



RECORDS MANAGEMENT PLAN

Approved by:

Debra R. Jolly for 6/23/17
Tammy Courtney
Project Manager

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REVISION SUMMARY

Rev. No.	Description of Changes	Pages	Date
0	Initial Release – Paducah Infrastructure Support Services Contract Number DE-EM0003733 Deliverable 125, Contract Clause C.3.6.3.	All	12/01/2015
1	Updated to incorporate U.S. Department of Energy comments.	v, 4, 7, 9, 10, A-3	12/01/2015
2	Updated to remove Sampling Criteria Table from Section 9.5, for completion of corrective action IM-2017-151-1, and incorporated into SSI.DC-1008, <i>Image Quality Statistical Sample Plan</i> . Reviewed for additional updates.	ii, iii, iv, 2, 3, 4, 5, 6, 7, 8, 9, 10	06/23/17
Required Reading			
0	Required Reading for Records Management staff.		
1	Required Reading for Records Management staff.		
2	Required Reading for Records Management staff.		

ACRONYM LIST

AR	Administrative Record
ASME	American Society of Mechanical Engineers
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
<i>CFR</i>	<i>Code of Federal Regulations</i>
CO	Classification Office
CMPC	Classified Matter Protection and Control
CRADA	Cooperative Research and Development Agreement
DOE	U.S. Department of Energy
EEOICPA	Energy Employees Occupational Illness Compensation Program Act
EIC	Environmental Information Center
ERMS	electronic records management system
FOIA	Freedom of Information Act
FOR	Field Operating Record
FRC	Federal Records Center
MTF	Material Transfer Form
NARA	National Archives and Records Administration
NQA-1	<i>Quality Assurance Requirements for Nuclear Facility Applications</i>
OPSEC	Operations Security
PA	Privacy Act
PD	Post Decision
PGDP	Paducah Gaseous Diffusion Plant
QA	Quality Assurance
SST	Swift & Staley Team
TIO	Technical Information Office
USC	United States Code

1. INTRODUCTION

Swift & Staley Inc. (hereinafter referred to as Swift & Staley Team [SST]) is responsible for the records management function in support of the U.S. Department of Energy (DOE), SST, the Deactivation Contractor, other contractors currently in operation, and records transferred from the former United States Enrichment Services at the Paducah Gaseous Diffusion Plant (PGDP). Hardcopy records are scheduled, transferred to, maintained, and dispositioned to the Federal Record Centers (FRCs) or the National Archives and Records Administration (NARA). This plan formally documents the Records Management Program and the processes used to manage records throughout the lifecycle of each record.

Records management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to all stages of a record. SST strives to perform the records management function in a compliant, economic, and efficient manner. The SST records management processes defined in this plan and implementing procedures enable SST to retrieve records and information, to protect the rights of citizens and DOE, to provide accountability and responsiveness to other government organizations and the public, to maintain institutional memory, and to preserve each historical record. The requirements of the SST records management program are mandatory and consistent with all applicable laws and DOE requirements.

Federal records management is mandated by the following laws and regulations:

- 5 United States Code (USC) § 552, *Freedom of Information Act (FOIA)*
- 5 USC § 552a, *Privacy Act (PA)*
- 10 Code of Federal Regulations (CFR) § 1008, *Department of Energy Records Maintained on Individuals (Privacy Act)*
- 18 USC § 2071, *Concealment, Removal, or Mutilation Generally*
- 36 CFR, Chapter 12, Subpart B, *Records Management*
- 44 USC Chapter 21, *National Archives and Records Administration*
- 44 USC Chapter 29, *Records Management by the Archivist of the United States and by the Administrator of General Studies*
- 44 USC Chapter 31, *Records Management by Federal Agencies*
- 44 USC Chapter 33 § 3301, *Definition of Records*
- 44 USC Chapter 36, *Management and Promotion of Electronic Government Services*
- 48 CFR § 970.5232–3, *Accounts, Records, and Inspection*
- DOE Acquisition Regulation 970.5204-3, *Access To and Ownership of Records*
- DOE Order 243.1B, *Records Management Program, Attachment 2, Contractor Requirements Document*
- Office of Management and Budget Memorandum M-12-18, *Managing Government Records Directive*

2. GOVERNMENT-OWNED RECORDS AND CONTRACTOR-OWNED RECORDS

Swift & Staley Inc. (hereinafter referred to as Swift & Staley Team [SST]) manages government-owned records and contractor-owned records that are created and maintained within the performance work statement of the Paducah Infrastructure Support Services contract DE-EM0003733 and for other U.S. Department of Energy (DOE) contractors. Government-owned records are defined in Appendix A, *Definition of Terms*.

