

Guide 243.1-1



U.S. DEPARTMENT OF  
**ENERGY**

Legacy  
Management

# **Records and Information Management Transition Guidance**

**January 2015**

# Records and Information Management Transition Guidance

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## Executive Summary

The Office of Legacy Management (LM) plays an integral part in the U.S. Department of Energy (DOE) strategy to ensure that legacy liabilities of former nuclear weapons production sites are properly managed following the completion of environmental cleanup activities. An important part of this process is the transition of government records and information as the site is transitioned to LM responsibility.

This guidance document establishes a framework for developing a Records and Information Management Transition Plan as part of the overall transition effort for a legacy site. The records transition plan addresses records management concerns that may arise during closure of a site prior to transfer to LM. Concerns include management support, contract language and agreements, interactions with the DOE Office of the Chief Information Officer, interactions with the National Archives and Records Administration, resource and budget considerations, and procedures to safeguard records. This document provides guidelines and criteria for developing a Records and Information Management Transition Plan for a site transfer.

## 1.0 Introduction and Purpose

### LM Records Functions

One of the Office of Legacy Management's (LM's) primary goals during and after their transition of a site is to preserve, protect, and share legacy records and information. As part of this long-term legacy mission, LM assumes ownership and custody of all records (with exceptions addressed on a site-by-site basis) from the transferred sites.

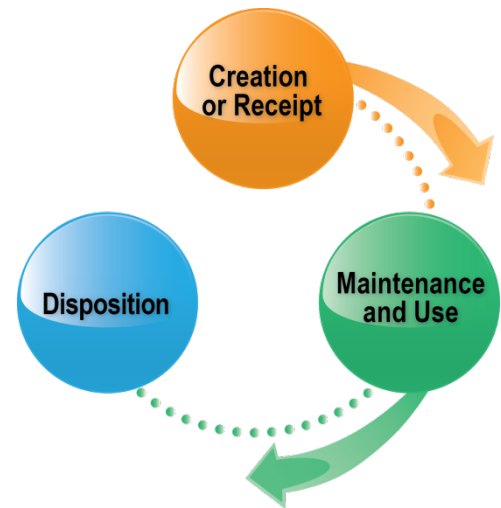
It is LM's practice to:

- Establish Records Management points of contact (POCs) at transfer sites and work with them to ensure a smooth transition of information and records.
- Accept custody of all records from transfer sites (with some exceptions addressed on a site-by-site basis).
- Manage all records in accordance with federal regulations (such as Title 36 Code of Federal Regulations CFR Parts 1200–1299) and DOE policy and guidance documents.
- Preserve and dispose of records in accordance with approved DOE records schedules.
- Ensure that appropriate records are made available to stakeholders and the public in a timely manner and in accordance with appropriate security considerations.
- Maintain records in storage facilities that meet federal and DOE requirements for unclassified and classified material, though LM does not accept or store classified records.
- Respond to requests for information (Freedom of Information Act [FOIA], Privacy Act [PA], Energy Employees Occupational Illness Compensation Program Act [EEOICPA], litigation, etc.) in a timely and cost-efficient manner.
- Work with the DOE Office of the Chief Information Officer (OCIO) regarding permanent records, records policy, schedule development, and other issues that require National Archives and Records Administration (NARA) coordination.

## 2.0 The Records Life Cycle

The records life cycle is an important concept in records management. It is a way of looking at how records are created and used.

The records life cycle consists of three distinct phases: creation or receipt, maintenance and use, and disposition (i.e., the destruction of temporary records or long-term preservation of permanent records). Records must be managed throughout their entire life cycle according to federal laws and regulations approved by NARA.



## 3.0 Organizational Responsibilities

The transferring site is responsible for maintaining its records according to NARA and DOE guidance until transition is completed, while LM is responsible for receiving the records and ensuring their long-term maintenance and disposition. Critical areas include ongoing records management activities at the time of site closure (including medical studies, FOIA/PA requests, and EEOICPA claims), the management of litigation records, the sharing of institutional knowledge, and continuing access to records.

