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Records Management	Management Control Procedure	For Additional Info: http://EDMS	Effective Date: 03/18/14
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Manual: 1 - Administration

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*The current revision can be verified on EDMS.

1. INTRODUCTION

1.1 Purpose

Records (see def.) are generated, controlled, and retained to document company operations and comply with contractual, legal, security, and business requirements and commitments. Failure to properly manage records can result in monetary and legal fines and penalties up to and including shutdown of ICP projects, facilities, and processes.

The purpose of this procedure is to ensure a uniform method for ICP organizations and employees to manage government owned records in full compliance with contractual, legal, and regulatory requirements.

1.2 Scope and Applicability

This process consists of methods and practices used in identifying, categorizing, maintaining and disposing of records, which includes:

Task	Section
Managing Records	4.1
Creating and Receiving Records	4.2
Maintaining Records	4.3
Storing Records	4.4
Transferring and Retrieving Records	4.5
Protecting <i>Vital Records</i> (see def.)	4.6
Controlling <i>Quality Assurance (QA) Records</i> (see def.)	4.7
Managing Software Applications that Create Records	4.8
Managing Software Applications that Store Records	4.9

This process applies to all company organizations and personnel who generate, receive, control, or retain records generated.

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2. RESPONSIBILITIES

Performer	Responsibilities
Manager	Ensure personnel and organization’s activities are in compliance with all requirements/processes contained in this procedure. Coordinate with Records Analyst in development of an organizational <i>record types list</i> (RTL; see def.), software development activities, and all other activities involving the generation, control, and retention of ICP records.
Employees	Generate, protect, store, and transmit records in accordance with requirements/processes contained in this procedure.
Application Software Owners and Developers	Ensure records generated, managed, and stored in/by their software applications are properly documented, protected, and managed.
CERCLA Project Manager or designee	Ensure <i>Administrative Record / Information Repository</i> (AR/IR; see def.) records are transmitted to Records Management in accordance with this procedure.
<i>QA Records Validator</i> (see def.)	Validate that QA records are complete, accurate, and legible.
<i>Records Coordinators</i> (see def.)	Serve as a resource in assisting specific organizations with the maintenance, protection, storage, and transmittal of their records.

3. PREREQUISITES

None.

4. INSTRUCTIONS

NOTE: *The [Records Management web page](#) provides additional guidance and information that can aid in managing records, and key points-of-contact that can assist with resolution of records issues.*

4.1 Managing Records

- 4.1.1 Manager: Coordinate with assigned Records Analyst in developing and maintaining a RTL that accurately reflects the types of records generated and managed by organization(s).
- 4.1.2 Manager: Direct assigned staff to handle, manage, and transmit records in accordance with this procedure and organization's RTL.

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- 4.1.3 Manager: Assign Records Coordinators, as needed, to support the maintenance, protection, storage, and transmittal of organizational records.
- 4.1.4 Manager: Ensure staff maintains awareness of records management processes from initial assignment through employee transfer or termination via company mechanisms such as:
- A. [Form 361.57](#), “Newly Assigned Employee Checklist,” for newly hired or transferred employees
 - B. Awareness of records points-of-contact (such as the [Records Analysts](#)) who can assist with records issues
 - C. Organization's RTL
 - D. [Form 353.01](#), “Termination Checklist,” for employees who are terminating employment with the company.
- 4.1.5 Manager: Ensure ICP records officer approval of all procedures that direct employees in the management of ICP records.
- 4.1.6 Manager: Provide funding for proper handling, interim storage, transfer, and processing of records into an official company records repository.

NOTE: *The Electronic Document Management System (EDMS; see def.) and the INL Site Records Center (ISRC; see def.) are the only approved long term storage locations for ICP records.*

- 4.1.7 Employees: Handle, store, manage, and transmit records in accordance with this procedure, the organization RTL, and other approved work control documents such as:
- A. Program/project specific procedures
 - B. Project execution or implementation plans
 - C. [MCP-2809](#), “External Release of Information and Technical and Scientific Products”
 - D. INL laboratory wide procedure [\(LWP\)-11202](#), “Controlled Unclassified Information Program” (see *controlled unclassified information* definition)
 - E. [LWP-11200](#), “Classified Matter Protection and Control.”