Contractor-owned records are maintained in accordance with DOE Acquisition Regulation 970.5204-3, *Access to and Ownership of Records*, and the PA systems of records. SST will maintain contractor-owned records. Contractor-owned records include:

1. Employment-related records (such as worker's compensation files; employee relations records; records on salary and employee benefits; drug testing records; labor negotiation records; records on ethics and employee concerns; records generated during the course of responding to allegations of research misconduct; records generated during other employee-related investigations conducted under an expectation of confidentiality; employee assistance program records; and personnel and medical/health-related records and similar files), and nonemployee patient medical/health-related records, excluding records operated and maintained by the contractor in Privacy Act (PA) system of records. Employee-related systems of record may include, but are not limited to: Employee Relations Records (DOE-3), Records (DOE-13), Report of Compensation (DOE-14), Personnel Medical Records (DOE-33), Employee Assistance Program Records (DOE-34), and Personnel Radiation Exposure Records (DOE-35).
2. Confidential contractor financial information, internal corporate governance records, and correspondence between the contractor and other segments of the contractor located away from the DOE facility (i.e., the contractor's corporate headquarters).
3. Records relating to any procurement action by the contractor, except for records that under 48 *Code of Federal Regulations (CFR)* § 970.5232-3, *Accounts, records, and inspection*, are described as the property of the Government.
4. Legal records, including legal opinions, litigation files, and documents covered by the attorney-client and attorney work product privileges.
5. The following categories of records maintained pursuant to the technology transfer clause of this contract:
 - (i) Executed license agreements, including exhibits or appendices containing information on royalties, royalty rates, other financial information, or commercialization plans, and all related documents, notes, and correspondence.
 - (ii) The contractor's protected Cooperative Research and Development Agreement (CRADA) information and appendices to a CRADA that contain licensing terms and conditions, or royalty or royalty rate information.
 - (iii) Patent, copyright, mask work, and trademark application files and related contractor invention disclosures, documents, and correspondence, where the contractor has

elected rights or has permission to assert rights and has not relinquished such rights or turned such rights over to the Government.

3. MANAGING RECORDS THROUGHOUT THEIR LIFECYCLE PHASES

Federal records are managed in three phases – creation and receipt, maintenance and use, and disposition.

3.1 PHASE 1 – CREATION AND RECEIPT

The objectives of Phase I are to do the following.

1. Create complete and accurate records that provide adequate documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the DOE and its contractors.
2. Create complete and accurate records that meet the criteria of the laws and regulations listed in the Executive Summary.
3. Distinguish between record and nonrecord material. See Appendix A, *Definition of Terms*.

Personal papers and nonrecord documents are not stored and maintained with records.

3.2 PHASE II – MAINTENANCE AND USE

The objectives of Phase II are to do the following.

1. Preserve the integrity of the record by ensuring the record has not been altered after completion.
 - Assign records a file code from the SST Records Management File Plan. This file code reflects the DOE Records Schedule assigned to the record.
 - Enter record attributes electronically in an electronic records management system (ERMS).
 - Store electronic image in the ERMS.
 - Ensure access control to Field Operating Record (FOR) storage areas and other records repositories or storage areas.
 - Retrieve or withdraw records from the Federal Records Center (FRC) by the use of Optional Form 11, *Reference Requests-Federal Records Centers*.
2. Maintain usability of the record by those with the proper clearance and a need-to-know. Records are identifiable in an ERMS by accessing the record properties, including a full text search.
3. Identify and retain temporary and permanent records. Documents are assigned a records schedule from the DOE Records Disposition Schedules from the SST Records Management File Plan, when received by the Records Management staff. The records

schedule determines if the record is temporary or permanent and the retention of the record.

