



# UCOR

an Amentum-led partnership with Jacobs

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

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**PURPOSE**

This procedure establishes consistent administrative controls, assigns responsibility, and defines protocols for the creation, identification, control, and management of unclassified UCOR, an Amentum-led partnership with Jacobs, records. Records can be hard copy, electronic .PDF files (including Web Content), microfilm, and drawings.

Classified documents and records are handled in accordance with PPD-SE-1405, *ETTP Classified Matter Protection and Control (CMPC) Manual*.

**SCOPE**

This is the governing procedure for records and applies to all UCOR organizations and subcontractors who create, process, distribute, use, control, or manage records for the U.S. Department of Energy (DOE) at Oak Ridge. It also applies to subcontractors who maintain contractor-furnished government records as described in Exhibit B of the standard proforma documents. UCOR records include all records generated, received, or sponsored by or for UCOR in support of UCOR environmental work.

The management of records at these locations is performed by:

- Subcontracted records management and document control personnel.
- UCOR project document control personnel.
- Subcontractor’s internal document control personnel.

The records management program uses the services of other DOE contractors, e.g., UT-Battelle and CNS. However, the UCOR records management program is not linked with other DOE contractors’ programs, and their programs are not within the scope of the UCOR’s Records Management Program.

UCOR records management procedures govern the scope of the UCOR Records Management Program. Subcontractors may work directly to their company controlled records management procedures provided they have been reviewed and approved as part of the Quality Assurance Program and are compatible with the UCOR program. The program to be used will be defined in Exhibit K, *Quality Assurance* section of the subcontract (applicable to subcontracts issued after January 19, 2005).

Other procedures may augment but may not conflict with this procedure. Where augmenting procedures do not exist, as a minimum, the requirements of this procedure shall be followed. The augmenting procedures may be functional procedures (e.g., Engineering, Nuclear Safety, and Administrative Services) and may impose additional requirements for the preparation, review, approval, issuance, and revision control of documents that typically become categorized and retained as records per applicable DOE requirements. Typically, non-administrative functional procedures define the requirements for the creation, approval, and issuance stages during the “In Progress” life cycle of a document. Upon approval and issuance, documents become records and custodianship transfers to Records Management.

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The UCOR *Records Management, Including Document Control* procedure is executed through a Document Management Center (DMC) and supporting Satellite Document Centers (SDCs). SDCs will have project-specific scopes. Records once under the custodianship of the DMC or a SDC are controlled and may not be altered. Changes to a record shall be through procedurally approved revision processes.

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

UCOR and Staff Augmentation personnel creating records should make every effort to create and transmit records to the DMC in electronic format to the greatest extent possible.

**OTHER DOCUMENTS NEEDED**

- UCOR-4000, *Document Preparation Guide, Oak Ridge, Tennessee*
- UCOR-4040, *URS | CH2M Oak Ridge LLC Records Management Program File Guide, Oak Ridge, Tennessee*
- PPD-SE-1405, *ETTP Classified Matter Protection and Control (CMPC) Manual*
- PPD-SE-1415, *ETTP Controlled Unclassified Information Manual*
- PROC-FS-1001, *Integrated Work Control Program*
- PROC-NS-1001, *Unreviewed Safety Question Determinations for Nuclear Category 2 & 3 Facilities*
- PROC-NS-1008, *Unreviewed Change Determinations for Radiological and Non-Nuclear Facilities*
- PROC-NS-1011, *Management of Safety Basis Documents*
- PROC-OS-1003, *Administrative Record Program*
- PROC-OS-1004, *Document Numbering and Issuance*
- PROC-OS-1005, *Management of Subcontractor/Vendor Submittals*
- PROC-OS-1007, *Vital Records*
- PROC-RP-4516, *Radioactive Contamination Control and Monitoring*
- PROC-SE-1005, *Classification and Information Control*
- Form-260, *East Tennessee Technology Park Document Release Form*
- Form-340, *Records Request Form*
- Form-368, *ETTP Classification Review Request Form*
- Form-554, *Safety Document Worksheet*
- Form-589, *Material Transfer Form - UCOR Document Management Center*
- Form-1057, *DMC Controlled Document Worksheet*
- DOE Records Disposition Schedules

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**WHAT TO DO                      RECORDS MANAGEMENT**

**A.    Document Management Center (DMC)**

Once records are transferred to the DMC, Record Copy documents are controlled and may not be altered. Record Copy documents will not be released from the custody of the DMC without approval from the UCOR Records Management Subject Matter Expert (SME).

The DMC is the primary record center for UCOR. SDCs exist on projects with all having limited scope formulated to specific project needs. See the Records Management home page on the intranet for an approved list of locations. Projects wishing to establish a SDC should contact the UCOR Records Management SME for approval. Records contained in SDCs are forwarded to the DMC when no longer required or at the project’s closure. Active records received at the DMC shall be filed in accordance with UCOR-4040, *URS / CH2M Oak Ridge LLC Records Management Program File Guide, Oak Ridge, Tennessee*. Only designated personnel shall have unescorted access into the DMC or SDC. Access by non-designated personnel into records filing areas is by DMC or SDC authorization only. Only DMC or SDC staff may remove and re-file records in the records centers.