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4.1.8 Employees: Report lost or damaged records regardless of their media form to Records Management for assistance in locating an additional copy or recovering the record.

4.1.8.1 If records have been damaged due to a disaster use [MCP-1368](#), “Records Damage and Notification Assistance.”

4.2 Creating and Receiving Records

4.2.1 Manager: Develop and maintain work processes that ensure all records generated and managed by organizations are accurate, complete, and support organizational and company:

- A. Functions
- B. Decisions
- C. Processes
- D. Essential transactions
- E. Legal and financial rights
- F. Persons directly affected by company activities.

4.2.2 Employees: Coordinate with your Records Coordinator or [Records Analyst](#) and use your organization [RTL](#) or the [INL Records Schedule Matrix](#) (see def.) as needed to manage records in a compliant manner.

4.2.2.1 Determine if information, regardless of the media or format, is a record. (see Appendix A)

4.2.2.2 Physically or visually segregate records, *nonrecords* (see def.), and *personal files* (see def.).

NOTE: *The determination as to whether a particular document is a record does not depend upon whether it contains unique information. Multiple copies of the same document and documents containing duplicative information, including messages created or received on electronic mail systems, may each have record status depending on how they are used to transact business.*

4.2.2.3 Destroy non-record material once it is no longer needed for reference.

4.2.2.4 Protect records and *working files* (see def.) that may become record from loss or damage.

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4.2.2.5 For an *unscheduled record* (see def.), contact a Records Analyst to help make a schedule determination.

4.2.2.6 Obtain approval from the ICP records officer prior to transferring records or record information outside of the ICP.

NOTE: *While it is permissible (with verified need to know) to view records for the purposes of an audit/assessment/inspection, it is not permissible to take/give copies of Controlled Unclassified Information records for the purposes of validating an audit/assessment/inspection/etc.*

4.2.2.7 Obtain approval from the ICP records officer prior to destroying records or record information.

NOTE: *The maximum penalty for the willful and unlawful destruction, damage, or alienation of federal records is a fine, 3 years in prison, or both (18 USC 2071).*

4.3 Maintaining Records

4.3.1 Employees: If temporarily housing records in your office, work with your Records Coordinator or Records Analyst in the proper:

- A. Management, transfer, and *disposition* (see def.) of the records
- B. Access, protection, and control of the records
- C. Segregation of personal information from record information.

4.3.2 Records Coordinator: Perform the following, as applicable:

4.3.2.1 Maintain temporary *record* (see def.) files for assigned organization.

4.3.2.2 Maintain *non-record* (see def.) reference libraries.

4.3.2.3 Assist coworkers in retrieval of records and record information.

4.3.2.4 Assist the Records Analyst in developing and maintaining a current RTL.

4.3.2.5 Maintain a list of records including, as a minimum, the record identifier, title or description, date, uniform file code (UFC), and applicable schedule.

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4.3.2.6 Use RTL to ensure correct record descriptions and schedules are used in managing the organization's records.

4.3.2.7 Ensure transmittal of records to Records Management within timeframe specified in this procedure or your organizations RTL.

4.3.3 Manager: Ensure records are recovered from terminating or transferring employees, including those in employee's office, email account, file systems, and computer systems.

4.4 Storing Records

4.4.1 Employees: Store records in a manner that minimizes the risk of degradation or destruction from natural disasters and environmental conditions (such as dust; high and low temperatures and humidity; and infestation of insects, mold, or rodents).

4.4.2 Employees: Prohibit activities determined to be detrimental to the records in record storage areas (e.g storing chemicals or food on top of cabinets where records are housed).

4.4.3 Employees: Store records in a manner that facilitates retrieval (index, file folders, etc.).

4.4.4 Employees: Provide adequate protection of special processed records (such as radiographs, photographs, negatives, microform, and magnetic media) to prevent damage from moisture, temperature, excessive light, electromagnetic fields, or stacking.