Both parties will follow the established records transition plan activities and due dates. This section presents the roles and responsibilities of the transfer site and LM that are the necessary foundation for cooperation and coordination.

### 3.1 Joint Responsibilities

Joint responsibilities of LM personnel and the transfer-site personnel include:

- Jointly develop the Site Transition Plan and the Records and Information Management Transition Plan, and conduct the site transition process in accordance with the applicable regulations and DOE Orders.
- Prepare and maintain a schedule with milestones that identify information and records activities to be accomplished to support transfer.
- Meet at least quarterly to discuss the status of site transition and prepare status reports.
- Identify records and information POCs to participate in the Site Transition Team to coordinate the transition of information and records. The LM and Transfer Site Transition Leads must be notified immediately of any POC personnel changes.
- Provide sufficient resources to allow LM to gain a level of familiarity with the institutional framework of transfer program records and information. Adequate staffing facilitates the orderly transfer and receipt of transfer-site records and systems and ensures efficient and timely responses to record and information requests.
- Prepare agreements and notifications required to support transfer of records management responsibilities to LM (e.g., NARA custodial transfer).
- Advise each other of any significant issues, contracts, grants, cooperative agreements, and announcements or solicitations relating to records and information management activities.

### 3.2 Transfer-Site Responsibilities

Transfer-site personnel responsibilities include:

- Maintain managerial and support staff with the skills and expertise to operate a comprehensive records management program and to support transitional needs until transfer to LM is completed. These personnel respond to FOIA and PA requests, EEOICPA claims, and other requests initiated prior to site transition.
- Maintain responsibility for ongoing litigation cases and provide LM with guidance concerning records requirements to support litigation.
- Prepare, with assistance from LM, a Records and Information Management Transition Plan for the site's records program. The plan must be approved by the Transfer Site Transition Lead and the LM Transition Lead.
- Prepare an inventory of active and inactive records that includes volumes, media types, and locations.
- Provide associated indexes and identify tracking/control/management databases and finding aids in formats agreeable to both the transfer site and LM.
- Identify and segregate records that will be transferred to LM as part of site transition, including special collections (e.g., historical and epidemiological data, photographs, videos, x-rays), records needed to support post-closure activities, and electronic records. Indicate record types to be transferred to LM, and indicate record types not included in the transfer with "N/A" or similar statement. The transfer of records includes a transfer of custody, ownership, and management responsibilities for all transfer-site records, with exceptions to be addressed on a site-by-site basis.
- Ensure that all records are appropriately scheduled and dispositioned until the records are transferred to LM in accordance with NARA and DOE requirements.
- Work with LM and the OCIO to develop schedules, as required, if the transfer site identifies unscheduled records.
- Identify records that show evidence of deterioration and consult with LM and OCIO to determine the management of those records.
- Identify site records according to the table and instructions in Appendix D, "Records/Data Needs for Post-Closure Site Management," and segregate and transfer the records to LM as active records.
- Fund transportation, storage, and retrieval costs of its records until custody of the records is transferred to LM and the records are transferred to the LM Business Center records storage facility in Morgantown, West Virginia, or to another LM-recommended storage facility.
- Transfer records to LM (or another custodian as agreed to by the transfer site and LM) in accordance with established schedules and agreements.
- Dispose of non-record material and do not transfer non-record material unless approved by LM.
- Identify and segregate classified records and identify a custodian for classified records. LM will accept only unclassified records.
- Ensure that contaminated records are not transferred to LM. Examples of contamination may include radiological, chemical, and/or biological contamination. Provide documentation of radiological surveys and/or remediation actions, as applicable. Documentation may not be necessary for records exclusively housed in administrative areas.