DMC

1.    Set up DMC storage area as appropriate for Category I and II Records as required in Sect. B.
2.    Develop and maintain a Disaster Recovery Plan.
3.    Maintain, schedule, and archive records in accordance with approved DOE Records Disposition Schedules.
4.    Develop a Records Retention and Turnover plan at contract completion or termination of the UCOR Prime Contract.

**B.    Storage Requirements for the Protection of Records**

**NOTE:** Records storage within the Records Management facilities, in SDCs, or at authorized Field Operating Records (FOR) locations, see Sect. D, must comply with the following to provide control and protection to records. See Attachment A for definitions of Category I and II records, and Attachment D for a list (not all inclusive) of common records and their Category I or II designation.

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

1.    At a minimum, apply the following storage requirements to Category II Records:
  - a.    Maintain records in a lockable file cabinet or a lockable room which contains file cabinets, open shelving, or racks. In a lockable room, records may be boxed and stored on racks or other means to prevent boxes from residing directly on the floor.

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

- b. Establish access control to prevent unauthorized use, disclosure, theft, or destruction.
  - c. Post a list designating personnel approved for unescorted access to records filing areas.
  - d. Develop inventories, file plans, or indexing system to facilitate ease of retrieval. An indexing system will not be required from small collections in SDCs or FORs, but the records should be filed in an organized manner to facilitate ease of retrieval.
  - e. Implement a system to account for records removed from the storage area.
2. For Category I Records, implement one of the following additional storage requirements:
  - Records Vault.
  - One-hour fire-rated cabinet, plus smoke detection system.
  - Fire suppression system, and reasonable safeguards against theft, water damage, rodent or insect infiltration, or floods.
  - Duplicate records in an identified duplicate storage area in a separate location. These locations shall be sufficiently remote from each other to eliminate the chance of exposure to a single hazard.
  - Duplicate information on other record media stored in a separate location (Attachment B).
3. **IF** due to the accelerated closure demolition, facilities are not able to comply with the above fire protection requirements, **THEN** submit an alternate option to the UCOR Records Management SME and UCOR President and Project Manager for approval.
4. Records identified in PROC-OS-1007, *Vital Records*, as being vital records shall comply with the duplication storage requirement of DOE O 243.1B, *Records Management Program, Vital Records* section, and National Fire Protection Association 232 Chapter 4, “General Requirements,” Paragraph 4.1.5.1, “Duplication.”

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### C. Correspondence Distribution and Commitment Tracking

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

- |   |  |
|---|--|
| DMC                                     | 1. Sort and mark accordingly incoming DOE and/or regulators mail and forward to the UCOR Records Management SME, or Designee for processing.   |
| UCOR Records Management SME or Designee | 2. Review the content of DOE and/or regulators mail to determine if an action should be assigned.  |
|   | 3. Return mail to the DMC and non-record materials to the addressee.   |
|   | 4. Return action items to the DMC for processing.  |
| DMC                                     | 5. Assign codes to action items according to UCOR-4040, <i>URS / CH2M Oak Ridge LLC Records Management Program File Guide, Oak Ridge, Tennessee.</i>   |
|   | 6. Assign an organization number to the document.  |
|   | 7. Generate a coversheet with distribution information and attach to the front of the document. Date-stamp the document.   |
|   | 8. Process the Record Copy according to Sect. A of this procedure.   |
|   | 9. Send e-mail notifications with electronic versions of the record attached to all recipients on the assigned distribution for the action item. If unable to send electronically because of size or sensitivity, send hard copy to the recipient via the Courier. |
|   | 10. Run periodic Open Action Item Reports and distribute e-mail notices to the appropriate distribution for any overdue actions.   |
|   | 11. Receive notices of closed action items and process by closing the action in the commitment tracking system.  |

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#### **D. Managing Field Operating Records (FORs)**

**NOTE:** Record Copy material which exists and due to its nature is required to be maintained at a location other than the DMC or a SDC, such as the work site, is categorized as FOR. UCOR Records Management SME approval to retain FOR is required. Storage requirements defined in Sect. B must be established for the FOR location. An annual inventory shall be performed of all approved FOR locations by the Records Management Organization to verify continued compliance with storage and protection requirements.

Records governed by a UCOR subcontractor with a specified Scope of Work, i.e., not Staff Augmented, are not considered UCOR FOR and are listed on the approved SDC list.

- |                           |  |
|---------------------------|--|
| Requesting Individual     | <ol style="list-style-type: none"> <li>1. Contact the UCOR Records Management SME for approval to maintain Record Copy material as FOR.</li> <li>2. Designate an individual(s) to be responsible for the FOR.</li> </ol>   |
| Responsible Individual(s) | <ol style="list-style-type: none"> <li>3. Set up FOR storage area as appropriate for Category I and II Records as required in Sect. B.</li> <li>4. Respond to request for an annual records inventory of all FOR to the UCOR Records Management SME.</li> <li>5. Respond to requests for copies of Record Copy material (i.e., Privacy Act Information, Freedom of Information Act requests) according to approved procedures.</li> <li>6. Once FOR are no longer needed at the site location, follow the steps in Sect. L of this procedure for transferring FOR records to the DMC.</li> </ol> |
| Functional Manager        | <ol style="list-style-type: none"> <li>7. Ensure that terminating/transferring UCOR or staff augmentation employees who are responsible for FOR contact the DMC before leaving employment. FORs may not be transferred from one individual to another without approval of Records Management SME. Designate a new individual to be responsible for the FOR or transfer records to the DMC following the steps in Sect. L.</li> </ol>   |

