA training courses such as Records Disposition and Records Management for Agency Managers; and keeping agencies and contractors up-to-date by publicizing requirements for creating, maintaining and arranging for the disposition of Federal records.

Along with the meeting agenda, participants received a copy of 36

CFR 1222.48, expired NARA Bulletin 88-5, and Federal Acquisition Regulation Part 4, which contains records retention requirements for financial, cost accounting, pay administration, acquisition, and supply records in order for contractors to meet the records review requirements of the Government.

Please call the Records Administration Information Center at 202-501-6025 or write the Agency Services Division (NIA), National Archives, Washington, DC 20408 if you wish to:

--receive copies of the March 17 BRIDG handouts
--tell about your agency's experiences with contractor records
--learn about contractor materials in the Records Administration Information Center.

JAMES W. MOORE
Assistant Archivist
for Records Administration

DOE F 13 5 8
(3-89)
EFG (07-90)

United States Government **Department of Energy**

memorandum

DATE: MAY 20

REPLY TO ATTN OF: AD-244

SUBJECT: 93-7, New Design for Federal Records Center (FRC) Boxes

TO: Distribution

Attached is a memorandum from the National Archives and Records Administration. The memorandum summarizes the new design for FRC standard records retiring boxes.

If you have any questions, please give me call on FTS/commercial (301) 903-3524.

Mary Ann Wallace, Director
Records Management Division
Office of IRM Policy, Plans,
and Oversight

Attachment

Addressees - Memorandum dated _____

Director, Information Resources Management, Yucca Mountain Project Office
Director, Information Management Division, AL
Office Manager, FN
Director, Property & Business Services Division, SF
Director, Personnel & Management Evaluation Division, SR
Director, Information Systems Management Division, METC
  THRU: Assistant Secretary for Fossil Energy, FE-1
Director, Procurement & Support Services Division, WAPA
Director, Information and Administrative Services Division, SPR
Director, Site Management Division, RL
Director, Records Management Division, SEPA
Director, Facilities Division, PNR
Chief, Management Resource Branch, SWPA
Deputy Project Director, SSC Project Office
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Ted Kurkowski, CE-64
John Weiner, EI-23
Steve Scott, NS-50
Ray Kukol, IG-12
T. J. Hopkins, CP-10

National Archives

Washington, DC 20408

January 14, 1993

Subject: New design for Federal Records Center (FRC) boxes

MEMORANDUM TO AGENCY RECORDS OFFICERS

This memorandum informs you about certain re-design features of our standard records retiring boxes - - the commonly called cubic foot "FRC boxes" - - that agencies use to transfer inactive files to Federal Records Centers. We standardized a new design for two of the boxes, after considerable review and testing, in order to maximize overall effectiveness.

The newly designed boxes are used specifically for retiring letter or legal size files and magnetic tape records on 10 1/2" reels to the Federal Records Centers. These boxes have been re-designed in two distinct sizes with new standard features, as follows: (1) a "lock bottom" style to enhance records security while in transit, (2) pre-printed instructions for agency use in files packing and labeling, (3) increased bursting strength to resist crushing of filled boxes in transit or while stacked, (4) reinforced hand holes on each end to facilitate carrying boxed records or withdrawing them from shelf storage, and (5) a white exterior surface to enhance readability of annotations on box exteriors.

For related information about the new boxes, see characteristics under the Style 2 boxes, Sizes C and D, as shown in the attached Commercial Item Description A-A-670B issued by the General Services Administration (GSA).

Concerning future retirements of your letter or legal size files, please note specifically that our former "oversize" FRC box, Size 10"W x 12"H x 15"L, has been eliminated from the commercial item description for two reasons. One, because of its **extra length**, the box projects into our narrow shelving service aisles and tends, over time, to get bumped and damaged by our mobile ladders and other files operating equipment; and two, because of its **extra height**, the top flaps of this box tend to "catch" on the lip of the shelf above during its storage on or withdrawal from our standard shelving.

GSA expects that the new standard boxes will be available from the normal sources in Federal Supply Service (FSS) by about mid-February 1993, or as soon thereafter as the existing stocks are exhausted. At this time, the new box for retiring letter or legal size files is available to those agencies that requisition from FSS in Stockton, California, under NSN 8115-00-117-8249.

To help facilitate assembly of the new "lock bottom" style boxes by first-time users, we are attaching a simple 5-step graphic entitled Assembly Instructions for your information.

For any necessary assistance in obtaining the new boxes, please telephone the appropriate local GSA/FSS Customer Service Director as shown in the attached excerpt from the Federal Supply Service catalog.

DAVID F. PETERSON
Assistant Archivist for
Federal Records Centers

Enclosures

cc: All FRCs
NI

[INCH - POUND]

A-A-670B
December 19, 1991
SUPERSEDING
A-A-670A
December 1,1982

COMMERCIAL ITEM DESCRIPTION

BOXES, CORRUGATED FIBERBOARD, RECORDS RETIRING

The General Services Administration has authorized the use of this commercial item description in preference to Federal Specification PPP-B-650B, which is canceled.

This description covers fiberboard boxes to be used for shipping and storing Federal records.

1. Salient Characteristics:

A. Styles. The boxes shall be of two styles.

Style 1 - Regular slotted box of two sizes (see figure 1).
Style 2 - Lock bottom box of two sizes (see figure 2)

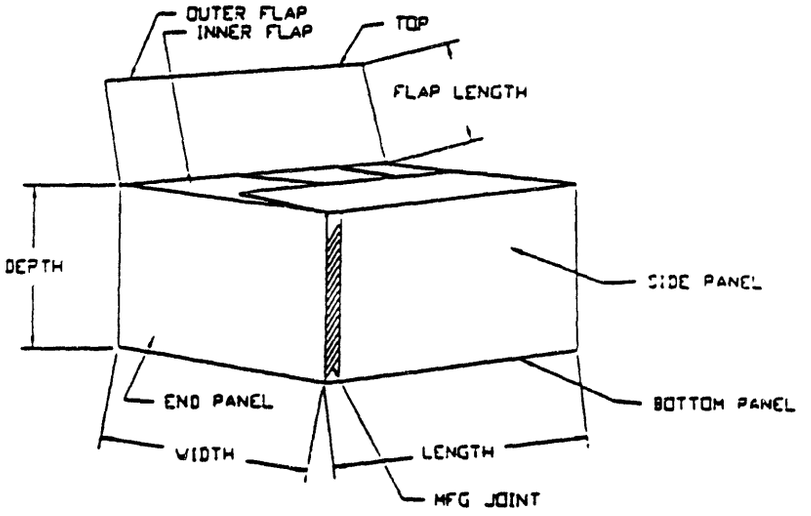


FIGURE 1

Style 1 - Regular slotted box

TOP LOADING
OUTER FLAPS MEET;
INNER & OUTER FLAPS
ARE OF EQUAL LENGTH

Size A - 14 3/4" X 9 1/2" X 4 7/8"
Size B - 14 3/4" X 6 1/2" X 4 1/2"

DISTRIBUTION STATEMENT A : Approved for public release; distribution is unlimited.

FSC 8115

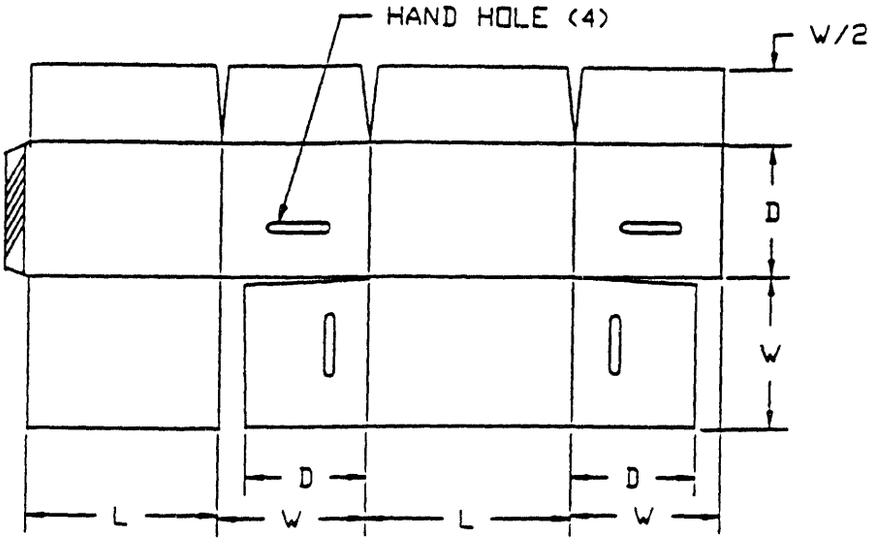


FIGURE 2

TOP LOADING, TOP OUTER FLAPS MEET
TOP INNER & OUTER FLAPS ARE OF EQUAL LENGTH

L = Length W = Width D = Depth

Style 2 - Lock bottom box (See 1.G)

Size C - 14 3/4" X 12" X 9 1/2"
Size D - 14 3/4" X 11 3/4" X 11 3/4"

B. Dimensions. Dimensions shall be inside measurements given in the sequence of length, width, and depth, with a tolerance of plus or minus 1/8 inch.

C. Fabrication. Fiberboard used in the fabrication of the boxes shall be in accordance with ASTM D5118 and ASTM D4727, domestic class, single wall, B-flute with a minimum dry bursting strength of 200 p.s.i. for style 1, and 275 p.s.i. for style 2.

D. Box body. Style 1 shall be constructed from one piece of fiberboard scored to form the box. Direction of the flutes shall be parallel to the manufacturer's joint. Style 2 shall be constructed of one piece of fiberboard as indicated in figure 2.

E. Joints. The manufacturer's joint for both Style 1 and Style 2 shall be fastened with metal staples or stitches spaced not more than 1 1/2 inches apart. Each box shall bear the box-maker's certification on the bottom panel of the box.

F. Workmanship. The box shall be free from any defect that may affect its appearance, performance, use or cause injury to the end user.

G. Additional requirements: Applies only to Style 2, Size C and size D.

I. The following instructions shall be printed in bold lettering, at least 1/4 inch high on both side panels. (See Figure 4)

INSTRUCTIONS

1. DO NOT OBSCURE BOX NUMBER OR ACCESSION NUMBER WITH TAPE.

2. USE BLACK FELT TIP MARKER.

3. MAKE NUMBERS 1 1/2 INCHES HIGH.

4. PACK BOXES WITH RECORDS ONLY.

5. RECORDS MUST BE IN ORDER BY NAME, NUMBER, OR DATE FACING THE LABELED END OF BOX.

II. On the end panel with the stitched joint, above the hand hole, the following shall be printed in bold letters at least 1/2 inch high.

DO NOT WRITE ON THIS END

III. In both end panels; there shall be hand holes through both thicknesses that are oval in shape, 1 inch high and 3 inches in length. The bottom of the hand holes shall be 4 inches +/- 1/4 inch above the bottom of the box.

IV. Three blocks shall be printed on the end panel (without the stitched joint) at the corners as shown in Figure 3, also see Figure 4.

V. Entire exterior of box shall have a bleached white appearance.

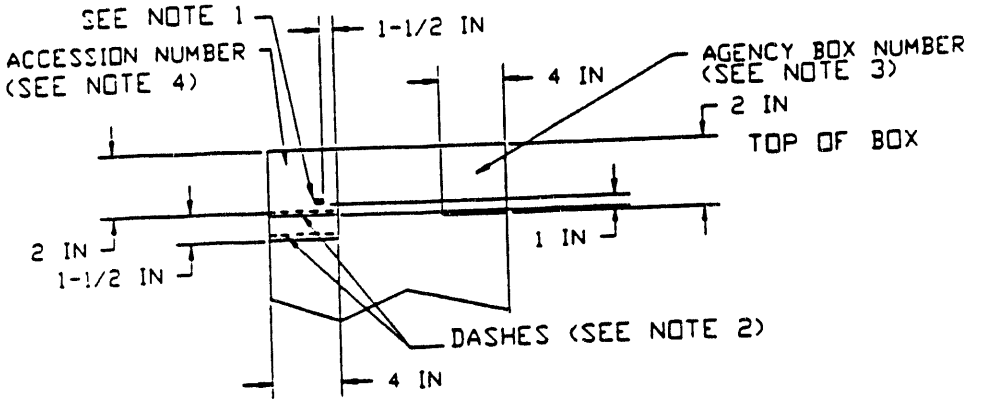


FIGURE 3

NOTE 1: Black square is 1/4" X 1/4"

NOTE 2: Dashes are 1/8" above solid line & 1/2" in length, uniformly spaced.

NOTE 3: The following two lines shall be printed in bold lettering at least 1/4" high. Top of lettering for upper line shall be 1/2" +/- 1/8" from top of box.

AGENCY BOX NUMBER

OF

NOTE 4: The following line shall be printed in bold lettering at least 1/4 inch high. Top of lettering shall be 1/2" +/- 1/8" from top of box.

ACCESSION NUMBER

2. Recovered Materials:

The contractor must certify that the product offered shall include a minimum of 40 % post-consumer recovered material as defined in 40 CFR, Part 250. The Government reserves the right to require proof of such conformance prior to first delivery and thereafter as may be otherwise provided for under the provisions of the contract.

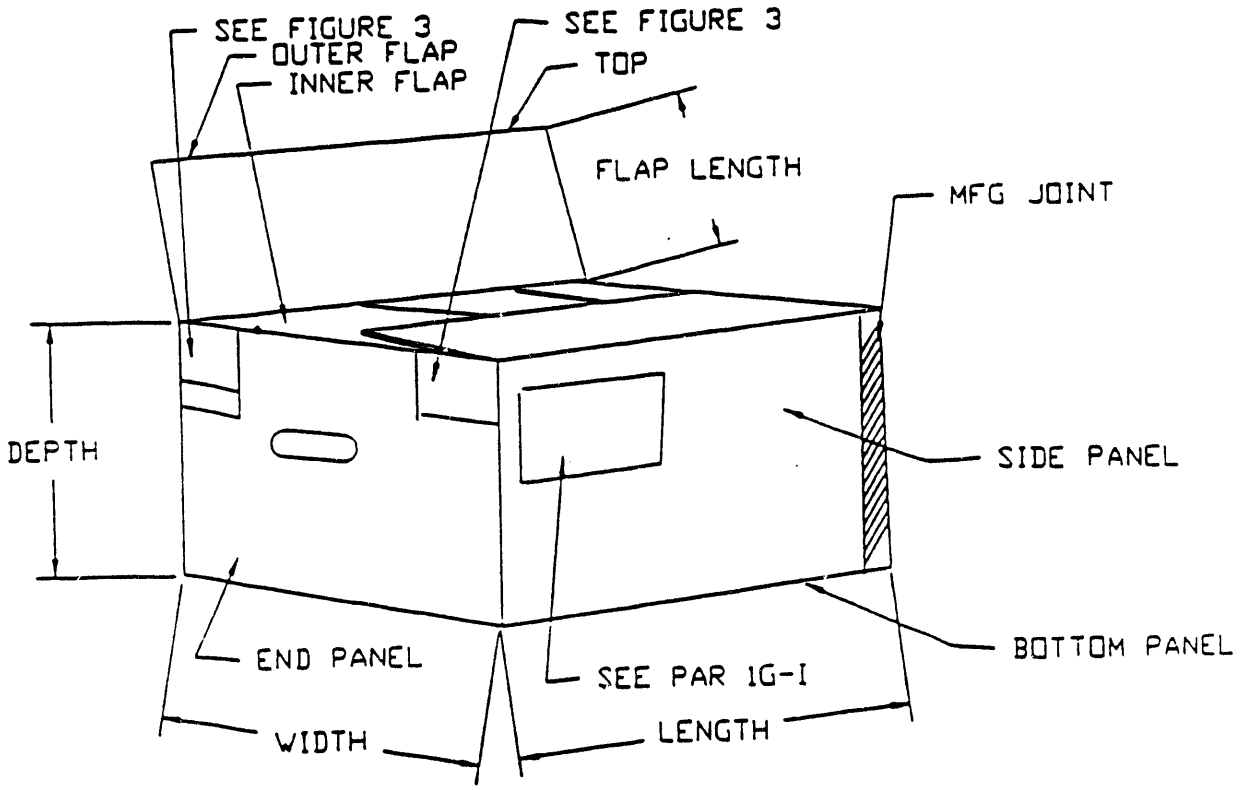

SEE FIGURE 3
OUTER FLAP
INNER FLAP
SEE FIGURE 3
TOP
FLAP LENGTH
MFG JOINT
DEPTH
SIDE PANEL
END PANEL
SEE PAR 1G-I
BOTTOM PANEL
WIDTH
LENGTH

FIGURE 4

3. Quality Assurance:

Responsibility for Inspection - Unless otherwise specified in the contract or purchase order, the supplier is responsible for the performance of all inspection requirements as specified herein. Except as otherwise specified, the supplier may utilize his own facilities or any commercial laboratory acceptable to the Government. The Government reserves the right to perform any of the inspections set forth herein, where such inspections are deemed necessary to assure that supplies and services conform to the prescribed requirements.