3.3 PHASE III – DISPOSITION

The objectives of Phase III are to do the following:

1. Preserve records, regardless of format, according to the prescribed disposition in the DOE Records Disposition Schedules.
2. Transfer inactive temporary paper records to a FRC as directed by the DOE Records Disposition Schedule.
3. Transfer permanent records electronically to National Archives and Records Administration (NARA)/FRC to the greatest extent possible as directed by the DOE Records Disposition Schedule.

SSI.DC-1003, *Records Disposition Plan*, describes the details of the records disposition processes.

4. RECORDS MANAGEMENT RESPONSIBILITIES

The Paducah Infrastructure Support Services contract DE-EM0003733 assigns records management and document control responsibilities to SST. The records management function is placed organizationally in the Integrated Services organization. The records management staff report to the Senior Records Manager and the Senior Records Manager reports to the Director of Integrated Services. The Paducah site records are maintained by the SST Records Management staff, with the exception of FORs. Section 5.12 of Paducah Gaseous Diffusion Plant (PGDP) Procedure 01.04.03, *Records Management*, details the requirements for storing FORs.

5. PROTECTION AND MAINTENANCE OF RECORDS

SST accepts records in a NARA-acceptable electronic format only, with the exception of the Administrative Record (AR), Post Decision (PD) records, General Reference Documents (GRD) that are not authorized for reproduction or to be uploaded to the Environmental Information Center (EIC) website, and hardcopy records received from DOE. Since the ERMS is an unclassified system, the electronic copies of classified records are not stored on the ERMS server; however, the record's unclassified metadata is entered and maintained in the ERMS and the electronic copy is stored on an approved classified server.

All records containing classified matter and protected information are maintained in accordance with Security Plan 09.02.01, *Classified Matter Protection and Control (CMPC) Program Plan*.

6. RECORDS INVENTORY

An annual records inventory is performed on all records generated/received by SST staff. A records inventory compiles a descriptive list of each SST functional organizations' record series, record description, type of media, designated permanent or temporary, quality records, location

of the records, and the records custodian. The media type distinguishes between hardcopy, electronic, or audiovisual. It is not a list of each document or folder, but rather a list of each record series that is used to schedule accurately the records maintained by SST.

The steps to perform the inventory are as follows:

1. Define the records inventory goals.
2. Define the scope of the inventory.
3. Plan the inventory.
4. Conduct the inventory.
5. Verify and analyze the inventory.

7. U.S. DEPARTMENT OF ENERGY RECORDS SCHEDULES

To ensure the protection of the records, a mandatory consistent process of scheduling records is established. SST assigns a DOE Records Disposition Schedule to each record as it is received and processed. SST then tracks the record in the ERMS based on the record's assigned schedule and in the appropriate folder based on arrangement.

Any record that is impacted by a moratorium (e.g., epidemiological hold, legal hold) assigned to its records schedule is flagged in the ERMS to protect it from any destruction until directed to proceed with destruction by DOE.

8. FINAL DISPOSITION OF RECORDS

SSI.DC-1003, *Records Disposition Plan*, describes the details of the process used for records disposition. The disposition of each record is determined by the assigned records schedule and any moratoria, if applicable.

Records responsive to a litigation moratorium can only be destroyed with DOE approval. SST must complete form SSTF-427, *Records Destruction Authorization Certificate*, for all records destruction requests.

9. VITAL RECORDS

SSI.DC-1007, *Vital Records Plan*, defines the SST policy, responsibilities, and requirements for a Vital Records Program. The Vital Records Program is conducted to identify and protect those records that specify how SST will operate in the case of an emergency or disaster. Vital records are the records necessary for the continued operations of SST during and after an emergency or disaster and the records needed to protect the legal and financial rights of the U.S. Government and of the persons affected by its actions. SST's Vital Records are stored in locked, fireproof storage in a secure onsite location.