4.4.5 Employees: Store hardcopy records in storage cabinets located in buildings or structures equipped with a fire protection sprinkler system and/or with a communication system that notifies the Fire Department in the event of a fire or in a 1 hour (min.) fire rated cabinet.

4.4.6 Employees: Store electronic records in a retrievable form and format ensuring:

A. Electronic records, including email records are protected from loss due to computer or media failure.

NOTE: *Records should be maintained in a location that is routinely backed up.*

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- B. Record file formats are currently supported and can be readily and accurately converted to an acceptable record file format contained in [STD-112](#), “Acceptable EDMS File Formats.”
- C. External media is labeled and dated to ensure identification of contents at a later date.
- D. Backup (business resumption) media is only used to protect, not store ICP records.

4.5 Transferring and Retrieving Records

4.5.1 Employees: Unless otherwise documented in the organization’s RTL, transfer all ICP records to Records Management for processing within 30 days of record completion.

4.5.1.1 Complete Section 1 of [Form 241.23](#), “ICP Records Transmittal,” (or an alternate approved form), and transmit the form and records to Records Management.

NOTE 1: *Use of a transmittal form is not required if one of the two following criteria is met: (1) the form is not required to validate a QA record, or (2) Records Management commonly receives this type of routine record and is familiar with the specific indexing requirements for the records.*

NOTE 2: *Messages created or received on electronic mail systems may be printed or may be transferred to Records Management electronically at email address recordsmanagement@icp.doe.gov.*

4.5.1.2 For transmittal of CUI Information refer to [LWP-11202](#), “Controlled Unclassified Information Program.”

4.5.2 CERCLA Project Manager or designee: Transmit records for inclusion in AR/IR to Records Management (see Appendix B).

4.5.3 Employees: Retrieve records from the following locations:

- A. Organization’s approved interim storage location (see RTL).
- B. EDMS: <http://edms/> or ICP internal home page
- C. ISRC: email boxesrus@icp.doe.gov or call 533-3800

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NOTE: *Retrieval requests are handled on a case-by-case basis and may be handled by providing copies of needed records unless copying and/or mailing costs are prohibitive.*

4.6 Protecting Vital Records

NOTE: *This section is performed by any employee with responsibility for Vital Records.*

- 4.6.1 In addition to procedure Steps 4.1 through 4.6, manage Vital Records in accordance with the following:
- 4.6.1.1 Use the definition for Vital Records to determine whether the Vital Records are emergency operating records or legal and financial rights records.
 - 4.6.1.2 Protect Vital Records by maintaining a duplicate copy of the record in a location sufficiently removed from the primary record location to avoid both copies being subject to same emergency.
 - 4.6.1.3 Work with Records Analyst to identify Vital Record types for inclusion in the organization's applicable RTL which includes the following information:
 - A. Type of Vital Record (Emergency or Legal)
 - B. Location of both copies of records
 - C. Media type of both copies
 - D. Primary and secondary contact.
 - 4.6.1.4 Develop a rotation cycle (at both locations) to:
 - A. Keep Vital Records up to date
 - B. Disposition noncurrent Vital Records
 - C. Dispose of Vital Record duplicates no longer needed.
 - 4.6.1.5 Store Vital Records so that individuals unfamiliar with the records may easily retrieve and use the records during an emergency or disaster.
 - 4.6.1.6 Ensure equipment needed to read Vital Records is available in case of emergency or disaster.

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- 4.6.1.7 For electronic record systems, provide sufficient system documentation to operate the system and access to the records in case of emergency or disaster.