Each lot of boxes shall be inspected for conformance to the requirements herein. Inspection shall be in accordance with MIL-STD-105 using the sampling plans specified below.

A. Visual characteristics - Inspection level S-4 with an Acceptable Quality level (AQL) of 4.0 percent defective. The sample unit shall be a single box.

B. Dimensional characteristics - Inspection level S-2 with an Acceptable Quality level (AQL) of 4.0 percent defective. The sample unit shall be one box.

C. Sampling for end item testing - Inspection level S-2 with an AQL of 4.0 percent defective. The sample unit shall be one box.

D. Preservation, Packaging, Packing, Labeling and Marking - Inspection level S-2 with an AQL of 4.0 percent defective. The sample unit shall be one fully prepared shipping container.

4. Application for copies of technical documents referenced herein:

The issue date in effect on date of invitation for bids or request for proposal shall apply.

A. MIL-STD-105 is available from Standardization Documents Order Desk; Building 4D; 700 Robbins Avenue; Philadelphia, PA 19111 - 5094.

B. ASTM D5118 and ASTM D4727 are available from the American Society for Testing and Materials, 1916 Race Street , Philadelphia, Pa 19103.

C. Code of Federal Regulations, Title 40, Part 250 is available through the Superintendent of documents, U.S. Government Printing Office, Washington, DC 20402.

5. Preparation for Delivery:

Preservation, Packaging, Packing, Labeling and Marking shall be as specified in the contract or purchase order.

6. Ordering Data:

Purchasers should select the prefered options permitted herein, and include the following information in procurement documents:

A. Title, number and date of this commercial item description.
B. Size of box.

7. Item Identifiers/Reference Part Number System (For Cataloging use only)

Part Reference Numbers:

AA670 - C :This example describes a
LOCK BOTTOM BOX, 14 3/4" X 12" X 9 1/2"

---Size: A - 14 3/4" X 9 1/2" X 4 7/8", REGULAR SLOTTED

B - 14 3/4" X 6 1/2" X 4 1/2", REGULAR SLOTTED

C - 14 3/4" X 12" X 9 1/2", LOCK BOTTOM

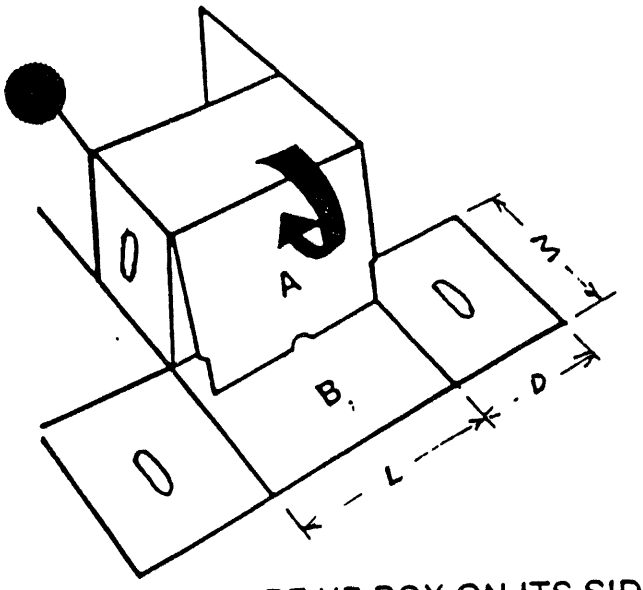
D - 14 3/4" X 11 3/4" X 11 3/4", LOCK BOTTOM

Civil Agency Coordinating Activity:
National Archives and Records Administration

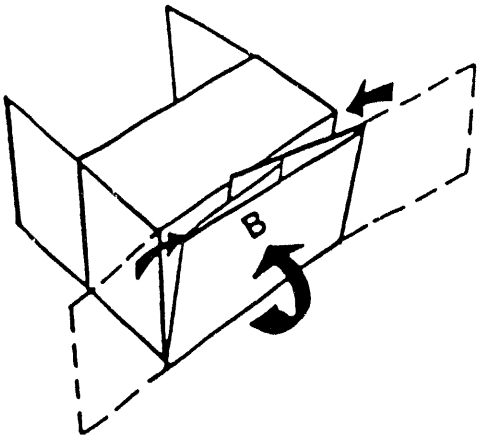
No official DOD interest has been registered

Preparing Activity:
GSA-FSS

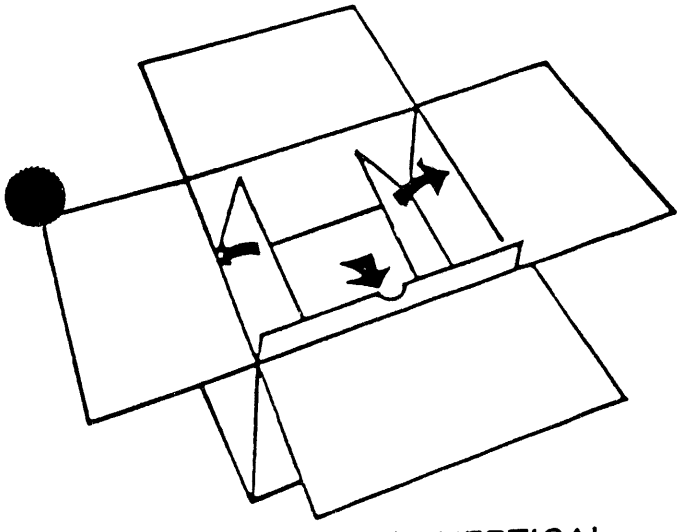
ASSEMBLY INSTRUCTIONS



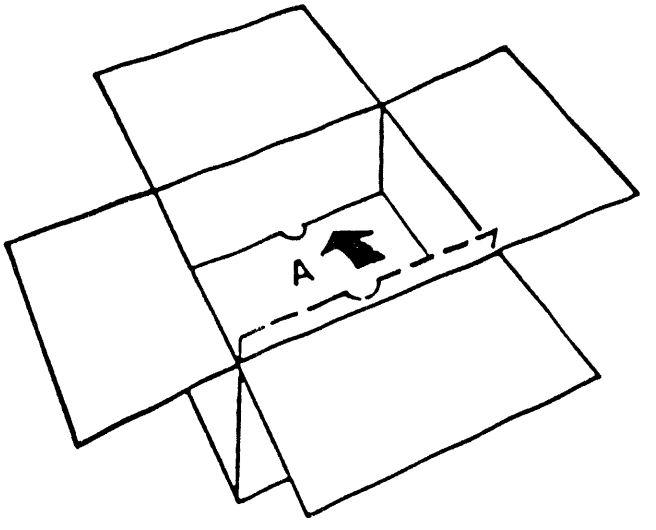
STEP 1. SQUARE UP BOX ON ITS SIDE AND FOLD FLAP A INSIDE.



STEP 2. FOLD EXTENSIONS OVER ON FLAP B AND FOLD TO CLOSED POSITION.

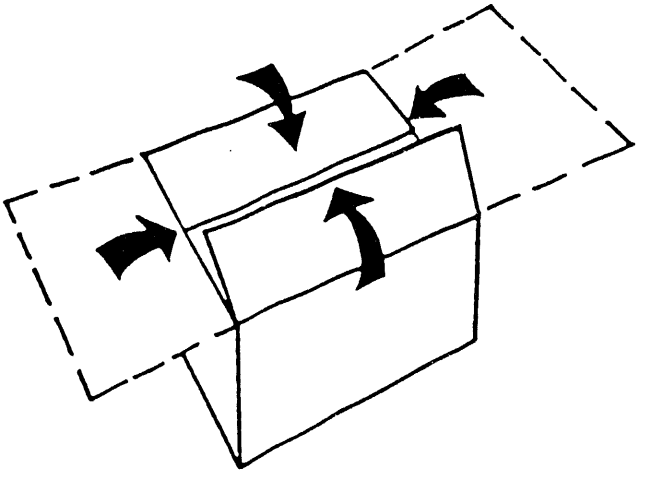


STEP 3. LIFT FLAP A TO VERTICAL POSITION AND THEN LIFT AND FOLD EXTENSIONS OF FLAP B UP AGAINST END WALLS OF BOX.



STEP 4. LOWER FLAP A TO BOTTOM OF BOX.

STEP 5. FOLD ALL FLAPS IN TO TOP. SMALL FLAPS FIRST, LARGE FLAPS LAST.



★ U.S. GOVERNMENT PRINTING OFFICE: 1993-747-237

U.S. Department of Energy

Washington, D.C.

NOTICE

DOE N 1324

EXPIRES:

SUBJECT: RIGHTS AND INTERESTS RECORDS NEEDED FOR EPIDEMIOLOGICAL AND OTHER HEALTH STUDIES

1. PURPOSE. To clarify requirements for identifying, protecting, and preserving Department of Energy (DOE) and DOE contractor rights and interests records needed for epidemiologic and other health studies. These records include employee personnel, medical, radiation exposure/protection, and industrial hygiene files.

2. SCOPE. The provisions of this Notice apply to all Departmental Elements and managing and operating contractors with the exception of the exclusion noted in paragraph 3, below. The Notice also applies to subcontracts if any of the following factors is present:

   (1) The contracting officer determines that the subcontract is, or involves, a critical task related to the contract;

   (2) The subcontract includes any of the following, or similar, clauses from the DOE Acquisition Regulation (DEAR):

   970.5204-2 Safety and health (Government-owned or leased facilities).
   970.5204-26 Nuclear facility safety applicability.
   970.5204-41 Preservation of individual occupational radiation exposure records.

3. EXCLUSIONS. This Notice does not apply to Naval Reactors activities.

4. REFERENCES.

   a. DOE 1324.2A, RECORDS DISPOSITION, of 9-13-88, which assigns responsibilities and authorities and prescribes policies, standards, and guidelines for the orderly disposition of records of the Department and its management and operating contractors.

   b. DOE 1324.8, RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM, of 10-23-91, which establishes policy and requirements necessary to insure preservation of the legal rights and interests of individual citizens and the Government during a post-attack recovery period or recovery from a calamit us event.

   c. Title 36 Code of Federal Regulations (CFR) § 1228.222, Facility standards for agency records centers, which prescribes structural building standards and storage equipment standards for records storage facilities.

DISTRIBUTION:

INITIATED BY:

DRAFT

d. Title 48 CFR Subpart 970, DOE Acquisition Regulation (DEAR), which provides requirements and provisions regarding the award and administration of management and operating contracts.

5. BACKGROUND. In 1990, the Secretarial Panel for the Evaluation of Epidemiologic Research Activities (SPEERA) cited a need to improve the management, credibility, and openness of health studies pertaining to the Department, its workers, and the communities near its sites. Specific improvements were called for in supporting independent research and restoring public trust in relation to these health studies. The SPEERA report also included recommendations for better management and preservation of site epidemiologic data.

To this end, former Secretary Watkins directed the DOE Field Office Managers to institute a moratorium on the destruction of records and data useful for epidemiologic studies. The Secretary also directed preparation of site inventories of records needed for health studies and gave oversight responsibility to the Office of Epidemiology and Health Surveillance (EH-42). DOE F 1324.13, "Survey of Epidemiologic and Health Records," was prescribed by EH-42 for recordkeepers and others to describe and report on the types of records containing the data items which would likely qualify as information to be saved for DOE epidemiologic and health studies.

In addition to the steps taken to maintain and identify needed records, it is necessary to ensure the ongoing protection and preservation of certain key groups of employee health-related records. These records have special value for epidemiologic and other health studies, and are important to the legal rights and interests of individual employees and the Government.

6. RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM. The requirements of this program were established under DOE 1324.8, RIGHTS AND INTERESTS RECORDS PROTECTION PROGRAM, of 10-23-91. Because records are essential to preserve the legal rights and interests of individual citizens and their Government, certain vital records must be identified, kept current, complete, retrievable, and protected from loss or damage. For the purposes of the Department's epidemiology and occupational health programs, the following vital records at all Departmental and contractor facilities are designated as rights and interests records and shall be managed accordingly (see Attachment 1 for detailed series descriptions):

a. Employee Medical Files;

b. Individual Personnel Files;

c. Employee Radiation Exposure/Protection Files; and

d. Employee Industrial Hygiene Exposure/Protection Files.

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(Although not the subject of this Notice, Departmental Elements and contractors also might be responsible for additional categories of rights and interests records as provided for under DOE 1324.8.)

7. ACTION.

a. Departmental Elements and contractors shall apply the requirements of DOE 1324.8 to the records noted in paragraph 6, above.

b. When conducting a general site-specific records inventory, any inventorying forms to be used (see Note below) shall provide for the identification and description of rights and interests records, including those cited in paragraphs 6a-d, above. When inventorying/surveying only for epidemiologic and health records, use DOE F 1324.13, block 3e (series description), to identify those records series which are deemed to be rights and interests records, in addition to other series recorded on the form(s).

[NOTE: The use of detailed records inventorying forms should not be confused with the purposes and use of DOE F 1324.10, "Records Inventory and Disposition Schedule (RIDS)." DOE 1324.2A prescribes the use of the RIDS form as a tool to help recordkeepers manage the files at a particular file station. The completed RIDS is a basic file plan for a specific file station within a specific organization, and it is not designed nor recommended to conduct and document a detailed records inventory. However, any rights and interests records series which is found being maintained at a file station must be identified as such on the RIDS or on any alternate file plan form being used at the file station.]

c. Rights and interests records shall be identified as vital records, duplicated, and copies stored at an off-site location, such as a Federal Records Center (FRC). Duplication and periodic off-site maintenance will ensure that the information in these records are preserved in the event of an attack, fire, flood, or other calamity at their originating site.

d. In the event that inactive rights and interests records cannot be duplicated, sites should transfer them to an FRC. Active and/or inactive rights and interests records kept on site shall be maintained in a storage facility meeting the facility specifications in 36 CFR §1228.222 prescribed by the National Archives and Records Administration (NARA).

e. Requests for an exemption from these requirements must be directed to the Departmental Records Officer (AD-244), through the local site Records Officer and/or the Operations Office Records Management Program Coordinator or the DOE Headquarters Records Management Program Coordinator (AD-623), as applicable.

LINDA G. SYE
Acting Director of Administration
and Management

RECORDS SERIES DESIGNATED AS RIGHTS AND INTERESTS RECORDS
FOR THE PURPOSES OF THE DEPARTMENT OF ENERGY
EPIDEMIOLOGY AND OCCUPATIONAL HEALTH PROGRAMS

SERIES: Employee Medical Files

NATIONAL ARCHIVES JOB NUMBER: N1-434-89-1, Items 4a-4b

DESCRIPTION:

Item 4. HEALTH UNIT RECORDS

a. Individual Health Case File. Forms, correspondence, and other records relating to an employee's medical history, occupational injuries or diseases, physical examinations, and all treatment received in the health unit, including records of exposure to toxic substances, toxic chemicals, and to unique occupational hazards of the atomic energy program. Also includes preemployment physical examinations and disability retirement and fitness for duty examinations.

Authorized Disposition: Cut off file at time of separation. Transfer folders to local Federal Records Center (FRC) in one-cubic foot increments. Destroy 75 years after cut off. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

b. Individual Health Record Files. Cards which contain such information as date of employee's visit, diagnosis, and treatment.

Authorized Disposition: Destroy 6 years after date of last entry. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

SERIES: Individual Personnel Files

NATIONAL ARCHIVES JOB NUMBER: N1-434-89-1, Item 1

DESCRIPTION:

Item 1. Records consist of employment histories and jobs held by the employee from initial date of employment to date of separation. Includes, among other things, copy of all personnel and pay actions, life and health insurance coverage, resumes, proof of residence, copy of background investigation (not the Personal Security Questionnaire or Standard Form 86, which is filed in Security Offices), military service documents; and training records of more than 40 hours and any and all training records (certificates of completion) on health and

safety, radiation, hazardous duty and other courses when the employer's contract includes safety and health clauses (DEAR subparts 970.52; 970.5204-2; 952.223; 952.223-71; 952.223-72; 952.223-74; 952.223-75), unless separate training records are kept in training activity. Drug testing records may be part of these files or may be maintained elsewhere provided they are adequately safeguarded.