10. IMPLEMENTATION OF THE RECORDS MANAGEMENT PROGRAM

PGDP Procedure 01.04.03, *Records Management*, describes the implementation of the SST records management program. This procedure establishes administrative controls, assigns responsibilities, and defines protocols for the records management program, including managing PA records. SST maintains PA records in order to protect the privacy of individuals, prevents unwarranted disclosure of such records, and releases or discloses such records or information consistent with provisions of the PA and DOE orders and regulations. This procedure also describes the regulatory requirements and actions necessary to manage the SST records program in order to protect the integrity of the records. This procedure applies to SST and all DOE contractors and subcontractors who submit records to SST.

As required by 36 *CFR*, Chapter 12, Subpart B, *Records Management*, and DOE Order 243.1B, Admin Change 1, *Records Management Program*, all new SST employees receive training on records management to include electronic (e.g., email), vital records, and their records management responsibilities as a part of the new employee orientation. The SST Senior Records Manager presents an annual records management briefing to SST employees. This briefing includes a refresher on records management plus any updates to the SST program. The SST Senior Records Manager also provides guidance to other DOE contractors on records management principles, records management practices, and submittal of records to SST.

10.1 DOCUMENT CONTROL

SST Records Management personnel prepare, distribute, and control copies of SST records that require the distribution list be controlled. This process ensures that authorized users have available the most current version of the record. The Records Management personnel maintain the master copy of the controlled document, control the distribution, and distribute revised copies as revisions are made. Details of this process are in PGDP Procedure 01.04.03, *Records Management*.

10.2 FILE PLAN

File plans specify how records are to be organized once they have been identified through the inventory, provide a “roadmap” to the records created and maintained by an organization, and facilitate dispositioning the records. A file plan provides a standardized records classification scheme that improves filing, enhances access and retrieval, and supports the use of records disposition schedules. The SST Records Management File Plan is based on the DOE Records Schedules and maintained by the SST Senior Records Manager. Any changes to the File Plan are approved by the SST Senior Records Manager, or designee.

A file plan lists the types of records in the office and is an essential component of a record-keeping system. The file plan helps to:

- Meet statutory and regulatory requirements,
- Assign the appropriate records schedule,

- Document activities,
- Identify records consistently,
- Retrieve records quickly, and
- Disposition records no longer needed.

10.3 ENERGY EMPLOYEE OCCUPATIONAL ILLNESS COMPENSATION PROGRAM ACT

Energy Employee Occupational Illness Compensation Program Act (EEOICPA) requests are processed in accordance with all DOE and NARA regulations.

The EEOICPA is a program established to provide compensation to current and former employees of DOE, and its contractors and subcontractors. SST retrieves and compiles the responsive records for EEOICPA claims, performs classification review, and uploads files to the DOE Secure Electronic Records Transfer system within 60 days from receipt of request.

10.4 FREEDOM OF INFORMATION ACT AND PRIVACY ACT

Freedom of Information Act (FOIA) and PA requests are processed in accordance with all DOE and NARA regulations.

As FOIA and PA requests are received from DOE, the SST Senior Records Manager or designee reviews the request and forwards it to the appropriate SST Organizational or Functional Manager for subject matter expert guidance, development of a cost estimate (as necessary), and/or searches of FORs in their respective FOR storage areas. Records searches also are performed on the records by using the Documentum search capabilities. SST Procedure 08.06.01, *Processing Freedom of Information Act and Privacy Act Requests*, details this process. If a hardcopy record is required for a FOIA, PA, or EEOICPA response and an image of the record is not in the ERMS, the record is retrieved from the FRC.

The Privacy Act of 1974, 5 USC § 552a, establishes a code of fair information practices that govern the collection, maintenance, use, and dissemination of personally identifiable information about individuals that is maintained in systems of records by federal agencies. A system of records is a group of records under the control of an agency from which information is retrieved by the name of the individual or by some identifier assigned to the individual. The PA can prohibit the disclosure of this information without the written consent of the individual. The PA also provides individuals with a means by which to seek access to and amendment of their records, and sets forth various agency record-keeping requirements.