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**E. Managing Records Received from Organizations Outside UCOR**

Official Recipient

1. If the DMC is on the distribution list for any records received from organizations outside UCOR, then the DMC copy is the Record Copy and all other copies are Non-record Copy, including e-mails and other electronic records. Any recipient receiving a document for which there is no indication that a Record Copy has been provided to the DMC should forward a copy to the DMC as the Record Copy.
2. Any individual who receives an e-mail which they consider contains record information shall forward the e-mail to the DMC's e-mail address at [ETTPDMC@orcc.doe.gov](mailto:ETTPDMC@orcc.doe.gov). The e-mail should include the meta-data (i.e., To, From, Subject, Date, and time of receipt if available).
3. **IF** the document is a subcontractor submittal, **THEN** process the submittal in accordance with PROC-OS-1005, *Management of Subcontractor/Vendor Submittals*.
4. **IF** the document is not associated with a subcontract and the DMC is not on distribution, **THEN** assign a number to the document using the format described in Sect. I of this procedure.
5. **IF** required, **THEN** make a copy of the document to maintain in the working files, and then forward the original to the DMC.
6. **IF** the document is correspondence associated with a subcontract, **THEN**
  - a. Forward the document to the Buyer/Subcontract Administrator (SCA) for processing.

Buyer/SCA

- b. Stamp the document Record Copy.
- c. File the document in a Correspondence File with the subcontract files until the close of the subcontract.
- d. Close out the subcontract submittal files and all associated files in accordance with PROC-OS-1005, *Management of Subcontractor/Vendor Submittals*.

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**F. Requesting Copies of Record Copy Material from the DMC**

- |  |   |
|--|---|
| Requester                                | 1. Personnel with a “Need to Know” may request information copies (either hard copy or electronic) of Record Copy documents contained in the DMC or a SDC. A User who possesses a non-controlled copy of a document which is subject to revision, including copies obtained from UCOR Web sites, is responsible for verifying the document is the latest revision at the time of use. Revision verification may be made by checking Functional Organization maintained Web sites or by contacting the DMC or SDC for those documents in their possession. |
| UCOR or UCOR Staff Augmentation Employee | 2. Complete a Form-340, Records Request Form, and submit it to the DMC or a SDC. DMC staff will complete the form, if one is not provided.  |
| External Customer                        | 3. Complete a Form-340, Records Request Form, and submit the form to the DMC.   |
| DMC or SDC                               | 4. <b>IF</b> the request is from a UCOR or UCOR Staff Augmentation employee, <b>THEN</b> verify employment status.  |
|  | 5. <b>IF</b> the request is from an external customer, <b>THEN</b> request release approval from the UCOR Records Management SME or designee and obtain appropriate classification and public release authorization prior to release to the external customer.  |
|  | 6. Locate document being requested. If the document cannot be located in DMC collections, consult with the Records Management SME to determine if requested item could be located in one of the established SDCs or FORs.   |
|  | 7. Unless otherwise authorized by the UCOR Records Management SME or designee, stamp the material “Information Only, Do Not Copy” ensuring that any other markings (i.e., Official Use Only, clearance reviews) are not obstructed.   |
|  | 8. Provide the requested material to the requester.   |
|  | 9. Complete the Records Management section of the Form-340.   |
| SDC                                      | 10. Forward the completed Form-340 Form to the DMC.   |
| DMC                                      | 11. Enter the distribution information from the completed Form-340 into an Information Copy Tracking database. The database tracks only the distribution of the information copy. It does not track the life cycle of the document after being provided to the requester.   |

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**G. Records Disposition: Inventory and Scheduling Process**

**NOTE:** To ensure the protection of valuable government and corporate records, a mandatory, consistent, company-wide process of inventorying, appraising, and scheduling information is established. UCOR generated records and subcontractor records required to be submitted to UCOR per their subcontract are scheduled and processed in accordance with the DOE Records Disposition Schedules. It is the responsibility of all personnel to submit records to the DMC.

- |               |  |
|---------------|--|
| All Personnel | <ol style="list-style-type: none"> <li>1. Submit all record material to the DMC, including record e-mails and electronic files. <ol style="list-style-type: none"> <li>a. Contact the DMC for assistance, as needed, to determine if a document is a record or non-record document. While non-record material may be disposed of when no longer needed, official records cannot be disposed of without authorization. Destruction of records under the jurisdiction of UCOR shall be by the Records Management Organization only unless otherwise authorized. All records under a destruction moratorium shall be preserved.</li> </ol> </li> <li>2. Destruction of documents is in accordance with PPD-SE-1405, <i>ETTP Classified Matter Protection and Control (CMPC) Manual</i>, and PPD-SE-1415, <i>ETTP Controlled Unclassified Information Manual</i>.</li> </ol> |
| DMC Staff     | <ol style="list-style-type: none"> <li>3. Schedule and process the records in accordance with the DOE Records Disposition Schedules.</li> </ol>  |