Authorized Disposition: Cut off file at time of separation. Transfer folders to local FRC in one-cubic foot increments. Destroy 75 years after cut off. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

SERIES: Employee Radiation Exposure/Protection Files

NATIONAL ARCHIVES JOB NUMBER: NC1-430-76-9(4), Items 5a(1)-5a(2); Items 6a-6e(2).

DESCRIPTION:

Item 5: Radiation-Contamination Control Program Records (includes correspondence) concerning or documenting accurate, quantitative description of the exposure of personnel to external radiation and internally deposited radionuclides, including development of appropriate regulations and procedures used as a basis for the radiation-contamination control program; excludes individual employee files.

a. Personnel Exposure Dose Record concerning or documenting radiation exposure dose to the individual due to alpha, beta, gamma, and neutron radiation as determined by personnel radiation monitors or by estimates based on other radiation dose instruments.

(1) Results of equipment calibration establishing the authenticity of the above dose results.

(2) Automatic data processing system programs, codes, instruction tapes, and discs if used for retrieval of item a, above.

Authorized Disposition: Destroy when 75 years old. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

Item 6: Individual Employee Health Hazard Case File. Individual employee radiation exposure history file (both internal and external). Records include those of visitors. Each file provides a record of an individual's exposure, including both negative and positive results, and shall include:

a. Records of skin and nasal contamination incidents, including decontamination details.

b. Incidents involving contaminated injuries, along with decontamination and treatment of such injuries, including tourniquet time records, if used.

c. Results of direct measurement of radiation from the chest, specific organs, or whole body.

d. Investigations of the following types:

(1) Assimilations of radioactive materials in excess of standards and control guides.

(2) Missing or unusual data concerning exposure of personnel to radiation.

(3) Radiation exposures exceeding quarterly to yearly exposure guides and standards.

e. Records of bioassay data.

(1) Positive laboratory results on bioassay samples (urine, feces, blood) used to determine internal assimilation by an individual of a radionuclide.

(2) Laboratory results indicating no assimilation of radioactive materials.

Authorized Disposition: Destroy when 75 years old. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

SERIES: Employee Industrial Hygiene Exposure/Protection Files

NATIONAL ARCHIVES JOB NUMBER: NC1-430-76-9(5), Items 4a-4d(2).

DESCRIPTION:

Item 4. RECORDS CONCERNING PERSONNEL EXPOSURE TO HAZARDOUS CONCENTRATIONS OF TOXIC CHEMICALS AND OTHER MATERIALS. Records (includes correspondence) prepared in the normal course of business concerning or documenting the exposure of personnel to hazardous concentrations of toxic chemicals and other materials, excluding radionuclides and individual employee files.

a. Standards, operating guides, and procedures, including revisions and background records which establish or relate to establishing operating practices.

Authorized Disposition: Permanent. Offer to NARA in 25 years.

b. Operating plans for specific jobs within the scope of the above-established operating practices.

Authorized Disposition: Destroy when purpose is served or when 1 year old, whichever is earlier. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

c. Records and investigations establishing the extent of employee exposure to toxic chemicals and materials. Those records should be filed in the Health Hazard Case File (see Item 6, above), wherever possible.

Authorized Disposition: Destroy when 75 years old. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

d. Industrial hygiene logsheets recording surveys for industrial hazards other than radiation and contamination.

(1) Surveys indicating no industrial hazard.

Authorized Disposition: Destroy when 75 years old. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

(2) Surveys indicating a potential industrial hazard.

Authorized Disposition: Until related facility is dismantled. [NOTE: MORATORIUM ON DESTRUCTION CURRENTLY IN EFFECT.]

Assessment Criteria for Records Management Review

April 1993

DRAFT

Section 1 - GENERAL MANAGEMENT

Criterion 1 - Organization and Staffing
Criterion 2 - Directives and Procedures
Criterion 3 - Employee Development
Criterion 4 - Quality Attainment and Checks and Balances
Criterion 5 - Control over Sub-Contractor held files

Section 2 - RECORDS MANAGEMENT OPERATIONS

Criterion 6 - Management and Control of Records
Criterion 7 - Management of Files
Criterion 8 - RIDS Development & Approval
Criterion 9 - Facility Standards
Criterion 10 - Storage and Retrieval
Criterion 11 - Utilization of Federal Records Centers
Criterion 12 - Disaster Recovery Program
Criterion 13 - Micrographics
Criterion 14 - Electronic Records
Criterion 15 - Emergency Operating Records Program
Criterion 16 - Rights and Interest Records Program

Section 1 - GENERAL MANAGEMENT

CRITERION 1 - ORGANIZATION AND STAFFING

Requirement

The contractor has assigned records management functions and responsibilities to appropriate organizations. The records activity's organizational structure and personnel staffing enhance the records management process. Staff resources are provided at a level sufficient to ensure accomplishment of responsibilities. A records manager has been designated.

Performance Criteria

ORGANIZATIONAL STRUCTURE

1. Have all records management functions been officially assigned to an appropriate organization or organizations, as evidenced by documentation such as an organizations chart or functional statement?

2. Is the organizational structure of the records management organization appropriate?

3. Are the duties and responsibilities of the records management staff specifically spelled out and adequately documented by functional statements of duties?

4. Where records management functions have been divided among organizations, has a system of coordination between these organizations been established?

STAFFING

5. Are personnel resources adequate to meet workload requirements?

6. Is the supervisory span of control appropriate?

7. Is supervision generally available to perform management functions such as planning, directing, and controlling?

8. Is workload data maintained and used to evaluate staffing requirements and to control backlogs?

CRITERION 2 - OPERATING PROCEDURES

Requirement

The contractor has developed and provided effective overall procedural guidance to those organizations involved in records management. Formal operating procedures that address all aspects of records management and which ensure application of laws, regulations, and sound business practices have been established and are being followed. The procedures reflect DOE and other Federal policy and guidance. A library of records management related publications are maintained.

Performance Criteria

DIRECTIVES AND GUIDANCE

1. Has a focal point been established to ensure development, control, and dissemination of contractor records management operating procedures and guidance?

2. Is a formal procedure in place for development, control, and updating of the contractor operating procedures, and is it followed?

3. Are internal operations and Government regulations and directive reviewed to identify areas in which operating procedures or guidance is needed, and are those changes made in a timely manner?

4. Are the operating procedures current?

5. Is a formal procedure in place and utilized for dissemination guidance to appropriate operating organizations in a timely manner

RECORDS MANAGEMENT DIRECTIVES LIBRARY

6. Has a library been established which includes updated records management regulations, directives, and applicable guidance such as 44 U.S.C Chapters 21, 29, 31, 33, 35, and 36 CFR Chapter XII, DOE Orders, General Records Schedules and the DOE contracting office directives?

DEVIATION REQUESTS

7. Is there an established procedure for the submission to the DOE contracting office for approval to deviate from Government regulations and DOE policy?

CRITERION 3 - EMPLOYEE DEVELOPMENT

Requirement

The contractor has an established employee development program which effectively promotes career development and provides the skills needed to manage and administer an effective and efficient records management program

Performance Criteria

CAREER DEVELOPMENT PLANS

1. Have career development plans been established for all records management professionals?

TRAINING

2. Have training needs been identified for the records management staff?

3. Is management taking advantage of available training courses?

4. Has an effective on-the-job training program for new records staff members been instituted?

5. Have internal training programs been established for records custodians?

6. Do users of records management services receive appropriate training on their responsibilities for records management?

7. Are National Archives and Records Administration courses utilized?

8. Have Federal Records Center staffs been utilized for training purposes?

CRITERION 4 - QUALITY ATTAINMENT AND CHECKS AND BALANCES

Requirement

The contractor has an effective program for monitoring, evaluating, documenting, and improving the quality of the organization's performance in records management, and for ensuring the maintenance of sufficient checks and balances in these activities. Management improvement objectives are established to ensure improvement of overall records management practices. Independent review procedures ensure accuracy, efficiency, and integrity of the operation. Interrelationships with all organizations with records management responsibilities, are effectively maintained to meet records management priorities within the organization.

Performance Criteria

MANAGEMENT

1. Are management improvement objectives and plans established to improve the quality of records management practices?

2. Are the records management operations subjected to periodic review and/or audit?

3. Are the recommendations from such reviews or audits discussed with responsible staffs?

4. Are appropriate corrective actions taken or initiated?

5. Are follow-ups made to review findings and adequacy of corrective actions?

6. Does the records organization perform and document self-evaluations of their own operations?

7. Is there a successful working relationship between the records management staff and the operating, procurement, and financial organizations?

8. Is the records management staff involved in activities related to records management such as budget, procurement, and administration and close-out of subcontracts?

9. Are users of the records management systems contacted periodically to determine the extent to which the systems are utilized, and to solicit their opinions and ideas on how to improve them?

Contracting Office Records Management Systems Review of Management and Operating Contractors

10. Is a management information system maintained which is capable of providing information and data on the records management operations to their management and the DOE contracting office?

11. Are records management reports and information used by management for analysis and decision making?

12. Is record data reviewed and verified by the records staff before entry into information systems?

13. Are all required records management reports reviewed for accuracy and submitted to the DOE contracting office as required?

14. When was the last self appraisal conducted?

CRITERION 5 - CONTROLS OVER SUBCONTRACTOR -HELD RECORDS

Requirement

The contractor has a system in operation that provides for the control of Government records generated and held by subcontractors in accordance with regulatory provisions and guidance of the DOE contracting officer. Subcontractor records systems are approved, appraised and received upon close-out in accordance with applicable regulations, and contracting officer guidance.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management and control of subcontractor generated and held Government records.

2. Are these instructions comprehensive and current?

GENERAL

3. Has a records administrator been designated in writing and assigned responsibility for records administration of subcontractors with Federal Records?

SOLICITATION REQUIREMENTS

4. Do solicitations specify Government record keeping requirements in sufficient detail to enable offer's to evaluate them accurately?

CONTRACT REQUIREMENTS

5. Do subcontract file checklists require a notation that a Government record keeping requirement is or is not included in the subcontract?

6. Do subcontracts contain an appropriate records clause?

CLOSE-OUT

7. Do record turn-over requirements and procedures exist for the close-out of subcontracts?

8. Does the contractor have any suggestions for program improvements?

Section 2 - RECORDS MANAGEMENT OPERATIONS

CRITERION 6 - MANAGEMENT AND CONTROL OF RECORDS

Requirement

The contractor has an effective program for the acquisition, management, control and disposition of records including receiving, marking, indexing, the conduct of physical inventories, scheduling, and destruction of records.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management and control of records?

2. Are these instructions comprehensive and current? (provide copy of procedures)

REQUIREMENTS PLANNING

3. Does the records management organization provide input into the budget preparation or planning cycle with respect to capital equipment needs?

4. Is a want list of equipment items developed based on budget plans?

5. Is a determination of need performed prior to the acquisition of an item of equipment?

6. Are requirements documents reviewed by responsible and knowledgeable supervisory staff prior to submitting orders?

RECORD ACCESSION

7. Are records management personnel familiar with the procedures for bringing records into the records management system?

8. Are operations personnel familiar with their responsibilities in the records transfer process?

9. Are proper quality assurance checks in place in the accession process to ensure that records are properly transferred?

10. Are records stored in records facilities prior to being entered into the indexing system?

11. Are procedures in place which ensures that transferring office is informed of proper identification of boxes for future referencing?

12. Does the contractor have any suggestions for program improvements?

CRITERION 7 ____ - ____ MANAGEMENT OF FILES

Requirement

The contractor has an effective files management program for the development, management, control and disposition of files including receiving, marking, indexing, the conduct of physical inventories, scheduling, and disposition of files which document the business of the contractor and meet the requirements of DOE Order 1324.3.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of files?

2. Are these instructions comprehensive and current?

3. Who is responsible for the development of the written instructions for files management?

FILE PLANS

4. Are file plans required for each organization/office?

5. Do all organizations have current file plans?

6. Do file plans contain provisions for file set-up, (type: i.e. case, subject), file breaks, and indexing aids?

7. Are file plans updated on a regular basis?

FILE MANAGEMENT

8. Do files contain items that are past retention periods listed on organizational RIDS?

9. Do staff feel current system is the most efficient?

(a). If not what suggestions:

_____ _____

_____

_____

CRITERION 8 ____ - ____ RIDS DEVELOPMENT AND APPROVAL

Requirement

The contractor maintains an organization that ensures that records inventories, and dispositions' schedules are developed in accordance with applicable regulations. Ensuring that each organization's RIDS is approved in accordance with DOE Order 1324.2A.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions stating the requirements for the proper development and approval of Records Inventory and Disposition Schedules?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for RIDS?

4. Who approves Contractor developed RIDS?

INVENTORIES

5. Has the contractor completed a total inventory of all records in all organizations?

(a). What percentage have been inventoried?

(b). Is inventory is progress for remaining records?

(c). Anticipated completion date: _____?

6. Have staff members been trained in proper inventory procedures?

7. Is contractor utilizing NARA recommended inventory forms?

(a). If not, does contractor form cover all information listed on NARA form?

(b). If yes, does contractor see additional information that is needed but not listed on form?

8. Is physical inventory actually taking place at the files?

SCHEDULING

9. Are records being scheduled by records management personnel?

10. If scheduling is being done by clerical staff have they received the proper training?

11. Are proposed schedules being written for records which do not match DOE or GRS descriptions?

12. Are the proposed schedules screened by records management personnel?

13. Are proposed schedules submitted on properly approved DOE F. 1324.5 with Standard Form 115 attached?

14. Does every organization have an approved RIDS?

15. How often are RIDS verified and updated?

16. Does records management personnel work with organizations clerical staff to ensure that RIDS are done properly?

17. How often does records management staff evaluate organizational RIDS?

18. Does the contractor have any suggestions for program improvements?

CRITERION 9 ____ - ____ FACILITY STANDARDS

Requirement

The contractor has established a program to ensure that all of their records are maintained in facilities that meet the criteria of applicable regulations, laws and good business practices.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the requirements for storage of records within the company?

2. Are these instructions comprehensive and current? (provide copy of procedures)

FACILITY STANDARDS

3. Do current storage facilities meet requirements?

   (a). List storage facilities:

   _____

   _____

   _____

   _____

   (b). If facilities do not meet standards list deficiencies:

   _____

   _____

   _____

   _____

   _____

4. Are there plans to improve current storage facilities?

CRITERION 10 ___ - ___ STORAGE AND RETRIEVAL

Requirement

The contractor conducts an effective storage and retrieval program for the records that are maintained. Effective operating procedures are in effect and followed, and accessions and disposals are conducted in accordance with prescribed regulations and procedures. Utilization practices are effective, with appropriate controls on the use of space established and enforced.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management and operations of storage and retrieval processes for records?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the contractor written instructions?

4. At what level are these procedures approved?

RECEIVING

5. Are boxes checked to ensure that metal items have been removed from the records? (i.e. Paper clips, Fasteners, etc.)

6. Are contents of boxes checked against items listed on transfer requests?

7. Are boxes receipted for on transfer documentation?

RETRIEVAL

8. Does contractor have an electronic database which is used for tracking and locating records?

9. Does contractor have a form which is used to request retrieval of records held by the records management organization?

10. Does the contractor procedure give adequate guidance on how to retrieve records?

DESTRUCTION

11. Does the contractor procedure give adequate guidance on the methods of destruction for all types of records?

12. Do procedures prescribe methods of destruction for both classified and non-classified records?

13. Are records being destroyed on dates indicated by organizational RIDS?

14. Are prescribed methods being utilized for the destruction of records?

15. Does the contractor have any suggestions for program improvements?

CRITERION 11 - UTILIZATION OF FEDERAL RECORDS CENTERS

Requirement

The contractor has an effective system in place for ensuring that records requiring long term storage are transferred to the nearest Federal Records Center in accordance with prescribed regulations' procedures.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the transfer of Federal records to Federal Records Centers?

2. Are these instructions comprehensive and current? (provide copy of procedures).

UTILIZATION

3. What is the volume of records located at the FRC?

4. Is there a current file retained containing SF 235's (transfer forms from agency to FRC)?

5. What are the procedures for records retrieval from the FRC?

6. What is the volume of records located at the National Archives (regional location)?

7. What is the volume of records located at the National Archives (Suitland, MD location)?

8. Is there a current file retained containing SF 258's (transfer to Archives from FRC)?

9. Are procedures identified for research of records located off-site at the FRC/NARA?

10. Do responsible personnel fully understand the procedures for transfer of records to FRC?

11. Do personnel responsible for the shipment of records have any recommendations for changes in the way that records are transferred to the FRC?