### 3.3 LM Responsibilities

LM personnel responsibilities include:

- Provide sufficient managerial and support staff with the skills and expertise necessary to ensure that a comprehensive, efficient, and effective records program is established to support the transition and management of transfer-site records.
- Assist the transfer site in preparing a Records and Information Management Transition Plan for the site's records program. The plan must be approved by the Transfer Site Transition Lead and the LM Transition Lead.
- Perform periodic reviews and a final readiness review to verify the status of records transition.
- Prepare to receive transfer-site records at the LM Business Center or another LM-recommended storage facility.
- Accept records and information from the transfer site consistent with the established schedule and agreements. The records and physical locations must meet regulatory requirements and quality agreements between LM and the transition site before LM will accept transfer. Records transfer acceptance criteria are listed in the checklist in Appendix B.
- Provide transition site personnel with reasonable access to records in LM's ownership and custody so DOE can be responsible for requests for information, including records requests, in a timely and cost-effective manner that meets applicable deadlines.
- Respond to records requests initiated after the transfer of ownership and custody of records from the transfer site to LM.

### 3.4 Preparation of the Records and Information Management Transition Plan

The transfer site, with LM assistance, shall prepare a Records and Information Management Transition Plan. The Records and Information Management Transition Plan identifies transition activities required to transfer information and record holdings efficiently to LM. The plan will assist both organizations in structuring tasks, establishing a timetable and milestones for task completion, and identifying personnel, funding, and other resources needed to complete the records transfer. Additionally, the plan will provide a valuable exchange of institutional knowledge to assist LM in meeting the obligations of responsibly managing legacy records.

Plan development should be undertaken in conjunction with other site closure and transition planning efforts at the DOE Office of Environmental Management Headquarters or field element level. Meetings with records and information POCs should be held to coordinate the details to help ensure that a comprehensive and achievable Records and Information Management Transition Plan is developed. Appendix A provides guidance for preparing a Records and Information Management Transition Plan.

After the LM and Transfer Site Transition Leads approve the Records and Information Management Transition Plan, the document will be distributed to all appropriate POCs, management, and program levels. Thereafter, the Records and Information Management Transition Plan will serve as a communication and progress tracking tool to help identify and resolve issues, support resource requests, monitor progress, and plan for post-transfer records responsibilities. Meetings to discuss progress will be held as often as necessary, and changes in scope, schedule, and resources will be monitored and brought to the attention of the LM and Transfer Site Transition Leads.

## 4.0 Effective Transition Practices

This section addresses records transfer provisions and highlights some of the issues that must be addressed, such as contractor and subcontractor records and interactions with OCIO and NARA. Additionally, this section provides suggestions for records management activities through site closure.

### 4.1 Continued Management Support

Transfer-site personnel must make a commitment to manage information and records efficiently and cost-effectively. Otherwise, it may be difficult to develop and implement procedures and put processes in place during transition or site closure. Management support is needed to ensure critical staff and resources remain available during transition.

The transfer site's commitment to manage and preserve government records is essential. The LM and Transfer Site Transition Leads should be apprised of the status of records and information management activities, ensure the necessary support and resources are available to accomplish the objectives of a smooth and effective transition of records, and adhere to federal regulations and LM site transition policies and procedures.

### 4.2 Contract Language and Agreements

Record and non-record material generated by contractors and subcontractors during the execution of their responsibilities on behalf of a federal agency are the property of the federal government. Other than specifically identified contractor-owned records, documents created in support of federal activities are not the property of a contractor or individual contractor employees and should not be removed from the site without proper authorization. Additionally, the contractor and subcontractor(s) have an obligation to manage these records in accordance with federal records management policies and procedures.

The transfer site should review applicable contracts for agreements regarding the ownership, management, and disposition of records created by contractors and subcontractors. Memoranda of understanding, grants, and cooperative research and development agreements might also identify federal records (created under partnerships with other federal agencies, states, universities, private companies, and foreign governments) that must be transferred to LM. In some cases, legal consultation may be needed to clarify contract clauses and other legal issues related to records ownership and custody.

If records ownership and disposition responsibilities have not been addressed in the contract or funds have not been budgeted for disposition, contract modifications may be required to support the transition process. Disputed or unresolved records issues between the transfer site and its contractors and subcontractors should be identified in writing as soon as possible in the site transition process. Any issues not resolved prior to site transfer should be reported to the LM and Transfer Site Transition Leads for action.