All records containing PA information are maintained according to the requirements in SST Security Plan 09.02.01, *Classified Matter Protection and Control (CMPC) Program Plan*.

10.5 ELECTRONIC RECORDS

SST accepts electronic records, including email, with the exception of the AR, PD, and DOE records. All electronic records are in DOE and NARA-acceptable electronic formats only. PGDP Procedure 01.04.03, *Records Management*, provides the types of acceptable records formats and the process for transferring electronic records to Records Management.

SST stores electronic records in the ERMS. Occasionally, a record is generated in a format that cannot be converted to a portable document format or other acceptable format without losing the record's integrity or data (e.g., four-dimensional format records). In these instances, it is the responsibility of the record generator to provide the means to view the document for the lifetime of the record. The types of records and software properties are entered into the ERMS *Notes* field to alert users to the nature of the file. The hardware and/or software are maintained by the Records Management staff to ensure the record's preservation, availability, and usability in the future.

Persons submitting records to Records Management sign a statement on the SSTF-011, *Material Transfer Form* (MTF), that the electronic record meets the requirements in PGDP Procedure 01.04.03, *Records Management*. The following list of requirements is consistent with DOE and NARA requirements and guidelines and SST procedural requirements:

- Classification review is performed and documented, or statement signed that the record does not contain information in a classifiable subject area.
- Applicable form(s) is completed and signed – MTF and SSTF-106, *Swift & Staley Team/DOE Paducah Site Classification Office (CO)/Technical Information Office (TIO) and Operations Security (OPSEC) Release Form*.
- One hundred percent quality check is performed and documented on the MTF.
- Forms are placed as the first pages of the files and included in page count.
- Copy of any required radiological survey results are included.
- For scanned documents, the dots per inch meets the requirements outlined in PGDP Procedure 01.04.03, *Records Management*.
- Photographs are captioned on either the back of the photograph or a separate index. Captions include a unique photograph identification number, date, location, names of people, event, and copyright owner as applicable.
- Poor quality pages are stamped "Poor Quality Original".
- All scanned pages are legible.
- All pages are scanned and page count in electronic file equals the hardcopy page count (if the document exists in hard copy).
- Electronic copy and hardcopy are identical.
- Pages are rotated correctly.
- Classification markings are clear and legible.

SSI.DC-1008, *Image Quality Statistical Sampling Plan*, describes the process used for records sampling. Monthly samplings, or assessments, are performed on a percentage of the records

submitted to Records Management to ensure the records are meeting the above criteria. Any records found to not meet the criteria are returned to the originator submitting the record, to be corrected and resubmitted to Records Management. Results of the assessments are forwarded to DOE in a monthly report.

10.6 DEACTIVATION CONTRACTOR RECORDS

The Deactivation Contractor utilizes the same installation of the ERMS and maintains records electronically in areas separate from the SST records. The Deactivation Contractor electronically transfers its records to SST on a routine basis, or as records become inactive. SST works closely with the Deactivation Contractor to ensure that proper quality checks are performed on the records being placed in the Deactivation Contractor's area within the ERMS. The quality checks are done in accordance with the SST procedures, DOE, and NARA requirements. SST also works with the Deactivation Contractor on determining the proper time frame for records turnover.

10.7 AUDIOVISUAL RECORDS

Audiovisual records are a subset of Federal records and can provide many kinds of information that cannot be conveyed in text or the written word. The storage and maintenance requirements are different for audiovisual records in comparison to paper records. Audiovisual records are records in pictorial or aural form, including still photographs and motion media (i.e., moving images whether on motion picture film or as video recordings), sound recordings, graphic works (e.g., printed posters), mixed media, and related finding aids and production files.

SST creates and manages audiovisual records in accordance with 36 *CFR* 1237, *Audiovisual, Cartographic, and Related Records Management*. PGDP Procedure 01.04.03, *Records Management*, provides the details on the requirements and acceptable formats for audiovisual records.

10.8 QUALITY ASSURANCE RECORDS

Quality Assurance (QA) records are defined, along with their specified control, in American Society of Mechanical Engineers (ASME) *Quality Assurance Requirements for Nuclear Facility Applications* (NQA-1).