4.7 Controlling Quality Assurance Records

- 4.7.1 Manager: Ensure QA records are specified in applicable procedures.
- 4.7.2 QA Records Validator: Perform or ensure a QA records validation has been completed.
- 4.7.2.1 Verify the following items are completed before record is transmitted to Records Management:
- A. Records are legible. Ensure all data fields are completed in the QA record and blank fields are denoted NA (not applicable) or initialed.
 - B. Ensure records are traceable to the associated items and activities accurately reflecting the work accomplished or information required.
 - C. Records have been stamped, initialed, or signed and dated by authorized personnel or otherwise authenticated.
 - D. QA records that do not include a stamp, initial, or signature on the record itself (such as records stored on electronic media), are validated by using [Form 241.23](#), “ICP Records Transmittal”, validated in an ICP originated email, or other approved form as noted in step 4.8.3.
 - E. Return QA records failing validation to the responsible individual or organization for correction.
- 4.7.3 Employees: In addition to procedure Steps 4.1 through 4.6 manage Quality Assurance records in accordance with the following:
- 4.7.3.1 Ensure correct record descriptions, schedules, and quality classifications (lifetime or nonpermanent) are used. (See [INL Records Schedule Matrix](#) or organization’s RTL.)
- 4.7.3.2 Keep QA records in temporary storage only as long as needed to support the associated work or for a maximum of 30 days, then transmit the completed record to an

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approved interim storage location or Records Management for processing to the company EDMS or ISRC.

4.7.3.3

Ensure the following requirements are met for the temporary storage of QA records:

- A. The temporary storage location provides a one-hour fire rating.

NOTE: *A 1-hour fire rated cabinet, room, or container documented with a 1-hour fire rating by a CWI fire safety engineer meets this requirement.*

- B. The storage location is access controlled with a list of those authorized unescorted access to the records posted at the entry of the room or cabinet and signed by the manager of the organization, records officer, or Records Analyst.

- C. Unescorted access to QA records is not granted to those not on the access list.

- D. Escorted access to QA records is limited to those determined to have a need to know.

- E. The storage location is locked when not in use.

- F. Stored records are placed in binders, folders, or envelopes and placed in metal containers or on shelving in containers appropriate for protection of the media type.

- G. Electronic records are dual stored; ensuring secondary storage is sufficiently removed from the primary storage so that a single event would not destroy both records.

- H. Access to electronic records is restricted to access by authorized personnel with a need to know.

- I. Records are maintained retrievable and can be provided with four (4) working days of a formal request being made.

- 4.7.4 Employees: QA record corrections will be conducted by an authorized person and if the organization that originated the QA record is no longer

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responsible for the record, the new responsible organization makes the corrections or replacements as noted below.

- A. Single line drawn through the information to be corrected.
- B. Initial and date the revision adjacent to the drawn line.
- C. Do not use erasers or correction fluid or tapes.
- D. Corrections, when required, are recorded adjacent to the information to be corrected or by recording the referenced location of the correction adjacent to the area to be corrected.
- E. When adding additional page(s)/information, initial and date the revised page(s)/information, or include a validated 241.23, ICP Records Transmittal form describing the added page(s)/information.
- F. When replacement or restoration cannot be achieved, conduct and document an evaluation of the impact and report the lost or damaged record as noted in step 4.1.8.

4.8 Managing Software Applications that Create Records

- 4.8.1 Software Application Owner and Developer(s): Coordinate with the [records officer](#) or a [records supervisor](#) regarding development or purchase of computer applications that generate, store, or manipulate record information.
- 4.8.2 Software Application Owner and Developer(s): Work with assigned Records Analyst to identify and document records and record information created and managed by a software application. (See [MCP-550](#), “Software Management” for more information.)
- 4.8.3 Software Application Owner and Developer(s): Complete form 241.97, “Authorization for Use of Electronic Records Approvals or Signatures,” for software systems that create records with electronic approvals or signatures.

4.9 Managing Software Applications that Store Records

- 4.9.1 Software Application Owner and Developers: For each *interim record holding system* (see def.) ensure the system:
 - 4.9.1.1 Meets the criteria for an Interim Record Holding System (see Form 241.98, “Interim Record Holding System (IRHS)”))

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Approval”) and has been approved for the interim storage of records by the CWI Records Officer.