12. Does the contractor have any suggestions for program improvements?

CRITERION 12 ___ - ___ DISASTER RECOVERY PROGRAM

Requirement

The contractor has a Disaster Recovery Plan in place for ensuring that records can be recreated or recovered in the event of a natural or national disaster in accordance with DOE Order 1324.5A.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of a disaster recovery program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the disaster recovery program?

DISASTER RECOVERY PLAN

4. Does the contractor have a written disaster recovery Plan?

5. Does the plan identify the personnel responsible for actions specified in the plan?

6. Have responsible personnel been trained in records disaster recovery?

7. Have personnel been trained to perform the required actions of the plan?

8. Is the proper equipment on hand to carry out the requirements of the plan?

9. Does the plan require usage of outside resources to perform recovery procedures?

10. Does plan give telephone numbers for both working and non-working hour emergencies?

11. Do records management personnel feel comfortable with the disaster recovery plan?

12. Does the contractor have any suggestions for program improvements?

CRITERION 13 - MICROGRAPHICS MANAGEMENT

Requirement

The contractor has a Micrographics management program in place for ensuring that applications of micrographics technology are operated efficiently and cost effectively, and that adequate plans and studies are made prior to a decision to implement micrographics technology in information systems; require the implementation of Title 36 Code of Federal Regulations (CFR), Part 1230, Micrographics Management", and DOE Order 1324.4

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of a micrographics program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the micrographics program?

REQUIREMENTS

4. Is the Operations Office Managers' approval received prior to implementation of new or significantly enhanced micrographics systems?

5. Does contractor have a current inventory of all micrographic production and reproduction equipment?

6. Does contractor request authority to destroy original records after they have been microfilmed?

OPERATIONS

7. Does contractor have a procedures in place to ensure that quality standards are met?

8. Are quality checks made and certifications completed in accordance with existing requirements?

9. Are personnel responsible for the operation of micrographic equipment formally trained operators?

10. Are equipment operators familiar with micrographic management requirements?

11. Does the contractor have any suggestions for program improvements?

CRITERION 14 - ELECTRONIC RECORDS PROGRAM

Requirement

The contractor has an Electronic Records management Plan in place for ensuring that electronic records are protected from loss during their life cycle.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of an electronic records program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the electronic records program?

PROGRAM

4. Does the contractor have requirements for the labeling of disks and diskettes?

5. Are employees trained on labeling requirements for electronic records?

6. Does the contractor have record requirement training built into their electronic mail system training?

7. Does the contractor have a means of saving record copies of electronic mail?

8. Who is in charge of the electronic records program in the contractor organization?

9. Are electronic records schedules listed on the organizational RIDS?

10. Does the contractor have a program or elements of a program which might be beneficial to other sites?

Such as?

11. Does the contractor have any suggestions for program improvements?

CRITERION 15 - EMERGENCY OPERATING RECORDS PROGRAM

Requirement

The contractor has an Emergency Operating Records Program Plan to safeguard that core of records deemed necessary to assure continuity of essential Governmental activities during and following disaster and attack-related emergency conditions in accordance with DOE Order 5500.7B.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of an emergency operating records program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the Emergency Operating Records program?

PROGRAM

4. Has the contractor designated an Emergency Operating Records Program Officer?

5. Does the Emergency Operating Records Program Officer ensure annual reviews are conducted with planned emergency exercises or site visits as of December 1, each calendar year?

6. Does the contractor have a training program in place which ensure that program personnel are knowledgeable of the purpose and operations of the Emergency Operating Records Program?

7. Are records of training maintained and available for inspection?

8. Where are emergency operating records stored? Does this facility meet the improved risk level of fire protection required by DOE 5480.7?

9. Are records stored at these locations marked and numbered for immediate retrieval and control?

10. In what format are these records maintained?

11. Are any official record copies being used for this purpose?

12. Does the contractor have any suggestions for program improvements?

CRITERION 16 - RIGHTS AND INTERESTS RECORDS PROGRAM

Requirement

The contractor has a Rights and Interests Records Protection Program management plan in place for ensuring the preservation of the legal rights and interests of individual citizens and the Government during a period of post-attack recovery in accordance with DOE Order 1324.8.

Performance Criteria

DIRECTIVES

1. Does the contractor have written instructions for the management of a rights and interests records management program?

2. Are these instructions comprehensive and current? (provide copy of procedures)

3. Who is responsible for the development of the written instructions for the rights and interests records management program?

PROGRAM

4. Has an official been designated as Rights and Interests Records Protection Program Officer?

5. Has designation been reported to Records Officer within 30 days of appointment?

6. Is designation current? (within last 12 mos.)

7. Has the Program Officer conducted reviews or site visits to ensure rights and interest records are identified, current, complete, adequately protected, accessible, and retrievable?

8. Has the Program Officer ensured that personnel are properly trained?

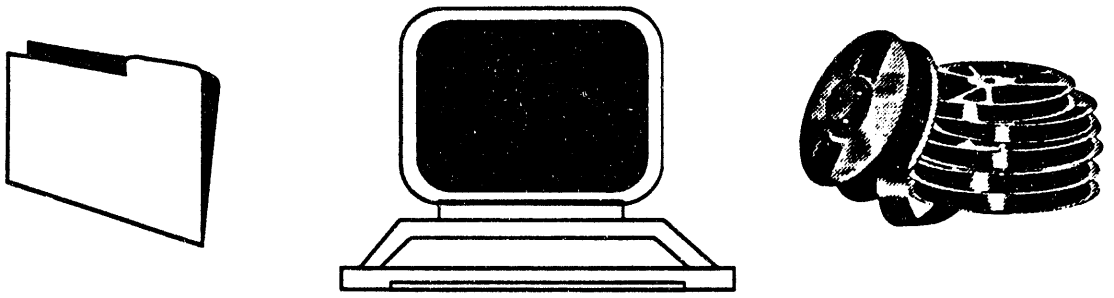
9. Has the Program Officer ensured that the proper transfer of rights and interests records, as appropriate, to Federal Records Centers?

10 Do Records Inventory and Disposition Schedules identify rights and interests records?

11. Are disposition schedules appropriate and authorized?

12. Does Records Officer conduct annual appraisal in conjunction with the Rights and Interests Protection Program Officer?

13. Does the contractor have any suggestions for program improvements?



Office of Scientific and Technical Information Records Management Plan Phase I

FY 1993–FY 1994

Prepared by: Lowell Langford, Records Officer

May 1993

Office of Scientific and Technical Information
U.S. Department of Energy
P.O. Box 62
Oak Ridge, Tennessee 37831

RECORDS MANAGEMENT PLAN

Introduction

The purpose of the Records Management Plan is to revitalize the Records Management Program at the Office of Scientific and Technical Information (OSTI). Also new initiatives are being implemented or planned as a result of recommendations cited in the National Archives and Records Administration's (NARA) 1988 Evaluation of the Department of Energy's (DOE) Records Management Program.

Policy

OSTI will ensure, through the Records Management Program, that its records are managed in the most efficient and economical manner possible and that all organizational units comply with requirements for records management as specified by DOE. The Records Management Program addresses the creation, maintenance, and disposition of records and the protection of legal, administrative, scientific and technical, and historic records of value to the Department.

Objectives

The Records Management Program has nine prime objectives:

1. Meet federal, DOE, and OSTI requirements for records management
2. Identify, inventory, and schedule all active/inactive record/non-record material created/received in any media during the conduct of OSTI business
3. Preserve and ensure future access to essential recorded information
4. Orient and train staff members to ensure continuity and uniformity for an effective records program
5. Establish disposition authorities for OSTI-specific records, especially the DOE/OSTI Research and Development (R&D) Technical Report File (Scientific and Technical Information)
6. Transfer 30-year-old records with permanent retention to the National Archives
7. Transfer useful, but no longer current, records from costly office space to lower cost records-holding areas
8. Destroy records that have no further value in accordance with disposition authorities
9. Develop and implement the following plans: Rights and Interests Records Protection Program Plan, Emergency Operating Records Program Protection Plan, and Disaster Recovery Plan.

Requirements and References

The Records Management Program derives its authority from the regulations of the National Archives and Records Administration (NARA), DOE orders and guidance, and OSTI management requirements. Major drivers for the current records management initiative and plan are

- DOE/HQ Memorandum 11/12/91 "Site-Specific Disposition Scheduling"
- DOE/HQ Memorandum 12/04/91 "Site-Specific Records Inventorying and Scheduling Project"
- DOE/HQ Memorandum 12/31/91 "Site-Specific Records Disposition Schedules"
- DOE/HQ Memorandum 10/26/92 "Departmental Plan for Records Management"
- DOE/HQ Memorandum 2/24/93 "Records Management Planning Initiative"
- DOE 1324.2A Records Disposition
- DOE 1324.4A Micrographics Management
- DOE 1324.5A Records Management Program
- DOE 1324.6 Automated Office Electronic Recordkeeping

- DOE 1324.7A Departmental History
- DOE 1324.8 Rights and Interests Records Protection Program
- DOE 1430.1C Management of Scientific and Technical Information
- DOE 1430.3B Policy for the Dissemination of and Access to Departmental Unclassified Scientific and Technical Information
- DOE 5500.7B Emergency Operating Records
- DOE 5700.6C Quality Assurance

Numerous other regulations and guidelines for the management of federal records are referenced in the documents listed above.

Roles and Responsibility

The OSTI Records Management Program is managed, controlled, and administered by the Records Officer. The responsibility for maintenance and systematic disposition of files is at the working level (i.e., group, division, assistant directors', and director's offices) where they are created.

The Records Officer is responsible for administering and coordinating the Records Management Program; maintaining a centralized tracking system for the Records Management Program and for the consolidated records inventory; appraising unscheduled record and non-record material; preparing and submitting documentation for records disposition authorization to DOE's Records Management Division (RMD) and NARA; providing guidance and assistance to employees concerning any aspect of records management; identifying training needs and resources; providing training; submitting reports to the RMD as requested; coordinating use of all records-holding areas; and administering transactions between OSTI and the National Archives and Federal Record Center.

Line managers are responsible for assigning records custodians for each discrete organizational unit under their control; ensuring that staff members are trained; allocating adequate resources for staffing, training, and equipment; and ensuring that records are maintained in accordance with the Records Management Policy.

Employees are responsible for ensuring that any records they personally create, receive, store, or transmit are handled in accordance with the requirements of the Records Management policy.

Scope

The Records Management Plan provides for the uniform management of records related to OSTI's business. It encompasses the complete life cycle of records, including the creation, receipt, indexing, storage, retrieval, and ultimate destruction. Records at OSTI are maintained in a variety of formats including paper, electronic media, microform, and optical. Accordingly, the Records Management Program is based on record content rather than format.

Currently OSTI maintains unclassified, unclassified access limited, and classified records. Both active and inactive records are stored in records-holding areas serviced in part by an on-site contractor. The inventory of all OSTI records is complete. The largest record series managed by OSTI is the DOE Research and Development (R&D) Technical Report File (Scientific and Technical Information). Documents in this permanent retention collection that are 30 years old will be transferred to the National Archives when NARA approves the record schedule submitted in May 1991. Other record series will also be transferred to the National Archives and Federal Record Center as NARA approves submitted and soon-to-be submitted schedules.

Program Management

Organization

The Records Management Program is managed by Group Two of the Classification and Control Division (C/CD). The Records Officer is dedicated full time to records and forms management. The C/CD manager reports to the Information Science and Management Director who reports to the OSTI Director.

Implementation

This plan must be implemented to revitalize the OSTI records program and to reconcile the applicable findings by NARA in the 1988 evaluation. Implementation will be accomplished in the following sequential steps:

- Hire a Records Officer
- Provide records management training for all OSTI and on-site contractor employees
- Provide records management training as part of new employee orientation
- Include records management as part of the OSTI Federal Employee Check-Out Procedures for transferring or terminating employees
- Prepare written guidelines for program implementation
- Ensure that all OSTI offices are using the Standard Subject Classification System, DOE 0000.1A
- Conduct Records Storage Facility Study
- Inventory active/inactive record/non-record material
- Comply with Moratorium on Destruction of Epidemiologic Records (identify epidemiologic records during the inventory and record scheduling process)
- Reestablish the OSTI Records Management Commitee
- Prepare and submit records disposition schedules to DOE's Records Management Division for review and subsequent transmittal to NARA for approval
- Upon approval of schedules transfer 30-year-old records with permanent retention to the National Archives (see p. 5 for additional funding needs); transfer inactive temporary records to low-cost records-holding areas or to the regional Federal Record Center
- Prepare and implement a Rights and Interests Records Protection Program Plan
- Prepare and implement an Emergency Operating Records Protection Program Plan
- Prepare and implement a Disaster Recovery Plan
- Ensure that records are free of contaminants

Milestones

5/91 Submitted record schedule for the Unclassified Research and Development (R&D) Technical Report File

9/91 Hired Records Officer

11/91 Notified staff of the Moratorium on Destruction of Epidemiologic Records

12/91 Conducted Forms Inventory

1/92 Conducted Records Inventory and Disposition training for all OSTI and on-site contractor employees

1/92 Paper Recycling Program Implemented

8/92 Provided for on-site records training by NARA for eighteen staff members. Training Titles "Introduction to Records Management and Files Improvement" and "Managing Electronic Records"

2/92 Environmentally controlled microfilm vault completed

3/92 Microform collection moved to vault

5/92 Completed Record Storage Facilities Study

9/92 Offices not in compliance converted filing system to the Standard Subject Classification System, DOE 0000.1A

10/92 Completed inventory of active/inactive record/non-record material

Submitted the following record schedules for large volume record series:

9/92 OSTI's Publication History File
9/92 Energy Science and Technology Software Center Collection
4/93 Unclassified Access Limited Research and Development (R&D) Technical Report File
4/93 Classified Research and Development (R&D) Technical Report File

9/93 The administrative records are being evaluated with a goal to complete the schedules in FY 93

Implemented Prevention of Records Contamination

8/92 Implemented Radiation Monitoring Program
3/93 Orkin treatment of records-holding areas

5/93 Charter revised for Records Management Committee

10/93 Rights and Interests Records Protection Program Plan completed

10/93 Emergency Operating Records Protection Program Plan completed

11/93 Disaster Recovery Plan completed

RECORDS MANAGEMENT IMPROVEMENT INITIATIVES FUNDING COSTS
(Dollars in Thousands)

Site: Office of Scientific and Technical Information

I. Program Elements (Title)	FY 1993	FY 1994	FY 1995	FY 1996	FY 1997	FY 1998	FY 1999
A. DOE – Routine Operations – Special Projects	58	85	90	94	98	103	107
Subtotal	58	85	90	94	98	103	107
B. Contractor Support – Specify (Unclassified Vault and Archival Project 3.1fte)	112	116	119	123	126	130	134
Subtotal	112	116	119	123	126	130	134
C.* Other (Microfilming R&D Report Collection)			370	370	370	370	370
Subtotal	0	0					
Subtotal of A, B, C	170	201	579	587	594	603	611

*A contingency plan was prepared 2/93 for refilming the Research and Development Report File for transfer to NARA. The estimated cost for the five year project is $1,850,000. The need is dependent on NARA approving the report file schedule submitted in May 1991 and the type media acceptable to NARA. Therefore no budget request has been made.

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LET THE RECORD SHOW...

WHY BECOME A MEMBER OF ARMA?

We're the Association of Records Managers and Administrators, Inc., an international organization of over 11,000 professionals in the records and information management industry. We're dedicated to helping individuals, organizations and governments successfully meet the challenges of the increasingly complex records and information management field.

There are many reasons to join ARMA International, with personal growth and professional development being two of the primary motivations. You can sharpen skills in areas such as technical writing, research methods and public speaking, and get hands-on leadership experience available within the Association if you choose. You'll also be exposed to good records and information management practices that improve your corporate image, give you control over business situations and help you build an organized department within your company.

With over 140 chapters, ARMA International also works to:

- *Enhance professionalism in the industry by increasing visibility and credibility of our members and our profession.*
- *Provide the educational opportunities necessary to help our members stay current on the latest advances in records technology.*
- *Promote a scientific approach to solving records and information management problems.*
- *Encourage scholarly investigation within the records management profession.*
- *Provide networking opportunities and a forum for the exchange of information and innovations in the industry.*
- *Develop workable standards and practices for the industry, and act as a reliable source of guidance in records and information management.*

WHO BELONGS TO ARMA?