**H. Inventory Records**

- |     |  |
|-----|--|
| DMC | <ol style="list-style-type: none"> <li>1. Conduct an annual inventory of records in each UCOR location where records are maintained, placing a priority on unscheduled program records to ensure approved company retention schedules are applied to the records.</li> <li>2. Ensure inventory and scheduling includes records maintained in all media.</li> <li>3. Provide complete inventory information for all unscheduled records, regardless of media, as requested.</li> <li>4. Analyze information and assign records to the appropriate record series, which is a compilation of all approved retention periods for records.</li> <li>5. Retain records according to approved schedules and disposition records when eligible.</li> </ol> |
| DMC | <ol style="list-style-type: none"> <li>6. Obtain authorization for records turnover to the Federal Records Center (FRC) or records destruction from the UCOR Records Management SME, General Counsel, and the originating organization, if different from the originator, before the record's scheduled destruction date.</li> <li>7. Transition records during their life cycle so that they are managed cost effectively.</li> </ol>   |

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## **DOCUMENT CONTROL**

### **I. Creating and Identifying Records**

The creation, approval, and issuance process for documents that shall become “records” shall be defined in Functional, Project, or Site level procedures, or other governing documents. Documents that create or reiterate design data, technical data, or process controls shall as a minimum contain signatures of the Preparer, Checker, and Approver, etc.

Changes to data contained in a document prior to issuance or submittal to the DMC or SDC for Record Copy should be lined out, initialed, and dated. Once approved and ready to issue, the Record Copy shall be submitted to the DMC or appropriate SDC for entry into the appropriate Records Management System or approved tracking database. Once records are transferred to the DMC, Record Copy documents are controlled and may not be altered. Record Copy documents will not be released from the custody of the DMC without approval from the UCOR Records Management SME.

Documents produced by a subcontractor on behalf of UCOR also shall be submitted to the DMC or appropriate SDC for Record Copy entry into the Records Management System or approved tracking database.

Projects, SDCs or FORs planning to digitize hard copy records in their control must follow the guidance in Attachment E of this procedure.

As a good practice, functional and project organizations should consider capturing the native files of issued documents that are subject to revision on a Function or Project drive for the purpose of data re-use. Access to the files should be restricted to assure their integrity if needed for future revisions. Electronic files retained for the purpose of data re-use is not a record subject to the requirements of this procedure. The DMC will request and store native word files of UCOR-XXXX numbered documents and Engineering Records for configuration control purposes.

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

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Originator

1. Create records (see Attachment A for definition) and ensure they are:
  - Accurate, legible, reproducible, retrievable, and complete.
  - Traceable to systems, components, or activities involved.
  - Developed according to appropriate functional, project, or site-level procedures or guidelines, or other governing documents.
  - Validated by appropriate personnel, as required.
2. Identify business sensitive records in accordance with applicable operating instructions, internal procedures, and best management practices and mark accordingly.
3. Mark Classified Records in accordance with PPD-SE-1405, *ETTP Classified Matter Protection and Control (CMPC) Manual*.
4. Mark Unclassified Controlled Information in accordance with PPD-SE-1415, *ETTP Controlled Unclassified Information Manual*.
5. Refer to PROC-OS-1004, *Document Numbering and Issuance*, and follow the applicable numbering requirements.
  - a. **IF** the document is not identified in PROC-OS-1004 (i.e., correspondence, electronic media, presentations), **THEN** use the following format to identify records:

Ex: UCOR – XX – XXXX

↑

Year

↑

Sequential Number

**NOTE 1:** The number can be obtained from the log located at Q:\Admin\UCOR\_Letter\_Numbers. Access is restricted. To gain access contact UCOR President’s Office Administrative Support.

**NOTE 2:** The Nuclear Facility Safety organization is to be contacted for support with evaluation of the document in accordance with the Unreviewed Safety Question (USQ) process. (See “PROC-OS-1001 – USQD/UCD Review Process for UCOR Documents.”)

Originator

- b. Request a qualified USQ Determination (USQD)/Unreviewed Change Determination (UCD) preparer/reviewer review the new or revised document, including UCOR documents, to evaluate the document in accordance with the USQ process per PROC-NS-1001, *Unreviewed Safety Question Determinations for Nuclear Category 2 & 3 Facilities*, or the UCD process per PROC-NS-1008, *Unreviewed Change Determinations for Radiological and Non-Nuclear Facilities*.

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- USQD Preparer/  
Reviewer
6. Evaluate the document for a USQD/UCD (including review for Categorical Exclusion or applicable Exemption Criteria) in accordance with PROC-NS-1001 and PROC-NS-1008. Indicate evaluation determination by signing the appropriate block in accordance with UCOR-4000, *Document Preparation Guide, Oak Ridge, Tennessee*.
7. Notify the Originator if a USQD/UCD evaluation is required, the document meets one of the Exemption Criteria, or if a Categorical Exclusion applies.
- Originator
8. Obtain appropriate reviews, such as project, functional, nuclear safety, classification and/or clearance reviews, and mark records to indicate results of reviews. (DMC staff is available to provide guidance in this area.)
9. Designate in the document's distribution "cc" the DMC or applicable SDC as the Record Copy holder of all records created (e.g., DMC-RC). Ensure that e-mail messages and electronically forwarded correspondence identify the DMC as the Record Copy holder.
10. Any individual who creates or receives an e-mail which they consider contains record information shall copy or forward the e-mail to the DMC's e-mail address [ETTPDMC@orcc.doe.gov](mailto:ETTPDMC@orcc.doe.gov). The e-mail should include the meta-data (i.e., To, From, Subject, Date, and time of receipt if available).
11. Ensure record hard copies are marked Record Copy to clearly distinguish them from Non-record Copy.
12. Send the record to the DMC.
- NOTE 1:** Reference PROC-DE-0704, *Project Calculations*, for responsibility and management of Record Copy Engineering calculations.
- NOTE 2:** Form-589, Material Transfer Forms, are not mandatory for the submission of records unless there is a requirement for special retrieval or storage.
- NOTE 3:** For Records, other than e-mails, Projects or Functional areas wishing to send Electronic Records to the DMC, follow the requirements in Sect. N.
- NOTE 4:** If the Record generator is not a FOR or SDC, they must submit the completed record to DMC within one month of its completion. Exceptions to this requirement exist for Legacy Electronic systems that house electronic records. Those projects will send them to the DMC in one large package when the system is retired by coordinating with the Records Management SME.
- Originator
13. **IF** the record has a special retrieval or storage requirement, **THEN** complete Form-589, Material Transfer Form, to transmit the record to the DMC.