4.9.2 Software Application Owner and Developers: If application manages record information and does not meet the criteria stated in 4.9.1, then perform the following:

4.9.2.1 Work with Records Analyst to document turnover of records in the software management plan, and RTL.

4.9.2.2 Perform records turnover in accordance with software management plan, this procedure, and organizational RTL.

NOTE: *Records Analysts can assist with the documentation, change, management, retention, migration, and authorization for destruction of record information managed in a software application.*

5. RECORDS

Form 241.23, “ICP Records Transmittal”

Form 353.01, “Termination Checklist”

Form 361.57, “Newly Assigned Employee Checklist”

Form 241.97, “Authorization for Use of Electronic Records Approvals or Signatures”

Form 241.98, “Interim Records Holding System (IRHS) Approval”

NOTE: [MCP-557, “Records Management,”](#) the [INL Records Schedule Matrix](#), and associated [record types list\(s\)](#) provide current information on the storage, turnover, and retention requirements for these records.

6. DEFINITIONS

Administrative Record / Information Repository. The U.S. Environmental Protection Agency (EPA) requires an administrative record (AR) and information repository (IR) be established at facilities performing cleanup under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA). An AR and IR have been established to collect and maintain records generated by the Idaho Cleanup Project (ICP) associated with remediation of the Idaho National Laboratory (INL). The AR contains documentation providing a basis for judicial review and decisions made concerning a CERCLA-based response action. Relevant documentation is compiled and made available to the public, as it is generated, until a record of decision (ROD) or Action

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Memorandum is signed. The IR contains background and current information about CERCLA documentation that might be of interest to the public.

ASME NQA-1-2008 with Addenda NQA-1a-2009. Documented evidence for the control of quality assurance records regulated under ASME NQA-1-2008 with Addenda NQA-1a-2009, “Quality Assurance Requirements for Nuclear Facility Applications, Requirement 17 Quality Assurance Records.”

Controlled unclassified information. Data for which disclosure, loss, misuse, alteration, or destruction could adversely affect national security, government interests, or company interests and competitiveness. National security issues include unclassified matters that relate to national defense or foreign relations of the U.S. government. Government interests are those related, but not limited, to a wide range of government or government-derived economic, human, financial, industrial, agricultural, technological, and law enforcement information, as well as the privacy or confidentiality of personal or commercial proprietary information provided to the U.S. government by its citizens. Company interest and competitiveness issues include information about company business, plans, and finances.

Disposition. Those actions taken regarding records no longer needed to conduct regular, current business. Records disposition is any activity with respect to one of the following:

- A. Disposal of temporary records (see def.) no longer needed for the conduct of business
- B. Transfer of records to federal agency storage facilities or records centers
- C. Transfer of records that warrant continued preservation to the National Archives and Records Administration
- D. Transfer of records from one federal agency to any other federal agency.

DOE/RW-0333P records. Documented evidence of work associated with spent nuclear fuel or high-level waste programs regulated under DOE/RW-0333P, “Office of Civilian Radioactive Waste Management Program, Quality Assurance Requirements and Description.”

Electronic Document Management System (EDMS). Enterprise system used at ICP as an official electronic records repository for long-term storage, management, and maintenance of electronic records and hardcopy record metadata. <http://edms/>

[INL Records Schedule Matrix](#). A master list of scheduled and unscheduled records, as defined by National Archives and Records Administration.

INL Site Records Center (ISRC). The approved Nuclear Quality Assurance (NQA-1) single storage compliant facility for the economical storage of inactive records pending their destruction or transfer to a Federal Records Center or National Archives.

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Interim record holding system. Software application that creates and manages record information. Each system is validated by a Records Management analyst, supervisor, or manager.

Nonrecord. Informational material that does not meet or has been excluded from the statutory definition of a record (44 U.S. Code 3301). Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, blank forms, and library or museum materials intended solely for reference or exhibit.

Quality assurance (QA) record. A completed document, regardless of media form, that furnishes evidence that an item or work complies with quality requirements.

QA records validator. An employee who is familiar with the technical content of a record and can confirm the record (a) is accurate and traceable to the item(s), activity(s), work performed, or action taken; (b) has the required signatures and dates; (c) is complete (all pages present, in order, etc.); (d) is legible (no obliterated or missing information); and (e) has properly executed corrections.