QA records are those records that are prepared, received, and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures, plants, and systems associated with a nuclear site, and also records that would be of significant value in demonstrating capability for safe operations. Refer to PGDP Procedure 01.04.03, *Records Management*, which addresses the categorizing, receipt control, retention, etc. of QA records.

QA records furnish documentary evidence that items or activities meet specified quality requirements. QA records are classified either as lifetime or nonpermanent. See Appendix A, *Definition of Terms*, for definitions. QA records are identified and labeled in the ERMS and the SST File Plan, generated, authenticated, and maintained through the final disposition, as

specified in the DOE Records Disposition Schedules. See Attachment B, *Is Your Record A Quality Assurance Record?*, for the process used to determine the QA record status.

10.9 ADMINISTRATIVE RECORD

The AR is the official body of documents that is considered or relied upon when selecting a remedy for a Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) response action. The AR file is a body of documents collected throughout the investigative and decision-making process for a response action to the cleanup process. Once the response action is selected, the AR file becomes the AR. CERCLA regulations limit the conditions under which documentation can be added to the AR subsequent to the final decision. These after-action documents are filed in the PD File, which is a part of the AR.

SST assigns the proper DOE Records Schedule to each AR and PD record and maintains them in electronic format as well as hardcopy format. The contractor that generates the AR and PD records submits the records in an electronic format that meets the requirements in PGDP Procedure 01.04.03, *Records Management*, and also in hardcopy format. CERCLA requires that the public have access to the AR and PD records; therefore, an electronic copy is available on the EIC Website and a hardcopy is stored at the FRC in Dayton, Ohio. Prior to uploading to the EIC Website, all AR and PD documents are reviewed by the site classification office to ensure that the document is not classified and the information can be released to the public.

10.10 POST DECISION FILE

The PD file is composed of documents generated after the selection of a response action is made, usually referred to as the Record of Decision. These documents are compiled during the actual cleanup phase of a response action.

The collection of PD records is maintained, as the AR records are maintained/stored, in electronic and hardcopy formats, and available to the public by means of the EIC Website or retrieving a hardcopy from the file located at the FRC in Dayton, Ohio.

10.11 NONRECORDS AND PERSONAL PAPERS

Nonrecords and personal papers are not maintained or filed with government records. Although nonrecords and personal papers are not Federal records, they are subject to discovery and litigation requests. Copies of record materials cannot be maintained longer than the original. See Appendix A, *Definition of Terms*, for definition of these two terms.

11. ATTACHMENTS

- Attachment A, *Definition of Terms*
- Attachment B, *Is Your Record a Quality Assurance (QA) Record?*

ATTACHMENT A - DEFINITION OF TERMS

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Audiovisual Records — Records in pictorial or audio form. This includes still and motion pictures, graphic materials (such as posters and original art), audio and video recordings, multimedia presentations (such as slide-tape productions), photographs and negatives, and digital photographs and negatives, all of which have special handling requirements.

Disposition — Refers to the actions taken when a record no longer is needed for current government business (e.g., any activity with respect to the approved disposal by destruction; the transfer of records to an approved Federal Records Center [FRC]; the transfer of permanent records to National Archives and Records Administration [NARA]; or the transfer of records from one federal agency to another federal agency).

Electronic Records — Records that are stored in a form that only a computer can process.

Electronic Records Management System — An electronic system in which records, regardless of format, are collected, organized, and categorized to administer the records' preservation, retrieval, use, and disposition.

Energy Employees Occupational Illness Compensation Program Act — Law enacted by Congress to provide compensation and medical benefits to employees who worked at certain U.S. Department of Energy (DOE) facilities, including contractors and subcontractors at those locations and certain vendors. This act provides compensation to persons who have become ill as a result of work at atomic weapon facilities. The law became effective July 1, 2001.

Federal Records Center — FRCs are operated by NARA for the storage, processing, and servicing of government records and meet the requirements of 36 *Code of Federal Regulation (CFR)*, Chapter 12, Subpart K, *Facility Standards for Records Storage Facilities*.