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Originator                    **14. IF** the Record contains information from a potentially sensitive project, **THEN** provide the DMC with either a completed Form-260, East Tennessee Technology Park Document Release Form, or completed Form-368, ETTP Classification Review Request Form, (whichever is appropriate) as evidence that the classification and release review has been completed by the Classification and Information Control Office in accordance with procedure requirements in PROC-SE-1005, *Classification and Information Control*. Ensure that the completed Form-260 form is marked to transmit the document to the Office of Science and Technical Information (OSTI) if it contains Scientific Technical Information (STI).

**15.** Ensure revisions to a document receive the appropriate level of review and approval.

DMC or Designee            **16.** Receive records and supporting documentation and process by entering into Documentum. Transmit documents marked as containing STI to OSTI.

**J. Distribution of Controlled Copies**

**NOTE 1:** Projects or functional organizations may request that copies of a document be issued to a defined distribution as “Controlled Distribution.” Controlled distribution is through the DMC. Controlled distribution of Work Packages is at a project level and processed through the SDCs or other project personnel.

**NOTE 2:** Refer to Sect. M for distribution of Controlled Copy Work Packages.

**NOTE 3:** Performance Document Group, Subcontractors or SDCs may distribute Controlled Copy documents through their internal programs.

**NOTE 4:** Under the UCOR program, the DMC or SDC may, upon receipt of a Controlled Copy document from a subcontractor, distribute additional controlled copies to designated personnel.

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

**a.** Submit Nuclear Criticality Safety and Safety Basis documents using Form-554, Safety Documents Worksheet, in accordance with PROC-NS-1011, *Management of Safety Basis Documents*.

**2.** Complete Form-1057, DMC Controlled Document Worksheet, and prepare a distribution list of personnel who are to receive controlled copies of the document.

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Originator

3. Send the completed Form-1057, distribution list, and document to the DMC for distribution.

a. **IF** electronic distribution is preferred, **THEN** submit a .PDF copy to [ETTPDMC@orcc.doe.gov](mailto:ETTPDMC@orcc.doe.gov).

**NOTE 1:** Unclassified Controlled Information cannot be distributed outside the UCOR firewall. Distribution outside the firewall will be completed by hard copy distribution or through approved encryption methods.

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

DMC

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

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

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

CONTROLLED COPY # \_\_\_\_\_

6. Generate a transmittal letter from the Controlled Document Management System. The transmittal letter shall instruct the recipient to acknowledge receipt of the document by signing and returning the transmittal letter to the DMC. **IF** the Controlled Copy document is a revision, **THEN** the transmittal letter shall also include instructions for inserting/removing revised material in the document.

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

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

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

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**K. Managing Non-record Material**

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

**NOTE:** As a good practice, functional and project organizations should consider identifying in the distribution for Non-record Copy documents the following:

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

Originator 2. Maintain as needed in working files ensuring that records and nonrecords are kept separate.

3. Dispose of unneeded non-record material promptly, and in accordance with content sensitivity and any guidance from UCOR General Counsel.

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

**L. Transferring Inactive Records to the DMC**

Record Copy Holder 1. Turn over specified subcontractor records to the DMC for disposition and archiving.

2. **WHEN** requirements/needs for FOR and SDC at site locations are reduced, **THEN** turn over FOR and SDC records to the DMC.

3. **IF** records come from potentially contaminated areas, **THEN** contact Health Physics to scan and green-tag the records. Documents identified as radiologically contaminated shall be controlled as defined by PROC-RP-4516, *Radioactive Contamination Control and Monitoring*.

4. Contact the DMC to obtain a Delivery Number.

5. Pack boxes following the instructions in Attachment C, ensuring that only Record Copy material of the same type of Record are packed in each box. **DO NOT** mix Records types without approval from the UCOR Records Management SME.

6. Create a detailed comprehensive index of the records contained in each box. Place a copy of the index in each box and provide an electronic index to the DMC.

Record Copy Holder 7. Once boxes are ready for transfer, coordinate transfer through appropriate Facility Managers, and contact the DMC to ensure space is available for receipt.

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DMC

8. Provide guidance to the Record Copy holder during the transfer process as needed.
9. Receive boxes and process into Documentum and prepare them to be shelved or staged for shipment to the FRC.