Records. Information in any format that:

- A. Documents organizational functions, policies, decisions, procedures, or essential transactions, including significant decisions and commitments reached orally (person to person, by telecommunications, or in conference)
- B. Documents important board, committee, or staff meetings
- C. Adds value to an organization
- D. Illustrates compliance with requirements
- E. Is needed for administrative purposes (employee records, financial records, etc.) or to establish quality (training qualifications, as-built drawings, etc.).

Record type (also known as Record Series). A group of identical or related records normally used and filed as a unit that permits evaluation as a unit for retention scheduling purposes.

Record types list (RTL). List of records developed for organizations, programs, or projects for the records created, received or maintained by the organization, program, or project. The list is developed using the [INL Records Schedule Matrix](#).

Records Coordinator. Individual appointed by management and instructed by Records Management staff to serve as the resource person for maintaining, storing, dispositioning, and transferring records within assigned organizations.

Temporary Records. Records approved by NARA for disposal, either immediately or after a specified retention period. Also called disposal records.

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Unscheduled record. Any record type for which a corresponding uniform file code and disposition authority in the [INL Records Schedule Matrix](#) cannot be identified. The record is treated as a permanent record until such time as the National Archives and Records Administration has reviewed and accepted a new draft schedule.

Vital Record. Emergency operating records and legal and financial rights records required during and after an emergency or as part of the recovery from a disaster.

- Emergency operating records (see examples in the table below). Are those types of Vital Records essential for the continued functioning or reconstitution of an organization during and after an emergency. These records must be available as needed at or in the vicinity of emergency operating centers.
- Legal and financial rights records (see example in the table below). Are those types of Vital Records essential to protect legal and financial rights of the Government and individuals directly affected by its activities (also known as rights and interest records). These records require protection, but storage points do not have to be at or in the vicinity of emergency operating centers.

Types of Emergency Operating Records	Types of Legal and Financial Records
<ul style="list-style-type: none"> • Building and entry access records • Delegation of authority • Documentation for electronic system designated an emergency operating system • Emergency operating plans and directives • Facility drawings • Facility operating procedures • Hazardous material lists • Industrial processes / procedures • List of key personnel • Program records needed to continue the most critical company operations • Recovery and restoration plans (includes supplier list and recovery contracts) • Special Nuclear Material Inventory • Security keys list / combinations • Vital Records index and inventory 	<ul style="list-style-type: none"> • Accounts receivable • Social security records • Insurance records • Payroll records • Retirement records • Prime contract/contracts/ agreements/ grants/leases • Records management system • Computer backups • Research records

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Working files. Preliminary drafts, rough notes, and other similar material maintained for purposes of adequate and proper documentation. These materials may become records when circulated for official purposes such as approval, comment, action, recommendation, follow up, or communication.

7. REFERENCES

42 USC § 9601 et seq., “Comprehensive Environmental Response, Compensation and Liability Act of 1980 (CERCLA/Superfund)”

ASME NQA-1-2008 with Addenda NQA-1a-2009, “Quality Assurance Requirements for Nuclear Facility Applications, Requirement 17 Quality Assurance Records”

DOE-ID, 1991, *Federal Facility Agreement and Consent Order for the Idaho National Engineering Laboratory*, Administrative Docket No. 1088-06-29-120, U.S. Department of Energy Idaho Operations Office; U.S. Environmental Protection Agency, Region 10; Idaho Department of Health and Welfare, December 4, 1991

DOE/RW-0333P, “Office of Civilian Radioactive Waste Management Program, Quality Assurance Requirements and Description”

Form 241.23, “ICP Records Transmittal”

Form 361.57, “Newly Assigned Employee Checklist”

INL Records Schedule Matrix

LWP-11200, “Classified Matter Protection and Control”

LWP-11202, “Controlled Unclassified Information Program”

MCP-550, “Software Management”

MCP-1368, “Records Damage Notification and Assistance”

MCP-2064, “Implementing Records Management Processes”

MCP-3448, “Inclusion of New Sites under the Federal Facility Agreement and Consent Order”