Our members work for a wide variety of businesses, organizations and governments in many aspects of records and information management including:

- *Records retention programs*
- *Records center operations*
- *Integrated office technology*
- *Administrative services*
- *Vital records protection*
- *Preservation of historical documents*
- *Information retrieval*
- *Files management*
- *Forms, reports and correspondence management*
- *Facilities management*
- *Teaching and research*
- *Litigation support*

WHAT DOES YOUR MEMBERSHIP IN ARMA INCLUDE?

Through chapter meetings, local seminars, a correspondence course and the Annual Conference, ARMA members have the resources needed to keep pace with this rapidly changing industry.

Discounted to ARMA members, these publications are available to you as a resource in the records management field.

Get to know others in your field who share the same challenges and concerns by networking in your local chapter as well as through the Association structure.

The Certified Records Manager designation is granted by the Institute of Certified Records Managers. ARMA members can receive guidance toward the ICRM process for this important accomplishment.

As the leading professional journal in the field, it's filled with articles and information on the growing records and information management industry.

The newsletter that keeps you up-to-date on Association activities and issues.

ARMA International works to improve legislation that affects the records and information industry.

Job placement services that link individuals with organizations looking for qualified records management employees.

ARMA members may serve on committees in their chapters and also participate in committees on the Association level which focus on education and scholarship, legislative and regulatory affairs, development of standards, etc.

Additionally, Industry Action Committees (IACs) bring together members working in specific industries, such as insurance, petroleum or transportation, to name a few. TACs, or Technical Applications Committees, provide networking opportunities for concentrating on technologies or disciplines such as bar coding, forms management and micrographics.

If you'd like more information or an application for membership, just call or write:

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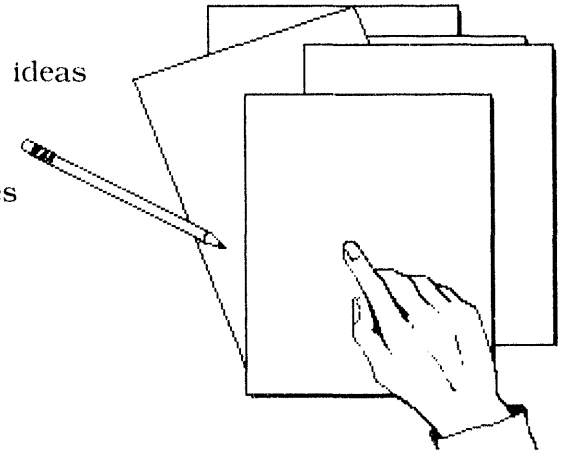

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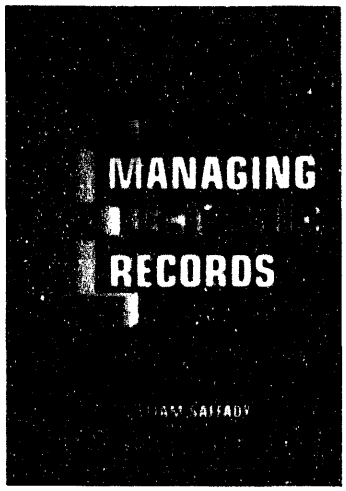
Managing Electronic Records

William Saffady

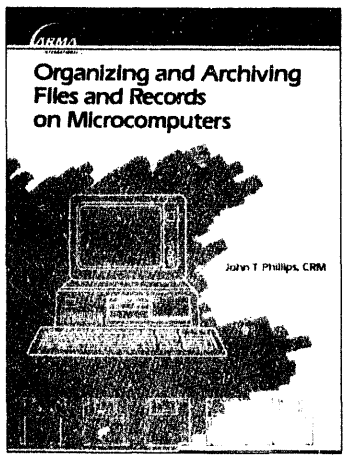


A new book about electronic records issues facing the records management specialist. This publication has been written to assist records managers in dealing with the proliferation of electronic records and provides a comprehensive discussion of records management concepts and methodologies as they apply to records which contain machine-readable information. Read about inventory methodology for electronic-based records, admissibility in evidence procedures for computer-generated records, media stability and system dependence issues, identification of vital electronic records threats and vulnerabilities, a risk analysis formula that calculates probable annual dollar loss, and much, much more.

ISBN: 0-93387-41-8
Hard cover, English, 184 pages, 1992
$29.00 members $35.00 nonmembers
Catalog No. A4539

Organizing and Archiving Files and Records on Microcomputers

John T. Phillips, Jr., CRM

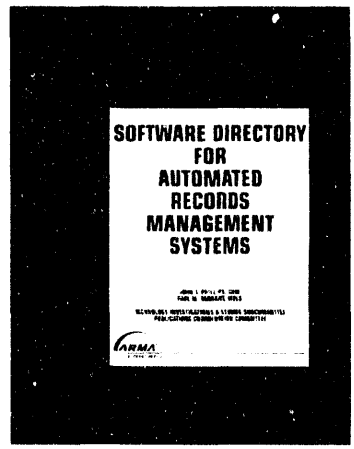


Professionals are increasingly faced with the task of managing, organizing, filing and storing electronic records created on microcomputers. This publication is intended to serve as an introductory guide for individual users of microcomputers. It does presuppose that the reader has a basic understanding of PC-DOS or MS-DOS operating systems. Chapters on managing electronic records, microcomputer operating environments, and software for managing microcomputer records are presented. A bibliography is provided as a reference.

ISBN: 0-933887-42-6
Soft cover, English, 84 pages, 1992
$32.00 members $40.00 nonmembers
Catalog No. A4549

Software Directory for Automated Records Management Systems (1992 Edition)

John T. Phillips, Jr., CRM, and Paul Tarrant



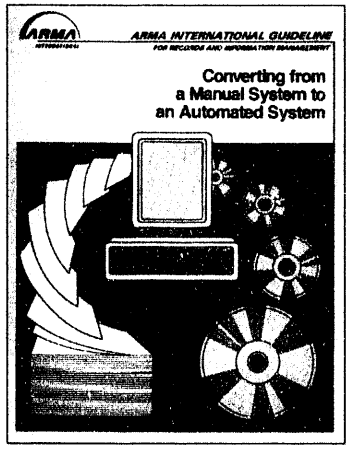
An updated version of the valuable resource on commercial records management software products. This directory is intended to aid records management professionals in locating systems or vendors that may be of interest to them in meeting their records management automation requirements. This edition provides new questions about graphical user interfaces in the Data Processing Architecture section. Contains information on 80 software packages provided by nearly 60 vendors. Selected cross-reference comparison charts enhance this publication.

ISBN: 0-933887-34-5
Soft cover, English, 382 pages, 1992
$33.00 members $45.00 nonmembers
Catalog No. A4568

See also:
Other new products, p. 2

Converting From a Manual System to an Automated System — A Guideline

ARMA International's Standards Subcommittee Automation Task Force



A companion to "Criteria for Developing/Evaluating Records Management Software," this guideline is intended to provide strategic direction to the conversion process when automating a manual system. Topics covered are the decision to automate; conversion planning; software and hardware selection, installation and testing; data entry and conversion; training; outside resources; and long term considerations. Includes definitions and sample forms.

ISBN: 0-933887-44-2
Soft cover, English, 15 pages, 1992
$21.00 members $26.00 nonmembers
Catalog No. A4548

Proceedings of the 37th ARMA International Annual Conference, 1992

From "Critical Success Factors for Optical Disk Implementation" to "Cost Savings Today - Success in Records Management Tomorrow," the 69 papers presented in this annual proceedings book will sure to be of enlightenment to those that could not attend the 37th Annual Conference in Detroit, Michigan. Use this book with audio tapes of the sessions to enrich your knowledge on the subject presented. See information on page 11 on how to order conference tapes.

ISBN: 0-933887-43-4
Soft cover, English, 816 pages, 1992
$50.00 members $60.00 nonmembers
Catalog No. A4580

See also other new products being distributed by ARMA International:

- Optical Storage Technology: A State of the Art Review ..... page 4
- Electronic Document Imaging Systems: Design, Evaluation, and Implementation ..... page 5
- Micrographics and Optical Storage Equipment Review ..... page 6
- Optical Disk vs. Micrographics as Document Storage and Retrieval Technologies ..... page 6
- Legal Requirements for Microfilm, Computer and Optical Disk ..... page 8
- Commonwealth Film Videos ..... page 10
- A Selected and Annotated Bibliography on Business Archives and Records Management ..... page 14
- Society of American Archivists Archives Books ..... page 16
- Association for Information and Image Management Standards ..... page 19

Filing Procedures — A Guideline

ARMA International's Standards
Filing Systems Subcommittee

This publication is a guideline of manual filing procedures for active paper records, magnetic media, and microimage media. Recommended as a reference for storing and retrieving active records, this guideline provides procedures for preparing records for filing after selections of the filing and coding methods have been determined. Also includes a bibliography, glossary and an index.

ISBN: 0-933887-33-7
Soft cover, English, 26 pages, 1989.
$20.00 members $28.00 nonmembers
Catalog No. A4532

Active Filing for Paper Records

Dr. Ann Bennick, CRM

"Active Filing for Paper Records" focuses on three basic topics related to the management of paper records; file systems development, filing equipment, and filing supplies. Implementation and conversion procedures are presented within the context of systems development techniques and, where appropriate, as they relate to a discussion of specific procedures, equipment, or supplies.

Included are 77 paper transparency masters designed to aid the instructor presenting the material in a classroom environment.

ISBN: 0-933887-30-2
Soft cover, English, 43 pages, 1989.

Book including 77 paper transparency masters.
$33.00 members $43.00 nonmembers
Catalog No. A4523

77 color slides only.
$60.00 members $75.00 nonmembers
Catalog No. A4524

Book including 77 paper transparency masters, plus 77 color slides.
$90.00 members $110.00 nonmembers
Catalog No. A4522

Alphabetic Filing Rules

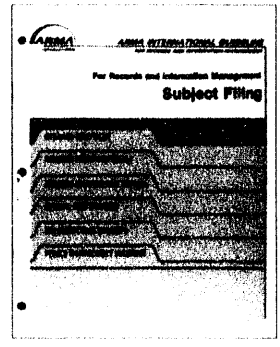
ARMA International's Standards
Filing Systems Subcommittee

This publication is accredited as an American National Standard by the American National Standards Institute (ANSI). It is an authoritative treatment of standard rules for alphabetical filing with each rule described and illustrated in detail. The standard is designed with space to check or annotate each rule used. This allows for documenting filing decisions to ensure consistency in filing. Includes appendices, bibliography, index.

ISBN: 0-933887-00-0
Soft cover, English, 40 pages, 1986.
$15.00 members $20.00 nonmembers
Catalog No. A4511

Subject Filing — A Guideline

ARMA International's Standards
Filing Systems Subcommittee

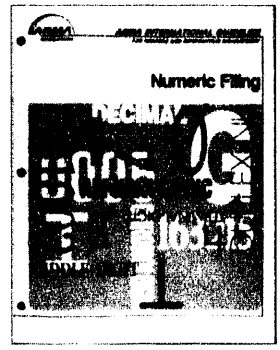


"Subject Filing" is the guide to the selection and design of a subject filing system. The basic premise is that the purpose of filing is easy retrieval of information; therefore, a standardized, well-documented system is necessary. Included are sections on dictionary and encyclopedic filing system arrangements, coding systems (alphabetic, decimal-numeric, duplex-numeric and block-numeric), types of indices and cross-referencing procedures. Also includes an appendix with sample records analysis and inventory forms, a bibliography, and definitions.

ISBN: 0-933887-29-9
Soft cover, English, 47 pages, 1988.
$25.00 members $35.00 nonmembers
Catalog No. A4546

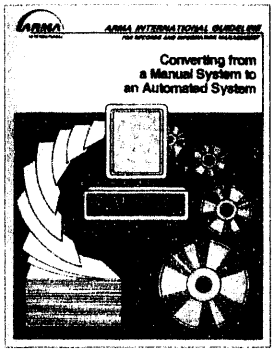
Numeric Filing — A Guideline

ARMA International's Standards
Filing Systems Subcommittee



A guide to selection and design of numeric filing systems. Advantages and disadvantages of consecutive, middle-digit, terminal-digit, chronologic, decimal, duplex-numeric, and block-numeric filing systems are discussed and examples are depicted. A section on indexing includes the types of indices that one might consider and select for a particular system. Includes appendices, bibliography and index.

ISBN: 0-933887-32-9
Soft cover, English, 14 pages, 1989.
$18.00 members $28.00 nonmembers
Catalog No. A4531

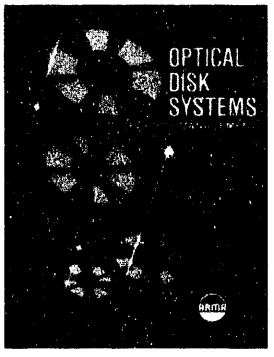


Converting From a Manual System to an Automated System — A Guideline

ARMA International's Standards Subcommittee Automation Task Force

A companion to "Criteria for Developing/Evaluating Records Management Software," this guideline is intended to provide strategic direction to the conversion process when automating a manual system. Topics covered are the decision to automate; conversion planning; software and hardware selection, installation and testing; data entry and conversion; training; outside resources; and long term considerations. Includes definitions and sample forms.

ISBN: 0-933887-44-2
Soft cover, English, 15 pages, 1992
$21.00 members $26.00 nonmembers
Catalog No. A4548



Criteria for Developing/Evaluating Records Management Software

ARMA International's Standards Records Management Software Subcommittee

A companion to the popular "Software Directory for Automated Records Management Systems," this publication will aid the records professional in the development and/or evaluation of a software package for automating records management functions. While this publication does not cover detailed applications, it is intended to provide basic information necessary to determine whether to convert to computerization. Included is information on the selection of a software package by defining applications and reviewing software features.

ISBN: 0-933887-37-X
Soft cover, English, 10 pages, 1990.
$16.00 members $26.00 nonmembers
Catalog No. A4518

Optical Storage Technology: A State of the Art Review (1992 Edition)

William Saffady

Written for those responsible for the evaluation, planning, and implementation of optical information systems for data and document storage, this annual report emphasizes products introduced in the year since the publication of previous editions.

ISBN: 0-88736-759-3 (Meckler)
Soft cover, English, 219 pages, 1992
$52.00 members $62.00 nonmembers
Catalog No. B4304

Software Directory for Automated Records Management Systems (1992 Edition)

John T. Phillips, Jr., CRM, and Paul Tarrant

An updated version of the valuable resource on commercial records management software products. This directory is intended to aid records management professionals in locating systems or vendors that may be of interest to them in meeting their records management automation requirements. This edition provides new questions about graphical user interfaces in the Data Processing Architecture section. Contains information on 80 software packages provided by nearly 60 vendors. Selected cross-reference comparison charts enhance this publication.

ISBN: 0-933887-34-5
Soft cover, English, 382 pages, 1992
$33.00 members $45.00 nonmembers
Catalog No. A4568

Optical Disk Systems for Records Management

William Saffady

This publication is designed for records managers, office automation specialists, systems analysts, archivists and other information processing professionals who want an understanding of optical disk technology and its applications to document storage and retrieval.

"Optical Disk Systems for Records Management" is divided into two parts. Section One provides an overview of optical disk technology. It defines the various types of storage media and briefly reviews their records management significance. Section Two provides a detailed discussion of optical filing systems, computer-based hardware and software configurations which store digitized document images on optical disks for on-demand retrieval. The discussion emphasizes characteristics which influence the evaluation and selection of optical filing systems for records management applications.

ISBN: 0-933887-26-4
Soft cover, English, 56 pages, 1988.

Book including 61 paper transparency masters, plus 61 color slides.
$105.00 members $125.00 nonmembers
Catalog No. A4536

Book including 61 paper transparency masters.
$35.00 members $45.00 nonmembers
Catalog No. A4537

61 color slides only.
$80.00 members $90.00 nonmembers
Catalog No. A4538

Managing Electronic Records

William Saffady

A new book about electronic records issues facing the records management specialist. This publication has been written to assist records managers in dealing with the proliferation of electronic records and provides a comprehensive discussion of records management concepts and methodologies as they apply to records which contain machine-readable information. Read about inventory methodology for electronic-based records, admissibility in evidence procedures for computer-generated records, media stability and system dependence issues, identification of vital electronic records threats and vulnerabilities, a risk analysis formula that calculates probable annual dollar loss, and much, much more.