**M. Work Package**

Work Packages shall be considered “In Progress” documents and shall be managed in accordance with the requirements of Sect. B, Storage Requirements for the Protection of Records. They shall be assembled, approved, revised, stamped, and executed in accordance with the criteria of PROC-FS-1001, *Integrated Work Control Program*. The addition of signatures, permits, tailgate and pre-job briefing forms, and completion of associated Work Package forms do not constitute a change requiring a Work Package revision. However, the addition of signatures, attendance rosters, and completed forms shall be verified as being contained in the Work Package before it can be considered as complete and designated as a record. When a Work Package is completed, it becomes a Category I record (see Attachment D). Completed Work Packages shall be sent to the DMC as a record in accordance with Sect. L.

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

Work Package Planner, Senior Work Control Lead, Work Package Coordinator or Designee

1. Maintain a Work Package Log to track Work Packages. Enter the “In process” Work Package, including a .PDF into the Records Management System, Documentum.
2. Include in the Work Package a Table of Contents or tab list that defines the contents of the Work Package.
3. Change documents being annotated in the Work Package.
4. Retain a copy of the original document, hard copy or electronic, and all change notices and revisions issued against the Work Package as a “History File.”
5. Maintain a Work Package checkout system. Confirm that the Work Package’s content is complete and current prior to project personnel checking out the Work Package.

DMC

6. Issue a daily report of revised documents to the Work Package Planners, Senior Work Control Leads, and Project and Functional Designees.

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Work Package  
Planner, Senior Work  
Control Lead or  
Designee

7. Review the Work Package(s) under your control and identify the Work Packages containing documents identified as being revised from the daily report.
  - a. Evaluate and determine if the Work Package is impacted and requires a revision in accordance with PROC-FS-1001.
8. Recall and update all Controlled Copies of a Work Package impacted. The grace period for a document holder to respond to a recall and the second overdue notification of a recall as noted in Sect. J do not apply to the Work Package process.
9. Return updated Work Package to Controlled Copy holder.
10. Send completed and closed Work Packages to the DMC, in a timely manner.

#### N. Electronic Record Submission

Projects or Functional organizations desiring to send Electronic files for Records retention will identify a single point of contact (POC) and one back-up to follow the steps below.

**NOTE 1:** If electronic or digital files are created from Hard Copy Records and are considered a permanent record, the Hard Copy should be forwarded to the DMC for retention. Destruction of the paper copy is not authorized, per direction from the DOE Headquarters Records Management Organization. If you have a question on whether your Record is permanent, please contact the UCOR Records Management SME.

**NOTE 2:** If electronic digital signatures are included, they must conform to the requirements listed in the UCOR Information Technology Digital Signatures Wiki located on the A-Z index under D-Digital Signatures - How to.

Project POC

1. Contact the DMC to register as an electronic record contributor.

DMC

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

Project POC

4. If electronic files are not in .PDF format, convert files. Reference Attachment E for requirements for digitization. Files to be considered for electronic only storage should be scanned at 300-400 pixels per inch (ppi), 400 ppi is preferred, if they are being scanned from the hard copy version. ONLY .PDF files will be accepted without written approval from the UCOR Records Management SME.
5. Place .PDF files into deposit folder created by the DMC.
6. Send e-mail notification to [ETTPDMC@orcc.doe.gov](mailto:ETTPDMC@orcc.doe.gov) stating electronic records have been deposited.

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DMC                    7.    Move electronic records out of deposit folder and upload into the DMC's Indexing system Documentum.

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

**SOURCE DOCUMENTS**

- DOE O 200.1A, Chg. 1 (MinChg), *Information Technology Management*
- DOE O 243.1B, Admin Chg 1, *Records Management Program*
- DOE O 458.1, Chg 4 (LtdChg), *Radiation Protection of the Public and the Environment*
- National Fire Protection Association 232, *Standard for the Protection of Records*
- Title 10, Code of Federal Regulations, Chapter III, Part 830.120
- Title 36, Code of Federal Regulations, Chapter XII
- Title 41, Code of Federal Regulations, Chapter 201
- UCOR-4141, *URS | CH2M Oak Ridge LLC Quality Assurance Program Plan Oak Ridge, Tennessee*
- UCOR-4122, *Configuration Management Program Description for URS | CH2M Oak Ridge LLC, Oak Ridge, Tennessee*
- PPD-SE-1405, *ETTP Classified Matter Protection and Control (CMPC) Manual*

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

**Category I.** Category I Records are records that require a rigorous level of protection because of their content or value. Examples of Category I Records are as follows: <TSR, Sect. 5.9 or 5.10.1>

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

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

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

2. *Epidemiology Records:* Documents that provide information about people who worked at a U.S Department of Energy (DOE) or contractor site, when they worked there and what they did, what health hazards they were exposed to (such as radiation, chemicals, and metals), and what kinds of health problems they may have had during their employment. Other site records useful for measuring any potential health effects upon surrounding communities also may be included. Epidemiological records are covered under a moratorium and may not be disposed of at this time.
3. *Historically Significant Records:* These include selected drawings of special facilities or equipment, selected records associated with significant events having intense public interest, etc.
4. *Environmental Data:* Any measurement or information that describes environmental processes or conditions or the performance of environmental technology (ANSI/ASQC E4-1994). Environmental data consist of quality assured and non-quality assured EM project data. This definition encompasses all measurement, monitoring, and analytical data that is generated by or for the EM Program and includes supporting information, such as all associated geospatial information, monitoring locations, sample dates, depths, units, standardized parameter names and codes, and data quality assessment flags.