OSWER Directive 9230.0-03C, “Community Relations,” in *Superfund: A Handbook*

OSWER Directive 9833.3A-1, “Final Guidance on Administrative Records for Selecting Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Response Actions”

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PRD-851, “10 CFR 851 Program Requirements Matrix”

PRD-5088, “Quality Assurance Records”

8. APPENDIXES

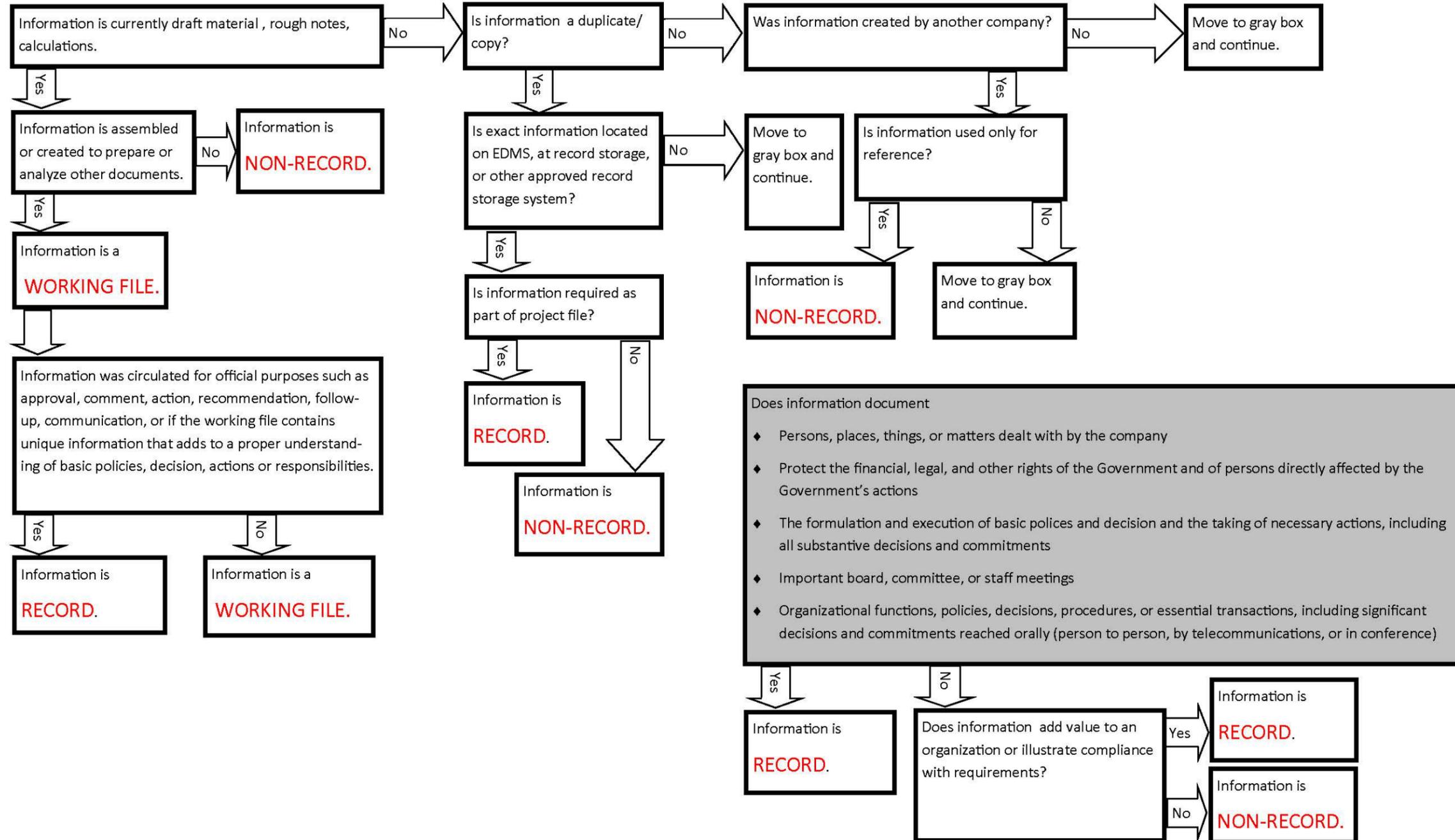
Appendix A, Flow Chart for Determining Category of Information