ISBN: 0-93387-41-8
Hard cover, English, 184 pages, 1992
$29.00 members $35.00 nonmembers
Catalog No. A4539

CD-ROM Technology for Information Managers

Ahmed M. Elshami

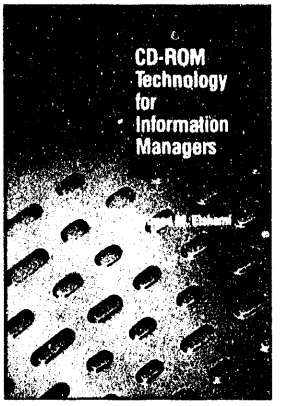
Optical storage technology is demystified in this early written introduction for information specialists. The author explains the technology behind the different types of optical discs, their capabilities, and applications. Included in this publication are how to automate the CD-ROM workstation to access different products; steps of producing a CD-ROM disc; CD-ROM hardware; Microsoft Disc Operating Systems Extensions; multi-access and local area networks (LANs); and the difference between CD-ROM and online services, COM, WORM, erasable media, and magnetic media. Also included are appendixes listing more than 450 CD-ROM products.

ISBN: 0-8389-0523-4 (American Library Association)
Soft cover, English, 280 pages, 1990.
$40.00 members $45.00 nonmembers
Catalog No. B4571

See also: Guidelines/Standards/ Technical Reports, p. 18

Electronic Document Imaging Systems: Design, Evaluation and Implementation

William Saffady

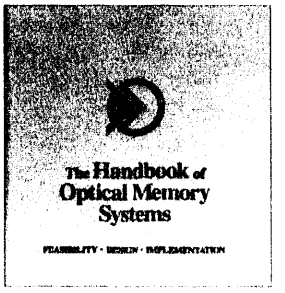


This textbook survey of electronic document imaging is written from the standpoint of the application specialist who must understand the technology's appropriateness for specific business situations. Emphasis is placed on clear definitions of terminology and concepts, descriptions of specific system components, and delineation of systems design issues which affect the selection and evaluation of hardware and software in specific business situations.

ISBN: 0-88736-840-9 (Meckler)
Soft cover, English, 170 pages, (available in early 1993)
$42.00 members $52.00 nonmembers
Catalog No. B4301

The Handbook of Optical Memory Systems

Peter Waegemann



The resource for planning future information systems. Describes all technical aspects of optical disks, as well as feasibility studies, evaluations, legality, conversion and systems design. Sections include: Understanding Optical Memory Systems, Technology Overview, Systems Evaluation, Technical Descriptions, Systems Preparation, Data Communications, Training, Integration of Optical Memory Systems with Traditional Systems, Optical Disk System Management, and Listings of OD Vendors and Consultants.

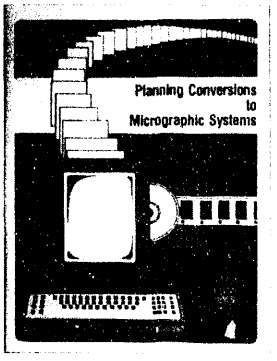
ISBN: 0-9621815-1-X (Optical Disk Institute)
Binder, English, 506 pages, 1990.
$195.00 members* $220.00 nonmembers*
(Price includes annual update service.)
Catalog No. B4572

Organizing and Archiving Files and Records on Microcomputers

John T. Phillips, Jr., CRM

Professionals are increasingly faced with the task of managing, organizing, filing and storing electronic records created on microcomputers. This publication is intended to serve as an introductory guide for individual users of microcomputers. It does presuppose that the reader has a basic understanding of PC-DOS or MS-DOS operating systems. Chapters on managing electronic records, microcomputer operating environments, and software for managing microcomputer records are presented. A bibliography is provided as an additional reference.

ISBN: 0-933887-42-6
Soft cover, English, 84 pages, 1992
$32.00 members $40.00 nonmembers
Catalog No. A4549



Planning Conversions to Micrographic Systems

Daniel A. Brathal and Dr. Mark Langemo, CRM

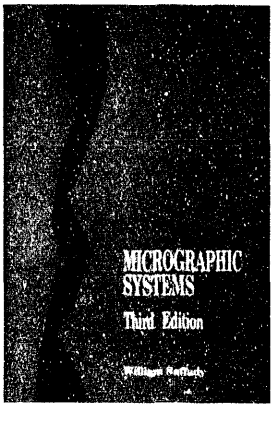
"Planning Conversions to Micrographic Systems" is an introductory overview and guide on converting paper filing systems to micrographic systems. The book also serves as a script for accompanying paper transparency masters or color slides. It includes general information on the advantages and applications of each microform and a section on in-house operations vs. service bureaus. The material focuses on explaining the basic concepts of micrographics and on the fundamental planning processes essential for effective conversions of paper records to appropriate forms of microfilm.

ISBN: 0-933887-19-1
Soft cover, English, 62 pages, 1987.

Book including 51 paper transparency masters, plus 51 color slides.
$60.00 members $80.00 nonmembers
Catalog No. A4556

Book including 51 paper transparency masters.
$30.00 members $40.00 nonmembers
Catalog No. A4557

51 color slides only.
$35.00 members $45.00 nonmembers
Catalog No. A4558



Micrographic Systems

William Saffady

This third edition of an industry classic is an excellent treatise on micrographics technology and related applications. It is an ideal introduction for the beginner and a good refresher for the more experienced user. Read about equipment, cost analysis, the relationship of micrographics to other information management technologies, and more. In a readable style it explains the characteristics and advantages of micrographics as a viable information technology for the 1990's.

ISBN: 0-89258-190-5 (AIIM)
Hard cover, English, 242 pages, 1990
$32.00 members $37.00 nonmembers
Catalog No. B4577

Micrographics and Optical Storage Equipment Review (1992 Edition)

William Saffady

An annual publication providing in-depth reviews and tutorials on both new micrographics and optical storage equipment with library and information management applications.

ISSN: 0-882-3294 (Meckler)
Soft cover, English, 170 pages, (available in late 1992)
$198.00 members $208.00 nonmembers
Catalog No. B4302

Optical Disk vs. Micrographics as Document Storage and Retrieval Technologies (2nd Edition)

William Saffady

Provides a detailed comparison of micrographics and optical disks as document storage and retrieval technologies. The book emphasizes the comparative relationship between micrographics and optical disks and analyzes factors which may promote or limit the utility of one or the other technology in specific situations.

ISBN: 0-88736-345-8 (Meckler)
Soft cover, English, 110 pages, 1992
$52.00 members $63.00 nonmembers
Catalog No. B4303

See also:
Guidelines/Standards/
Technical Reports, p. 18

Legality of Microfilm

Edited by Robert F. Williams

A comprehensive legal research study on the laws and regulations covering the admissibility of microfilm in U.S. court actions and government regulatory proceedings. Includes: Introduction to Law, defining the four types of laws and a basic explanation of the functions of statutes, judicial decisions, and administrative regulations; a complete update of U.S. federal laws with exact wording and important legal citations; an analysis of U.S. state laws with exact reprints of actual laws and complete legal citations; a summary of over 40 U.S. federal regulatory authorities with microfilm rules; a special section on U.S. state insurance commissions requirements for microfilm submission; and a unique ""how-to-do" implementation section.

Binder, English, 552 pages. (Cohasset Associates)
$210.00 members or nonmembers*
Price includes annual update.
For shipment outside the U.S., Canada, or Puerto Rico, add $80.00 in U.S. dollars.
Catalog No. B4521

Legality of Optical Storage

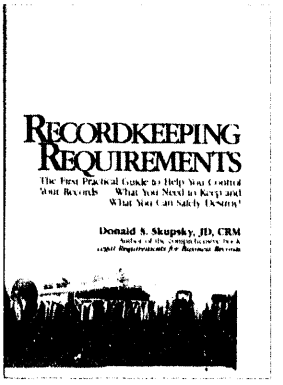
Edited by Robert F. Williams

A comprehensive legal research study on the laws and regulations covering the admissibility of optically stored records in court actions and government regulatory proceedings. An essential reference book for anyone using, or planning to use, optical disks. Organized into ten sections as follows: An Overview; Executive Summary; Optical Storage Technology Definition; Identification and Review; Introduction to the Law and Optical Storage Systems; Legal Basis of Optical Storage; Federal Laws; State Laws; State Insurance Regulations; Federal Agency Regulations; Guidelines to Improve Legal Acceptance of Optical Storage Technology. Designed to be updated annually to keep subscribers informed of the latest available information.

Binder, English, 320 pages. (Cohasset Associates)
$240.00 members or nonmembers*
For shipment outside the U.S., Canada, or Puerto Rico, add $80.00 in U.S. dollars.
Price includes annual update.
Catalog No. B4574

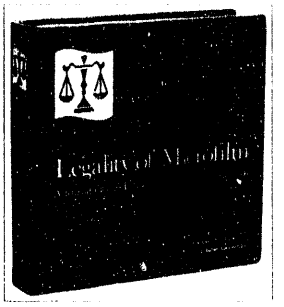
Recordkeeping Requirements

Donald S. Skupsky, JD, CRM



This book provides most organizations with the information they need to determine their recordkeeping requirements. Requirements for general business activities such as tax, employment, contracts, litigation, etc. are covered in great depth. Provides a simplified listing and retention period for more than 400 common business records. It covers computer and microfilm records and how these technologies stand up in court. Intended for small and medium sized organizations, "Recordkeeping Requirements" is presented in non-technical, laymen's language with detailed appendixes containing the full text of key statutes, regulations and summary charts for many other state requirements.

ISBN: 0-929316-18-5 (Information Requirements Clearinghouse)
Hard cover, English, 323 pages, 1991.
$28.00 members $33.00 nonmembers
Catalog No. B4562

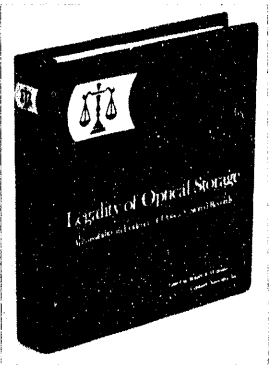


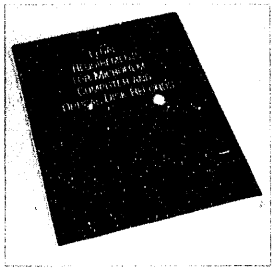
Records Retention Procedures

Donald S. Skupsky, JD, CRM

In today's litigious society, records problems could spell disaster to your organization. Records that could and should be destroyed in the regular course of business are routinely subpoenaed and introduced in evidence to support the claims of your adversaries. Some adversaries manipulate records and take information out of the context to portray misconduct or legal liability. Organizations waste millions of dollars rummaging through valueless records in litigation to support a claim, or ultimately to turn the records over to the other party. The process of determining how long to keep records consists of both a methodology and technical records retention information. This book addresses general records retention procedures using the "Skupsky Retention Method."

ISBN: 0-929316-03-7 (Information Requirements Clearinghouse)
Soft cover, English, 178 pages, 1991.
$42.00 members $47.00 nonmembers
Catalog No. B4563



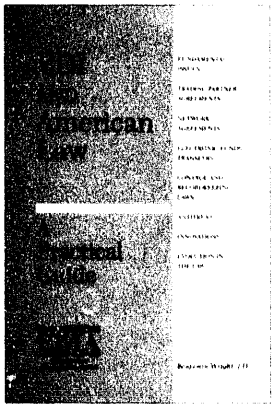


Legal Requirements for Microfilm, Computer and Optical Disk Records

Donald S. Skupsky, JD, CRM

When an organization develops an advanced records system utilizing technologies such as microfilm, computer, and optical disk, legal questions can be expected. Will courts permit their use? Can the original records be destroyed after they have been reproduced? When a regulation specifies the creation of particular records, must a particular form of the record be used? This book was written primarily to end the guesswork. You can now refer to the text as well as to the extensive appendix to review the laws. You can now design systems that comply with the law.

ISBN: 0-929316-04-5 (Information Requirements Clearinghouse)
Soft cover, English, 382 pages, 1991
$64.00 members $74.00 nonmembers
Catalog No. B4305

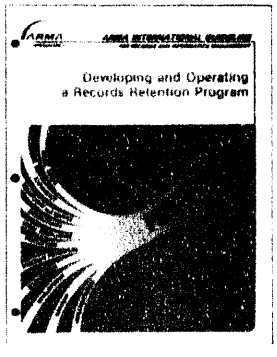


Records Retention Guidelines for U.S. Based Telephone Companies

ARMA International's Communications Industry Action Committee

On August 22, 1986, the U.S. Federal Communications Commission (FCC), primary regulator for the communications industry, released a Report and Order to revise Title 47, Part 42, Preservation of Records of Communications Common Carriers. As a result of comments by communications common carriers, the FCC eliminated specific records retention requirements for some 700 categories of records. However, the FCC still requires each carrier to maintain a master index of all records retained and this index is subject to review by the Commission staff. ARMA International's Communications IAC determined that the use of a common retention scheduling aid would lessen the possibility of an unfavorable review by the FCC. As a result of a cooperative effort of members from former "Bell System" and independent companies, this retention guideline was developed. Featured in the publication are U.S. federal and state requirements for records maintained by U.S. based telephone companies. The research was developed and compiled as of April 20, 1990.

ISBN: 0-933887-35-3
Soft cover, English, 160 pages, 1990.
$15.00 members $20.00 nonmembers
Catalog No. A4569



EDI and American Law: A Practical Guide

Benjamin Wright, JD

EDI is electronic data interchange, the computer-to-computer exchange of business data. Five to seven thousand corporations in the U.S., Canada, Europe and the Pacific Rim now use EDI to communicate purchase orders, bills of lading, letters of credit, and other transactions. EDI is used to form electronic contracts. The absence of paper documentation raises evidence, statute of frauds, tax, internal control, and other legal issues. Records and information specialists will find this book is important because it describes EDI in non-technical terms, explains in layman's language the fundamental evidence law issues raised by EDI, identifies many of the records retention laws affected by EDI implementation, and sets forth practical strategies for addressing EDI's records retention issues.

ISBN: 0-9623875-0-9 (EDIA)
Soft cover, English, 114 pages, 1989.
$60.00 members $70.00 nonmembers
Catalog No. B4565

Developing and Operating a Records Retention Program — A Guideline

ARMA International's Standards Record Retention Subcommittee

Program principles, staff and management structure and program development strategies are outlined. The book highlights how to determine records retention periods and obtain approval for retention schedules and procedures; how to establish a records retention program in litigation; how to determine a record's value and develop appropriate destruction procedures.

Eight appendices contain samples of policy statements, inventory forms, retention worksheets, destruction authorization forms, legal requirements index, and manual and automated retention schedule forms. Also includes a glossary and bibliography.

ISBN: 0-933887-18-3
Soft cover, English, 86 pages, 1986.
$20.00 members $25.00 nonmembers
Catalog No. A4520

Magnetic Diskettes Recovery Procedures — A Guideline

ARMA International's Standards Disaster Recovery Subcommittee

Small but packed with practical, how-to information, this guideline focuses on recovery procedures for magnetic diskettes. Its information is based on successful diskette recovery efforts following a flash flood in Cheyenne, Wyoming, in 1985, updated to reflect the latest technology. This guideline disseminates technical concepts and instruction in a practical, step-by-step process with procedures that can be applied to any diskette damaged by any type of water-soluble contaminants. Details the four phases of recovery: assessment, stabilization, restoration and relocation.

ISBN: 0-933887-21-3
Soft cover, English, 9 pages, 1987.
$15.00 members $20.00 nonmembers
Catalog No. A4544

Disaster Prevention and Recovery: A Planned Approach

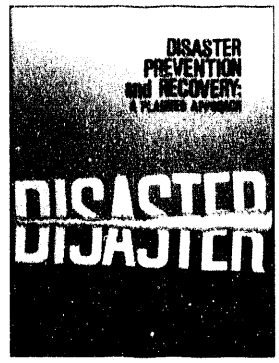
Susan L. Bulgawicz, CRM, and Dr. Charles E. Nolan, CRM

This publication presents the key suppositions, concepts, elements, practical considerations, benefits, and steps that go into sound disaster prevention and recovery planning. The applications of this theory and accompanying examples provide a framework for a records manager to develop his or her company-wide disaster plan.