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5. *Administrative Record*: The official body of documents that forms the basis of the selection of a particular response action (i.e., documents considered or relied upon in selecting a remedy) for an operable unit as required by the Comprehensive, Environmental Response, Compensation, and Liability Act (CERCLA) of 1980. For the management of the Administrative Records see PROC-OS-1003, *Administrative Record Program*.
6. *Permanent Records*: These are selected files on occurrences of widespread public interest, medical or health research project case files, etc. Permanent records will eventually be considered for transfer to the National Archives and Record Administration (NARA). Records that are not yet scheduled must be handled as if they were permanent.
7. *Life-Time Quality Assurance (QA) Records*: The subset of quality assurance records which have been determined to require the most rigorous protection and retention.
  - a. Records of design, construction, operation, maintenance, and modification of engineered safety systems or structures and records that meet one or more of these criteria:
    - Provide significant value in demonstrating capability for safe operation; or in maintaining, repairing, replacing, or modifying an item; or in determining the cause of an accident or malfunction of an item.
    - Provide required baseline data for in-service inspections.
    - QA records pertaining to environmental, hazardous systems, or material disposal.
  - b. Records that document the following:
    - QA programs that are DOE or other sponsor imposed.
    - Consequence of failure that includes the possible loss of use of a unique UCOR facility.
    - Failure that could result in a significant risk of inadvertent environmental, public, or personnel exposure to biological, chemical, or radiological hazards.
    - Failure that could result in significant adverse publicity which could damage company's reputation.
  - c. Any items other than the above which have been identified in other requirements documents.

**Category II Records <TSR, Sect. 5.9 or 5.10.1>**. All other records are defined as Category II records, which have less stringent requirements. Some examples are general administrative records, routine budget records, non-vital weapons records, transportation records, non-lifetime quality assurance records, etc.

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

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

**Controlled Documents.** Documents which are submitted to and are under the jurisdiction of the Document Management Center or Satellite Document Center as “Record Copy.” The Document Centers provide storage protection and maintenance of records while implementing controls to prevent alteration or loss of records.

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

**DOE.** U.S. Department of Energy

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

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

**Electronic Records.** Information recorded in a form that only a computer can process that satisfies the definition of a record. Electronic records are preferably kept in record keeping systems but may be created, stored, and managed in .PDF format.

**ETTP.** East Tennessee Technology Park

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

**FRC.** Federal Record Center

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

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

**In-Progress.** A Work Package which has been formulated and is ready for issuance to Field Staff for the execution of the scope of work. In-Progress Work Packages are updated during the execution of work collecting signatures or additional documents produced during the execution of the scope. The Work Package is no longer considered In-Progress but complete once its scope is fully executed and all additional documents and signatures have been verified as being included.

**NARA.** National Archives and Record Administration

**Nonrecords.** Informational material excluded from the definition of records. This material is preserved solely for reference and extra copies of documents are kept only for convenience of reference.

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**OSTI.** Office of Science and Technical Information

**POC.** Point of Contact

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

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

**Records <TSR, Sect. 5.9 or 5.10.1>.** Information created that is preserved or appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities or because of the informational value of the data regardless of physical form or characteristics, in connection with business transactions under the contract. It includes, but is not limited to, all paper; film and electronic documents; reports; correspondence; notebooks; diaries; engineering drawings; personal calendars; appointment books, telephone directories; notes and memoranda used, generated or received by UCOR directors, employees, consultants and subcontractors.

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

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

**SCA.** Subcontract Administrator

**SDC.** Satellite Document Center

**SME.** Subject Matter Expert

**STI.** Scientific Technical Information

**UCD.** Unreviewed Change Determination

**UCOR.** An Amentum-led partnership with Jacobs

**USQ.** Unreviewed Safety Question

**USQD.** Unreviewed Safety Question Determination

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Because of the media, value, or the sensitivity of the information, some records have additional requirements for protection, access, retrieval, and storage.

**SECTION 1. ELECTRONIC RECORDS**

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

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

**A. Documenting Electronic Record Systems**

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

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**B. Creation and Use of Electronic Record Systems**

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

**C. Labeling and Indexing Electronic Records**

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

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

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

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For numeric data files include:

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

Print out indexes to ensure easy access.

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

**D. Scheduling and Disposition of Electronic Records**

1. Ensure electronic information systems are reviewed for record keeping requirements and are scheduled for retention.
2. Destroy electronic records only in accordance with an approved records disposition schedule.
3. Ensure that electronically stored records are easily retrievable until their authorized disposition. This requires a media migration plan if required retention is longer than the life of the media being used.
4. Convert permanent electronic records that are to be transferred to the NARA either to .PDF or to paper.

The system must be able to accommodate the data transportability specifications and documentation for those permanent records that will be transferred to NARA. (See 36 CFR Chapter XII, National Archives and Records Administration.)

5. Follow the approved method of erasure or destruction established by Computer Security for classified or sensitive unclassified records that are to be destroyed.

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**E. General Requirements for Storing Electronic Records**

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

**SECTION 2. MICROFILMED RECORDS**

**A. Microfilmed Records Requirements**

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

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

**SECTION 3. AUDIOVISUAL RECORDS**

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

**A. Special Handling for Permanent or Unscheduled Audiovisual Records**

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

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

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6. Ensure information recorded on permanent or unscheduled magnetic sound or video media is not erased.
7. Maintain permanent or unscheduled records separate from disposable records.