Appendix B, Record Types included in Administrative Record and Information Repository (AR/IR)

Appendix C, Procedure Basis

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**Appendix A
Flow Chart for Determining Category of Information**



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Appendix B

Record Types included in Administrative Record and Information Repository (AR/IR)

Records included in Administrative Record until Record of Decision (ROD) has been signed.

“No Action” determinations Characterization plans Community relations mailing list Community relations plan Compendium of guidance documents Data submitted by the public Fact sheets Feasibility study reports FFA/CO, modifications, and other site-specific guidance documents Field sampling plans Groundwater monitoring plans Health and safety plans (WAG or OU specific) Health assessments (generally issued by Agency for Toxic Substances and Disease Registry) Initial/preliminary assessments reports National Priorities List delisting documentation New site identification acceptance documents Newspaper articles (ICP specific) Operations and maintenance reports Preliminary scoping Track 2 preliminary report Preliminary scoping Track 2 sampling and analysis plan Proposed plans Public comments	Public notices Quality assurance project plan (WAG or RI/FS specific) Record of decision and amendments Remedial investigation reports Removal action documentation (if other than listed) Responses (written) to comments from EPA/State or other government agencies Responses (written) to comments from the public RI/FS report RI/FS scope of work RI/FS work plan and amendments Risk assessments (includes baseline) (see NOTE 1) Sampling and analysis plans Scope of work for interim actions Site inspections/evaluation reports State, EPA, or other government agencies’ written comments Summary assessments Track 1 decision statements Track 1 investigations Track 2 investigations Track 2 summary reports Transcripts of public meetings Treatability study reports
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NOTE 1: *Documents generated or received after the record of decision is signed will be added to the administrative record file only if:*

- A. *The documents concern a portion of a response action decision that the decision document does not address or reserves to be decided at a later date; or an explanation of significant differences or an amended decision*

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document is issued, in which case, the explanation of significant differences or amended decision document and all documents that form the basis for the decision to modify the response action will be added to the administrative record file.

- B. If the comments and responses are from a submission of public comment after a decision document has been signed on any issues concerning selection of the response action.*
- C. If the comments contain significant information not contained elsewhere in the administrative record file which could not have been submitted during the public comment period and which substantially support the need to significantly alter the response action.*

NOTE 2: *The Information Repository (IR) contains background and current information about the ICP CERCLA and D&D removal action documentation that might be of interest to the public.*

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Appendix C

Procedure Basis

Step	Basis	Source	Citation
All	Identifying, designating, marking, protecting, transmitting, and destroying sensitive unclassified information.	PRD-111	
4.1.7	Handle, store, manage, and transmit records in accordance with...	LWP-11200	
4.2	Establish and maintain complete and accurate records....	PRD-851	851.26
4.5.1.2	Identifying, designating, marking, protecting, transmitting, and destroying sensitive unclassified information.	LWP-11200	
4.5.2	Provides guidance for AR	42 USC § 9601 et seq.	
4.5.2	Establishes basis for AR process	OSWER Directive 9833.3A 1	
4.5.2	Provides guidance for AR	DOE-ID, <i>Federal Facility Agreement and Consent Order for the Idaho National Engineering Laboratory</i>	
4.5.2	Provides guidance for IR	OSWER Directive 9230.0 03C	Section 2.2.3 and Appendix A.8
4.5.2	Transmit new site identification (NSI) forms and decision documentation identified for inclusion in the AR/IR...	MCP-3448	4.5.9
4.7 4.8	Establishes basis for identifying, administrating, and storing documents designated as quality assurance.	PRD-5088 ASME NQA-1-2008 with Addenda NQA-1a-2009, Quality Assurance Requirements for Nuclear Facility Applications, Requirement 17 Quality Assurance Records	