The book is divided into four main sections plus appendices. Section A examines the basic theoretical concepts and presuppositions on which an information plan is built. Section B deals with the disaster prevention part of the plan — key concepts, planning, checklists, implementation, audit/testing, and activation. Section C treats the disaster recovery portion of the plan. Section D includes the benefits of and general conclusions about an information disaster plan. Three appendices provide a glossary; model letters, forms and checklists; and suggested introductory readings.

ISBN: 0-933887-28-0
Soft cover, English, 79 pages, 1988.
$27.00 members $37.00 nonmembers
Catalog No. A4530

The Inside Track to Disaster Recovery



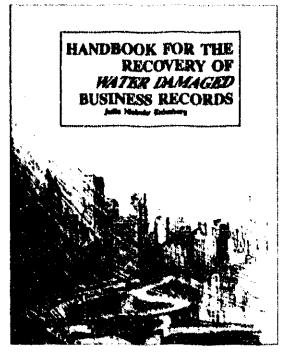
An exceptionally informative video training aid showing documented recovery and salvaging of essential business records from natural disasters, primarily from flooding. Highlights the utilization of existing and developing technologies to recover paper documents, books, microfilm and magnetic media.

This presentation is the culmination of recovery activities utilized in four separate disasters which occurred in 1985. In each disaster the techniques and methodology were effectively implemented to achieve a 98 percent recovery of all damaged records. The video stresses that professional assistance is available to assist in restoration efforts.

VHS cassette (1/2 inch), 13 minutes, 1986.
$32.00 members $47.00 nonmembers
Catalog No. A4503

Handbook for the Recovery of Water Damaged Business Records

Julia Niebuhr Eulenberg



Disaster recovery guidelines for the entire spectrum of records found in today's office, including paper, magnetic media, micrographics, Mylar®, etc., are covered in this Handbook. The focus is on recovery of records that have sustained water damage, but there is also information on dealing with certain aspects of fire and smoke damage as well as chemical contamination. Includes appendices on disaster supplies required, structure and responsibility of a disaster recovery team, sources for professional advice and assistance, and recovery periods for magnetic media, photographic materials, and paper. With glossary and index as well.

ISBN: 0-933887-17-5
Soft cover, English, 53 pages, 1986.
$18.00 members $23.00 nonmembers
Catalog No. A4529

Vital Records — A Guideline

ARMA International's Standards Vital Records Subcommittee

This guideline reviews procedures that have proven to be effective in the development of a vital records program. Includes organization, implementation, selection and analysis, methods of protection, and general administration.

Includes 10 pages of annotated bibliography on vital records, disaster planning and recovery topics. Plus exhibits and a glossary.

ISBN: 0-933887-14-0
Soft cover, English, 61 pages, 1984.
$12.00 members $17.00 nonmembers
Catalog No. A4543

Back in Business: Disaster Recovery/Business Resumption

This new video vividly dramatizes for employees at every level how proper planning, testing, and readiness -- along with diligent employee compliance with in-house records management policy — can mean the difference between "life or death" for an organization should a "disaster" strike. Covers "everyday" emergencies as well as major disasters. Addresses critical records on paper and electronic media, records retrieval, DP recovery, back-ups, off-site facilities, records management, and more. Essential viewing designed to raise organization-wide awareness and increase management's support for responsible, comprehensive records management policies. *(26 minutes)*
Catalog No. B4350

Locking the Door

Computer Security

Called the "best video ever made about computer security," this award winning classic is particularly popular with management. By covering some of the most pervasive kinds of security breaches, it drives home the message that data and hardware need to be protected like any other corporate asset. *(20 minutes)*
Catalog No. B4351

Invasion of the Data Snatchers

Computer Security

Designed for the broadest spectrum of PC and mainframe users, this award-winning video uses an entertaining and memorable detective "comic strip" format to cover five common "cases" of computer security lapses, ranging from user risky behavior to easy-to-decipher passwords and electronic "prowlers," sloppy "housekeeping," and more. *(20 minutes)*
Catalog No. B4352

Virus: Prevention, Detection, Recovery

This information-packed video is *the* computer virus awareness and protection video for the 1990's — one that can help your entire organization avoid the havoc that viruses and other malicious code can wreak. In clear, non-technical terms, this state-of-the-art video illustrates how viruses and other malicious code work and outlines practical, proactive steps every computer user can take to help identify the presence of viruses, help minimize their often crippling effects, and guard against reinfection. In today's corporate world, "Virus" should be an integral component of every comprehensive records management awareness-raising initiative. *(22 minutes)*
Catalog No. B4353

Under Wraps

Information Security

This video raises organization-wide awareness of the importance of preventing sensitive, proprietary, or confidential information of all kinds from leaking to outsiders and unauthorized insiders who have no need — or right — to know. It illustrates how written, verbal, computer, and other corporate information and data is *vulnerable* and can be extremely *valuable* in the wrong hands. *(19 minutes)*
Catalog No. B4354

Mum's the Word: PC & LAN Data Security

This memorable, information-packed award-winner highlights the particular vulnerability of PCs, LANs, and lap-tops and covers important PC/LAN-specific issues such as diskette security, back-up procedures, viruses, untested software, and much more. *(20 minutes)*
Catalog No. B4355

Buried Alive

Document Retention, Destruction, and Records Management

This Commonwealth "blockbuster," already in place at thousands of organizations, delivers the powerful message to employees at all levels that correct retention and records management procedures are vital and that the consequences of non-compliance can be staggering. Based on actual cases and created in consultation with top experts in records management and litigation, the video shows how and why documents should be systematically retained and/or destroyed and covers 23 legal, financial, and operational consequences of non-compliance. A records management "staple." *Special ARMA version available to members. (23 minutes)*
Catalog No. B4356

We Lost Control: Illegal Software Duplication

"Software piracy" has become an important issue for records management professionals. Employees at all levels need to understand the "rules" of software license agreements as well as the stiff penalties for non-compliance. This engaging new video stresses the need for a comprehensive in-house policy backed up with training, software usage tracking, and a commitment from every employee to comply. *(16 minutes)*
Catalog No. B4357

Write Now/Pay Later

Responsible Document Writing

An effective companion to "Buried Alive," this award-winning video dramatically illustrates how wording within documents (or retained within recordings and other media) that is unclear, misleading, incorrect, or otherwise provocative can be disastrous when interpreted months or even years later by outside sources or in court. *(27 minutes)*
Catalog No. B4358

All of these Commonwealth Films videos are available for purchase, preview evaluation, and rental. Receive a 10% ARMA-member discount when you order.

Purchase: $472.50* ($525.00 regular minus 10% ARMA discount) Additional discounts for multiple purchases.

Preview: $40.50* ($45.00 regular minus 10% ARMA discount) Applicable toward purchase price.

Rental: $135.00* ($150.00 regular minus 10% ARMA discount) Three-day rental.

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Please specify Purchase/Preview/Rental and Video Format (VHS, Beta, 3/4") within "title/description" section of order form.

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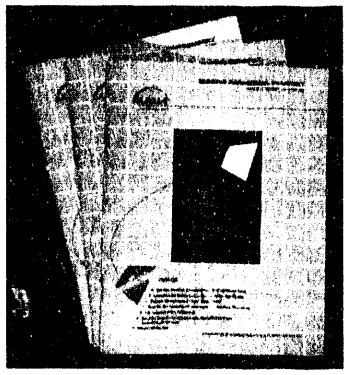

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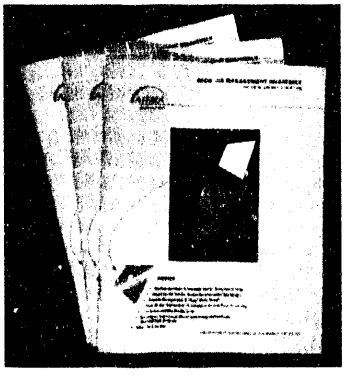

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Proceedings of the 37th ARMA International Annual Conference, 1992

From "Critical Success Factors for Optical Disk Implementation" to "Cost Savings Today — Success in Records Management Tomorrow," the 69 papers presented in this annual proceedings book will sure to be of enlightenment to those that could not attend the 37th Annual Conference in Detroit, Michigan. Use this book with audio tapes of the sessions to enrich your knowledge on the subject presented. See information below on how to order conference tapes.

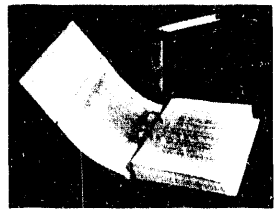
ISBN: 0-933887-43-4
Soft cover, English, 816 pages, 1992
$50.00 members $60.00 nonmembers
Catalog No. A4580

Proceedings of the 36th ARMA International Annual Conference, 1991

This two volume set is a timeless collection of papers presented at the ARMA International Annual Conference held in September, 1991 in Orlando, Florida. Among the subjects of the papers are: introduction to optical disk, engineering documents stored on optical disk, cost effectiveness of using off-site records storage, planning and developing a records center, records management and risk management, determining records classification and appraisal, and records management's role in litigation.

ISBN: 0-933887-39-6
Soft cover, English, 447 pages (Vol. 1) and 505 pages (Vol. 2), 1991
$50.00 members $60.00 nonmembers
Catalog No. A4578

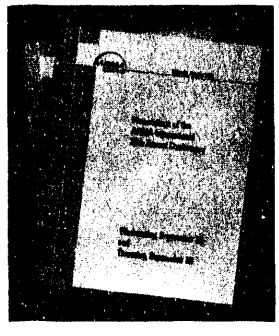
Proceedings of the 35th ARMA international Annual Conference, 1990



Handsomely bound in a special two-ring Eurofile binder, this volume of the Proceedings of the 35th Annual Conference contains 70 papers of presentations given by speakers in San Francisco. Each paper highlights timely issues relevant to the records and information management specialist. From technology issues to personal professional development techniques, you're sure to find this volume to be of use in your daily activities.

ISBN: 0-933887-36-1
Binder, English, 918 pages, 1990.
$40.00 members $50.00 nonmembers
Catalog No. A4579

Proceedings of the 33rd ARMA International Annual Conference, 1988



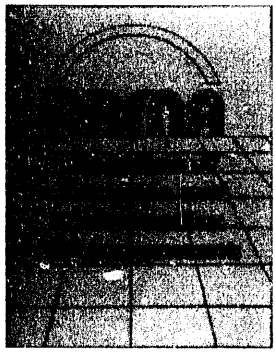
A compilation of 27 articles presented by speakers at the 33rd ARMA International Conference held in Baltimore, Maryland, on October 3-6, 1988.

Some of the topics included are: preparing for the CRM examination; choosing records management software; bar codes; procedures for writing strategic plans and proposals; space planning for file rooms; making performance appraisals work for you; how to prepare a company-wide information disaster plan; writing the corporate records management manual; retention scheduling and the inventory/interview tasks; and some industry-specific articles.

ISBN: 0-933887-27-2
Soft cover, English, 358 pages, 1988.
$30.00 members $40.00 nonmembers
Catalog No. A4581

ARMA Annual Conference Audiotapes

These tapes cover sessions presented at the 1992 Detroit Conference. Topics include imaging technology, disaster recovery planning, vital records programs, motivating staff, filing systems for paper records, litigation support, outsourcing, micrographics operations, and compliance audits. ARMA audiocassettes are taped "live." They are an excellent way to "attend" a session you missed or to use as "electronic" notes to reinforce your learning experience. For further information, call Profession Programs, Inc. in North Hollywood, California, at 818/764-7087 and request the ARMA Conference tape order form.



Overview of Records and Information Management

Dr. Mark Langemo, CRM, and Dr. Roger J. Bloomquist

"Overview of Records and Information Management" is an educational aid for records managers, academics and training specialists. The material focuses on the basic concepts and techniques that can be utilized to harness today's vast quantity of information and paperwork and to implement a cohesive records management program.

These learning aids are also available: pulsed audio cassettes; paper transparency masters and color slides illustrating records creation and control, records retention, vital records, micrographics and career opportunities.

ISBN: 0-933887-16-7
Soft cover, English, 46 pages, 1985.

Book including 73 paper transparency masters, 3 audio cassettes, plus 73 color slides.
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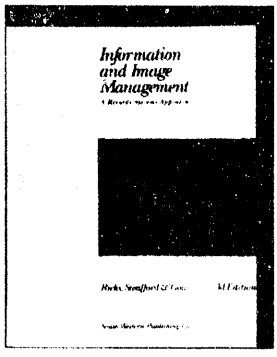
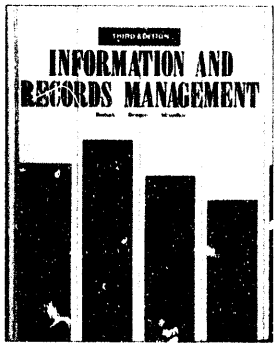


Information and Records Management

Mary E. Robek, CRM, Gerald F. Brown, CRM, and Wilmer O. Maedke, CRM

In its third edition, "Information and Records Management" is the comprehensive textbook on records and information. The book is divided into five parts featuring sections on systems analysis; the records inventory; retention and disposition; vital records protection; micrographic systems and feasibility studies; records center operations; forms, correspondence, reports, directives, and reprographics management; and records management manuals. This edition also emphasizes electronic information management systems by explaining the technology and procedures of electronic filing.

ISBN: 0-02-820590-1 (Glencoe)
Hard cover, English, 580 pages, 1987.
$32.00 members $37.00 nonmembers
Catalog No. B4570



Records Management Handbook

Ira A. Penn, CRM, CSP, Anne Morddel, Gail Pennix, CRM, and Kelvin Smith

Information is one of the most vital resources of any organization. In order for a company to operate efficiently and economically, it must know how to control its information. And it's up to the records manager to understand this enormous task.

"Records Management Handbook" is packed full of practical advice on protecting vital records, archives administration, records appraisal, storage and technical services, reporting systems, future trends and opportunities, staffing, inventories, classification, troubleshooting, disaster recovery and insurance salvaging. This comprehensive book places the records management function within a framework of the ""information life cycle" and explores the entire spectrum of management — from the study of active records through records scheduling and archival appraisal to a comprehensive classification system.

ISBN: 0-566-05666-6 (Ashgate)
Hard cover, English, 249 pages, 1989.
$60.00 members $70.00 nonmembers
Catalog No. B4573

Information and Image Management: A Records Systems Approach

Betty R. Ricks, Ann J. Swafford and Kay F. Gow

This is the third edition to the popular "Information Resource Management" textbook. The title change reflects current industry terminology. This edition contains nineteen chapters divided into six parts. Part One introduces the reader to records management; Part Two discusses the evaluation of records; Part Three elaborates on the elements of active records while Part Four focuses on inactive records; Part Five presents records creation and control; and Part Six discusses the administration of the records management program.

ISBN: 0-538-70068-8 (Southwestern Publishing)
Hard cover, English, 591 pages, 1992
$43.00 members $48.00 nonmembers
Catalog No. B4514

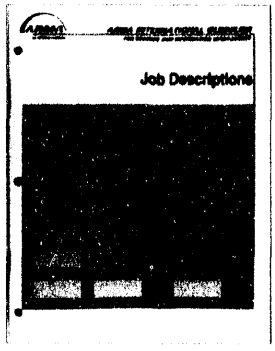
Job Descriptions — A Guideline

ARMA International's Standards Job Descriptions Subcommittee

Guidelines to be used when creating and implementing records and information management organizational charts and job descriptions. Includes 16 job descriptions and sample organizational charts to assist the user in determining writing and placement of the positions in their specific organization. Job descriptions include title, function, duties and responsibilities, principal contacts, position requirements, education/experience, job previously held, and career mobility.

ISBN: 0-933887-12-4
Soft cover, English, 40 pages, 1991.
$17.00 members $27.00 nonmembers
Catalog No. A4541

Information & Image Management: Salaries and Benefits — 1989



The first full-scale study of I & IM salaries produced by the Association for Information & Image Management. Covers 33 key jobs ranging from camera operators, COM supervisors, and operations manager in the Micrographics section to analysts, supervisor and manager in the Records and Information Management section. Also includes salary information on Electronic Imaging Information Systems positions such as scanner operator and electronic imaging operations manager. Salary information is broken out by organization type, total revenues, total employees, geographic region, total number of employees in department.