Field Operating Records — Records that are compiled, revised, or made complete over time or are required by permit or procedure to be located at a designated work area.

File Plan — A systematic method of identifying the specific types of records maintained, series descriptions, and disposition authorities (e.g., a records inventory and disposition system or other systems used to identify, locate, and retrieve records).

Freedom of Information Act, 5 United States Code (USC) § 552 — The Freedom of Information Act (FOIA), as amended, generally provides any person with the statutory right to obtain access to government information in executive branch agency records. This right of access is limited to the extent information is protected from disclosure by one of FOIA's nine statutory exemptions. This right of access is enforceable in court and is supported at the administrative agency level by transparency and open government initiatives mandated by the President of the United States.

Legacy Records — Government-owned records that preceded the SST contract and are within the custodianship of the Swift & Staley Team (SST) Records Management Program.

ATTACHMENT A - DEFINITION OF TERMS

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Lifetime Quality Assurance (QA) Records — Records that demonstrate the following and are required to be maintained for the life of the particular item:

- Safe operation of an item;
- Significant value in maintaining, reworking, repairing, replacing, or modifying the item;
- Significant value in determining the cause of an accident or malfunction of the item; and
- Provides required baseline data for in-service inspections.

Nonpermanent QA Record — Records that provide evidence that an activity was performed in accordance with applicable requirements.

Nonrecord — Informational material excluded from the definition of a record. This material is preserved solely for reference (e.g., extra copies of documents kept only for convenience of reference).

Permanent Records — Records determined by NARA to have sufficient historical or other value to warrant continued preservation by the federal government.

Personal Papers — Materials that belong to an individual and are not used to conduct DOE business. They relate solely to an individual's personal and private affairs or are used exclusively for that individual's convenience.

Post Decision Records — Records that are generated after or received after the signing of the Administrative Records (AR) decision document and the Record of Decision.

The Privacy Act of 1974, 5 USC § 552a — Establishes a code of fair information practice that governs the collection, maintenance, use, and dissemination of personally identifiable information about individuals that is maintained in systems of records by federal agencies. A system of records is a group of records under the control of an agency from which information is retrieved by the name of the individual or by some identifier assigned to the individual. The Privacy Act (PA) requires that agencies give the public notice of their systems of records by publication in the Federal Register. The PA prohibits the disclosure of information from a system of records absent the written consent of the subject individual, unless the disclosure is pursuant to one of twelve statutory exceptions. The PA also provides individuals with a means by which to seek access to and amendment of their records and sets forth various agency record-keeping requirements.

Privacy Act Records — Records that fall under the jurisdiction of 10 *CFR* § 1008, *Records Maintained on Individuals (Privacy Act)*, may include the following types of records: personnel and employment records, supervisor maintained personnel records, appraisal and development records, applications for employment, payroll and leave records, reports of financial interest, accounts payable and receivable, domestic travel records, foreign travel records, personnel medical records, employee assistance records, personnel exposure records, occupational and industrial accident records, equal opportunity complaint files, labor standards complaints and grievances, legal files, personnel security files, security investigations, employee and visitor access control records, and security education and infraction report records.

ATTACHMENT A - DEFINITION OF TERMS

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Quality Assurance Records — Records that furnish documentary evidence that items or activities meet specified quality requirements. QA Records are identified as either a Lifetime or Nonpermanent record.

Record (44 USC Chapter 33 § 3301) — “Includes all recorded information, regardless of form of characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the U.S. Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience. The term recorded information includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.”

Record Copy — The official copy of a record that is retained for legal, operational, or historical purposes.

Record Series — A block of records having the same disposition authority and same disposition date.

Records Inventory — A descriptive list of each record series or system of records, including a brief description of the record, volume, location of the record(s), type of media (hardcopy, electronic, audiovisual, film, etc.), and any other pertinent data. A records inventory is not a list of each document or each folder, but a listing by the record series.

Retention Period — The period of time that the record must be maintained due to the potential need for operational, legal, fiscal, historical, or other purposes.

ATTACHMENT B – IS YOUR RECORD A QUALITY ASSURANCE (QA) RECORD?

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