**B. Creating and Identifying Audiovisual Records**

1. Use appropriate materials and procedures for creating audiovisual records and finding aids, especially for permanent or unscheduled records following 36 CFR, Chap. XII, Audiovisual Records Management.
2. Identify audiovisual records.
  - a. Record unique identification numbers on every negative jacket, storage container, all corresponding prints, or other use copies.
  - b. Ensure every container of motion picture film, videotape, and audio recording has the generation clearly labeled to prevent the inadvertent use of a negative or master for reference purposes.
  - c. **IF** captions or their equivalent are used, **THEN** store separately to prevent damage from attaching to photographs.

**C. Maintaining and Using Audiovisual Records all Organizations**

1. Maintain disposable records separate from permanent or unscheduled records.
2. File masters and use copies, such as negatives and prints, separately to permit more convenient use of each and make it easier to take special care of the film negative or magnetic master, which is the most valuable copy of any audiovisual record.
3. Maintain the association between audiovisual records and the finding aids such as catalogs and captions.
4. **IF** different versions of audiovisual records are prepared (i.e., short and long versions), **THEN** keep an unaltered copy of each version for record purposes.

**D. Storing and Preserving Audiovisual Records**

1. Prevent erasure or alteration of magnetic records.
2. Store negatives separately from prints, and magnetic masters separately from viewing or listening copies.

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3. Protect from fire, water and chemical damage.

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

**SECTION 4: REQUIREMENTS FOR RADIOGRAPHIC RECORDS**

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

**A. Radiographic Enclosure Materials**

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

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**B. Care and Handling of Radiographic Records**

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

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

**NOTE 2:** FRC storage shall not be used for permanent or litigation x-rays unless space meeting the excellent environmental standards is made available. If such x-rays are currently stored at a FRC without environmental controls, they shall be removed no later than 3 years after placement. Deterioration is a risk if x-rays are stored for a longer period.

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

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

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**Attachment D**  
**COMMON CATEGORY I/II RECORDS**  
**(Record Copy)**  
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**Category I**

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

**Category II**

Audit Reports  
Budget Records  
Calibration Records  
Claims and Litigation Files  
Daily Surveillance Reports  
Digital Photos  
EEOICPA Files  
Employee Application Files  
Employee Concern Files  
Equipment Maintenance Files  
General Correspondence  
Human Resources Personnel Records  
Information Technology Records  
Internal Verification Review  
Interview Records  
Labor Relation Reports  
Lessons Learned Files  
Management Assessments  
Project Photographs  
Project Status Reports  
PRC Minutes  
Readiness Review Evidence Files  
Round Sheets (Walk Abouts)  
Security Investigation Files  
Shift Turnover Documents  
Subcontract Procurement Files  
Submittal Files (General)

Training Records  
Note: These Training Records relate to managerial, developmental, administrative, nonexposure, etc., subjects.  
Vendor Documentation on Equipment  
Work Packages (In Progress)  
Work Permits

**CERCLA.** Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (Superfund)

**CFO.** Chief Financial Office

**EEOICPA.** Energy Employees Occupational Illness Compensation Program Act of 2000

**RCRA.** Resource Conservation & Recovery Act of 1976

**PRC.** Project Review Committee

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**Attachment E**  
**INSTRUCTIONS FOR SCANNING PAPER TEMPORARY RECORDS AND PURGING HARD COPIES (PURGING OF PERMANENT HARD COPY RECORDS IS NOT AUTHORIZED)**  
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**Scanning must meet the following standards:**

- (a) Capture all information contained in the original hard copy records;
- (b) Include all the pages or parts from the original hard copy records;
- (c) Ensure the scanned version can still be used for all the purposes the original hard copy records serve, including the ability to attest to transactions and activities;
- (d) Protect against unauthorized deletions, additions, or alterations to the scanned versions by storing in Documentum; and
- (e) Ensure they can be located, retrieved, accessed, and use the scanned versions for the records' entire retention period.

**Acceptable Image Quality Specifications:**

Scanned images of textual records transferred to NARA must meet the following minimum requirements for scanning resolution and pixel (bit) depth to support archival preservation and continued use:

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

**Scanning must then be validated by:**

- (a) Ensuring the scanned versions are of suitable quality to replace original hard copy records.
- (b) Verifying that the standards from above were met.

**Disposing of original source temporary records (Destroying Permanent Records not authorized):**

- (a) When the image has been validated that the scanned versions meet the standards above, the original source records may be destroyed pursuant to General Records Schedule (GRS) 5.2 intermediary records, subject to any pending legal constraint on the agency, such as a litigation hold.
  - GRS 5.2 states that - input or source records, which agencies create in the routine process of creating, maintaining, updating, or using electronic information systems and which have no value beyond the input or output transaction: hardcopy input source documents where all information on the document is incorporated in an electronic system, electronic input source records such as transaction files or intermediate input/output files:

<b>Temporary.</b> Destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.	DAA-GRS2017-00030002
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- (b) The Company must treat the digitized versions, now the recordkeeping versions, in the same way it would have treated the original source records. The company must retain the scanned versions for the remaining portion of any retention period established by the applicable records schedule and placed in Documentum for storage.