ISBN: 0-89258-153-0 (AIIM)
Soft cover, English, 102 pages, 1989.
$79.00 members $100.00 nonmembers
Catalog No. B4513

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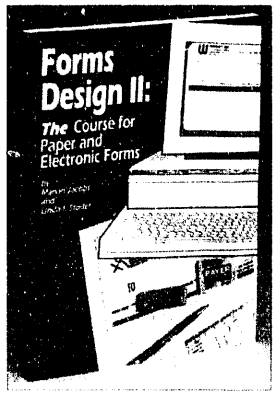
Information Management Linking the Past to the Future

ARMA INTERNATIONAL 38TH ANNUAL CONFERENCE
OCTOBER 18-21, 1993
SEATTLE, WASHINGTON

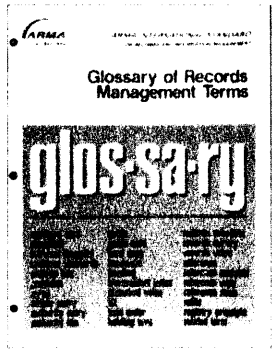


Forms Design II: The Course for Paper and Electronic Forms

Marvin Jacobs and Linda I. Studer

Designing professional, efficient forms has never been so easy! With this new book, you can learn to create forms that increase production, improve decision making, and enhance the organization's image. This book gives step-by-step instructions for designing *paper and electronic* forms. It features an overview of electronic forms design including hardware and software. Additional topics include forms analysis, forms management, and forms software. With 14 chapters and 233 illustrations, resources, glossary and bibliography, this book provides invaluable help to records managers and everyone involved with paper and electronic forms. Co-authored by a forms authority and an associate professor, this book is an invaluable resource manual for designing business forms.

ISBN: 0-9629700-0-X (Ameritype)
Soft cover, English, 266 pages, 1991
$47.00 members $52.00 nonmembers
Catalog No. B4575



Records Center Operations — A Guideline

ARMA International's Standards Records Center Operations Subcommittee

A guideline that will assist an organization or company in selecting an appropriate records center site. Includes information on equipping, staffing and overall management of the center with sample forms used in records center operations. Also discusses commercial records storage facilities. A section on computerizing a records center discusses design considerations and operating procedures. With appendices, bibliography, index.

ISBN: 0-933887-11-6
Soft cover, English, 51 pages, 1986.
$16.00 members $26.00 nonmembers
Catalog No. A4540

Glossary of Records Management Terms — A Guideline

ARMA International's Standards Terminology Subcommittee

"Glossary of Records Management Terms" explains more than 300 terms representing common and specialized terminology used in the field of records and information management. A useful tool for the manager, researcher or information specialist faced with understanding a bewildering array of technical terms and acronyms in records management. Contains a bibliography.

ISBN: 0-933887-13-2
Soft cover, English, 22 pages, 1989.
$16.00 members $24.00 nonmembers
Catalog No. A4542

E.L.F. = Eliminate Legal-size Files — A Guideline

ARMA International's Standards ELF Program Subcommittee

Based on the Eliminate Legal-size Files (Project ELF) campaign started by ARMA International in the early 1980's, this guideline helps the reader understand the value of adopting the 8 1/2" x 11" U.S. standard format size for paper documents in their organization. This publication also identifies the various U.S. State Court Systems that have adopted the letter-size only format.

ISBN: 0-933887-38-8
Soft cover, English, 8 pages, 1991.
$10.00 members $15.00 nonmembers
Catalog No. A4547

A Selected and Annotated Bibliography on Business Archives and Records Management

Karen M. Benedict

This bibliography is an update to the 1981 edition and includes all of the entries in the earlier edition, as well as an overview of professional literature from 1935 through early 1991. Especially of interest to archivists, records managers, corporate librarians, and business historians.

ISBN: 0-931828-4 (Society of American Archivists)
Soft cover, English, 242 pages, 1992
$28.00 members $38.00 nonmembers
Catalog No. B4306

The Management of Local Government Records: A Guide for Local Officials

Bruce W. Dearstyne

Written for officials who want to solve records problems, this publication provides guidance and offers practical advice in managing records. It is based on experiences of local governments that have dealt successfully with managing their records. It covers the basics of records management, introduces advanced concepts, and suggests where to turn for more help.

ISBN: 0-910050-91-0 (AASLH)
Soft cover, English, 146 pages, 1988.
$17.00 members $22.00 nonmembers
Catalog No. B4576

Guide to the Management of Legal Records

Barbara E. Corrigan, Helen Brook Dowd, Joan B. Gossage, Phillip L. Holloway, Clare M. Ledwith, Helene Lilly and Gloria Zimmerman

"Guide to the Management of Legal Records" is a primer for the management of legal records. Designed primarily for use in law firms, it addresses such issues as conflict of interest searching, legal records retention theory, space management, records protection and security, and basic system development and implementation. This book was written by a group of legal records managers and it deals with the unique difficulties of this specialty, with solutions, procedures and examples of successful records applications included. However, it does not presuppose records management knowledge and therefore will be useful to lawyers and legal administrators as well as to experienced legal records managers.

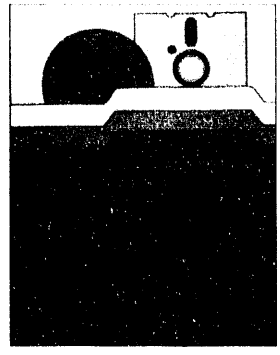
ISBN: 0-933887-22-1
Soft cover, English, 112 pages, 1987.
$40.00 members $50.00 nonmembers
Catalog No. A4545

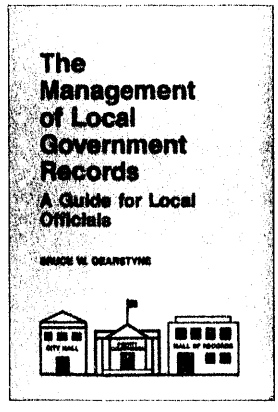
Filing and Records Management Fundamentals for the Small Business

Dr. Ann Bennick, CRM

As the volume of business records has mushroomed, along with the new federal regulations mandating longer retention periods, many large corporations have expanded their records and information programs to keep pace. But small businesses, where the need for up-to-date records management is just as great, don't have the resources to keep up. Help is on the way with this how-to book that is ideal for small-business owners, office managers and secretaries who must manage records efficiently. The book offers numerous practical tips on how to get started, what a filing system is (and isn't), how to survey and inventory existing records, how to develop a retention schedule, how to protect vital records, and how to use different media — from paper to computer disks. Also here are a number of sample forms including several that can be photocopied and used directly from the book.

ISBN: 0-933887-20-5
Soft cover, English, 64 pages, 1987.
$25.00 members $33.00 nonmembers
Catalog No. A4559





Fundamentals to provide a foundation for archival theory and practice

Understanding Archives and Manuscripts

James M. O'Toole

The purpose of this volume is to help the reader understand where recorded information comes from, what these records are made of, what services they perform, how they can be organized and managed, and how they are used. The text is enhanced by many illustrations. This publication will appeal to the beginning archivist, the archival student, the administrator contemplating the establishment of an archives, as well as the potential donor thinking about depositing records in an archives.

ISBN: 0-931828-77-5 (Society of American Archivists)
Soft cover, English, 79 pages, 1990
$21.00 members $31.00 nonmembers
Catalog No. B4307

Arranging and Describing Archives and Manuscripts

Fredric M. Miller

This manual follows the continuum of activities designed to provide administrative, physical, and intellectual control over archives and historical manuscripts. At its core are the three basic activities of accessioning, arrangement, and description. This manual will be especially helpful to the novice archivist coming to the profession through educational programs or the assignment of new archival responsibilities. Numerous tables and sample forms are an added resource.

ISBN: 0-931828-75-9 (Society of American Archivists)
Soft cover, English, 131 pages, 1990
$21.00 members $31.00 nonmembers
Catalog No. B4308

Managing Archival and Manuscript Repositories

Thomas Wilsted and William Nolte

This volume seeks to provide archivists with an introduction to the concepts and functions of modern management. The emphasis is on applied management: the use of management techniques to enhance the performance of archives and related repositories. Chapters include: "The Archivist as Manager," "Managing Archival Facilities," "Financial Management," "Fund Raising and Development," "Technology and the Archival Manager."

ISBN: 0-931828-78-3 (Society of American Archivists)
Soft cover, English, 106 pages, 1991
$21.00 members $31.00 nonmembers
Catalog No. B4309

A Glossary for Archivists, Manuscript Curators, and Records Managers

Lewis Bellardo and Lynn Lady Bellardo

This glossary includes nearly 1000 terms and definitions used in the archival and records management professions. It reflects both usage in the United States and Canada. Written for the entering and established professionals, as well as outside audiences.

ISBN: 0-931828-80-5 (Society of American Archivists)
Soft cover, English, 46 pages, 1992
$21.00 members $31.00 nonmembers
Catalog No. B4310

Providing Reference Services for Archives and Manuscripts

Mary Jo Pugh

Archivists must make their holdings available for use by a wide variety of constituencies. This volume identifies current and potential users and discusses the creation of reference facilities and public programs to meet their needs for information.

ISBN: 0-931828-82-1 (Society of American Archivists)
Soft cover, English, 124 pages, 1992
$21.00 members $31.00 nonmembers
Catalog No. B4311

Selecting and Appraising Archives and Manuscripts

F. Gerald Ham

This manual discusses factors and considerations in appraisal for both archives and manuscripts, including the theoretical foundations for identifying, soliciting, selecting, evaluating, and authenticating records. It also includes the role of records management in controlling the life cycle of organizational records, as well as collections management and documentation strategies for other holdings. ***(Available late 1992)***

ISBN: 0-931828-84-8 (Society of American Archivists)
Soft cover, English, 115 pages, 1992
$21.00 members $31.00 nonmembers
Catalog No. B4312

Preparing for the CRM Examination: A Handbook

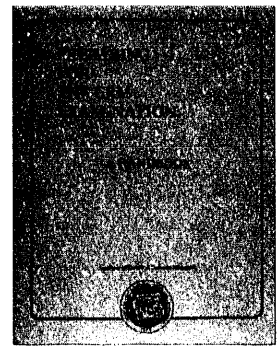
Compiled by the Institute of Certified Records Managers

This handbook provides information for persons preparing to take the examination to be come a Certified Records Manager (CRM). The book serves as a study guide and assists applicants in understanding the examination process with suggestions on how to prepare for and take the examination. A sample examination and annotated outline with bibliography are included, as is information on the Institute of Certified Records Managers.

ISBN: 0-933887-07-8
Soft cover, English, 95 pages, 1989.
$15.00 members $25.00 nonmembers
Catalog No. A4528

An Introduction to Records and Information Management (A Home Study Course)

Covering all phases of records and information management, this self study course can assist you, no matter what your career level. Study topics include: the records management system; the records manager and the records management staff; records inventory and analysis; records retention and legal considerations; active records management; indexing rules and classification system selection; manual records storage and retrieval; image technology; vital records, inactive records management; archives management; correspondence, directives and copy management; forms and reports management; automated information systems and related technology; computer-based records management systems; records controls — audits and reports; records security; records disaster prevention and recovery; and the records management manual.



Textbook readings, additional selected readings from professional journals, self-checking quizzes, study questions, and case study assignments will help you get the knowledge you need. Your completed case study assignments are submitted to the course administrator at ARMA International for comments and study suggestions.

Developed by ARMA International, this course is based on the 563-page textbook "Information and Image Management" (see page 12) by Betty R. Ricks, CRM, Ann J. Swafford, and Kay F. Gow. Other materials include:

- "An Introduction to Records and Information Management — A Home-Study Course," 344 pages in three-ring binder.
- "Alphabetic Filing Rules," from ARMA International. 1986, 40 pages, (see page 3).

Send for a more detailed description of this course. Ask for the Home Study Course brochure.
Catalog No. A4590

Journal

Records Management Quarterly

Editor: Ira A. Penn, CRM, CSP

This technical publication is the official journal of ARMA International. For those interested in the records and information management profession, *RMQ* provides articles that are timely and provocative. In each issue, *RMQ* covers interrelated areas of records management with articles on topics such as records center operations, electronic recordkeeping, legal requirements, and micrographic applications in theoretical or practical approaches. RMQ is included with ARMA International membership.

ISSN: 1050-2343
Soft cover, English.
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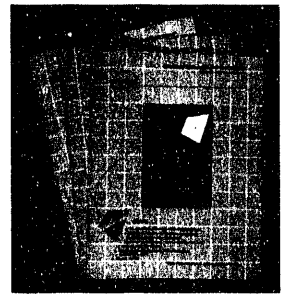
Catalog No. A4410

Records Management Quarterly Microfiche Reprints — 1967-1991

Editor: Ira A. Penn, CRM, CSP

Complete sets of the previous issues of the official journal of ARMA International. In microfiche format (24x) with eye-readable headers; opaque title backing positive mode. Packed in envelopes suitable for archival storage. Each issue is reproduced on an individual fiche. (Send for the *RMQ* microfiche edition order form.)



ISSN: 1050-2343
Microfiche, English.
Single issue: $5.00.
Complete set: $130.00 members, $205.00 nonmembers
Catalog No. A4516

Alphabetic Filing Rules

See page 3 for more information.

ANSI/ARMA 1-1990
$15.00 members $20.00 nonmembers
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Criteria for Developing/Evaluating Records Management Software

See page 4 for more information.

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Converting from a Manual System to an Automated System

See page 4 for more information

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$21.00 members $26.00 nonmembers
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Recommended Practice for Alphanumeric Computer-Output Microforms — Operational Practices for Inspection and Quality Control.

Assure the quality of alphanumeric COM-generated images (up to 48:1 reduction) by using the test (legibility) and requirements outlined in this national standard practice.

ANSI/AIIM MS1-1988
$26.00 member $31.00 nonmember
Catalog No. B4330

Practice for Operational Procedures/Inspection and Quality Control of First Generation Silver-Gelatin Microfilm of Documents.

Ensure high quality original microimages by following the guidelines established in this standard for inspection and quality control. It takes you step by step through a source document production operation, including equipment, supplies, control documents, test procedures and requirements, and storage of microforms. Covers roll film, microfiche, aperture cards, and jackets. Includes over 40 illustrations and blank forms suitable for actual use.

ANSI/AIIM MS23-1991
$36.00 member $40.00 nonmember
Catalog No. B4331

Microrecording of Engineering Source Documents on 35mm Microfilm

This standard specifies the procedures, dimensions, and quality values governing the microrecording of engineering documentation on 35 mm microfilm. It does not include microrecording of cartographic and architectural material, or other engineering graphics that do not conform to requirements of pertinent standards under ANSI Y14, Drafting Practice.

ANSI/AIIM MS32-1987
$26.00 member $31.00 nonmember
Catalog No. B4332

Recommended Practice for Operational Procedures/Inspection and Quality Control of Duplicate Microforms of Documents and From COM

Of considerable interest here is the trouble-shooting guide on almost every known problem encountered in microfilm duplication. You'll also find guidelines for the production of duplicate microforms, with discussions of major factors to consider when selecting duplicating film, procedures with a series of reproducible inspection and control charts, and helpful hints on jacket/microfiche enhancements.

ANSI/AIIM MS43-1988 with 1991 supplement
$31.00 members $36.00 nonmembers
Catalog No. B4333

Recommended Practice for Quality Control of Image Scanners

Procedures for the ongoing control of quality within an electronic image management (EIM) system from input to output. Regular use of the recommended procedures should ensure that the established level of quality is maintained.

ANSI/AIIM MS44-1988
$41.00 members $51.00 nonmembers
Catalog No. B4334

Recommended Practice for Inspection of Stored Silver Gelatin Microforms for Evidence of Deterioration

The focus here is procedures for inspecting camera negative and archival masters, both positive and negative, for mold, fungus, excessive brittleness, film curl, discoloration, scratches, dirt, chemical stains, redox blemishes, etc.

ANSI/AIIM MS45-1990
$36.00 members $41.00 nonmembers
Catalog No. B4335

The Use of Optical Disks for Public Records

The storage of long-term and permanent public records is addressed here. The report emphasizes electronic document imaging application employing read/write optical disk technology, although non-imaging applications and read-only optical disk technology are discussed briefly.

AIIM TR25-1990
$31.00 members $36.00 nonmembers
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AIIM Standards tend to have broad national acceptance

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About ARMA International

You are invited to join the thousands of other Records Management professionals who have grown professionally with the benefits of ARMA International membership.

ARMA International, the Association of Records Managers and Administrators, Inc., is the professional organization for persons in *the* expanding field of records and information management. There are more than 11,000 ARMA International members throughout the United States, Canada and some 20 other countries. More than 140 local chapters exist in the U.S., Canada, New Zealand and Japan, providing networking and leadership opportunities through monthly meetings and special seminars.

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- *Industry Action Committees* that bring together records professionals who work within the same industry.

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