### 4.3 Assistance

Records and information management assistance should be coordinated through the Site Transition Team or applicable site transition POCs. They may be able to answer questions directly and can ensure proper communication and collaboration with OCIO staff to resolve difficult issues.

The DOE Records Officer and OCIO staff can solicit management support, facilitate the development of draft schedules to meet new requirements, interpret departmental policy, and address issues with NARA. OCIO will coordinate any issues that involve working with NARA officials. Issues or questions that might require NARA participation should be identified early in the transition process. OCIO and NARA can assist the transfer site with many of the disposition activities. Disposition activities include developing procedures for collecting, indexing, and integrating contractor and subcontractor records, determining the amount of space that will be required for storage, developing a timetable for transferring the records, and reviewing draft schedules.

#### **4.4 Notifications (NARA and OCIO)**

NARA requires that agencies submit written notification of the impending termination of any of its major components. NARA must be notified of the estimated volume of records that will be transferred to the Federal Records Centers (FRCs) or that will be transferred from FRCs to the LM Business Center records storage facility, the volume of permanent records being accessioned to NARA, the volume of classified records, and the volume of records in any format that will require special handling or storage conditions.

NARA requires timely notification of a change in records custody, such as from the transfer site to LM. This requirement also applies if records are moved to a non-federal records storage facility. OCIO submits these notifications to NARA on behalf of the involved organizations. All notification activities should be coordinated through the appropriate transition POCs.

#### **4.5 Budget Considerations**

As sites approach closure, transfer-site management and personnel are often focused on the physical completion of site cleanup. Nevertheless, transfer site resources needed for Records and Information Management Transition Plan activities must be available to satisfy federal and DOE records management requirements and agreements with LM. Transfer Site Transition Leads and LM should be briefed on a regular basis regarding cost estimates, funding, and human resource availability. Additionally, cost and resource estimates should be addressed in the Records and Information Management Transition Plan for the site (see Appendix A).

#### **4.6 Safeguarding Records**

The transfer site should conduct exit interviews with all personnel to identify and collect records. Employees must not remove any government records or non-record material.

### **5.0 Records Management Guidelines**

This section provides LM guidance on the types of records and records management activities that are necessary for a smooth transfer of records responsibilities from the transfer site to LM.

Complete inventories, schedules, finding aids, indexes, records databases, and other related information should be kept current and transferred to LM with the records. Additionally, other supporting material, such as oral histories or exit interviews with key staff members, should be conducted and documented prior to transfer to facilitate the transition and understanding of LM's records management responsibilities. Finally, all record types should be addressed during the transfer to LM. Record types not included in the transfer should be clearly marked "N/A" or a similar statement included. For more information regarding record types, see Appendix A, Records and Information Management Transition Plan Guidance.



## **5.1 Non-Record Material**

As a general practice, LM will not accept non-record material from a transfer site. Non-record material should be filed or maintained separately from record material. It is important for a site to have an exit interview policy that facilitates the identification and turnover of record material and the removal of non-record material.

Occasionally, material ordinarily considered non-record may be categorized as record material when included in a specific and unique collection of evidential material or due to regulatory or procedural requirements. The transfer site will work with LM to identify and resolve concerns of this type related to document collections.

Libraries and reading rooms are other sources of non-record material. The transfer site should identify whether non-record material maintained specifically for site or public reference should be retained to support LM activities, including public interaction. While these documents do not belong within the LM records management program, they could be incorporated into the LM information management program, as appropriate.

## **5.2 Inventory and Schedule**

The transfer site should provide an up-to-date inventory of records holdings. As part of the inventory process, a DOE Records Inventory and Disposition Schedule (RIDS) should be completed for the records. This process requires that the record inventories adhere to NARA-approved schedules for records disposition.

## **5.3 Unscheduled Records**

The transfer site must make every effort to ensure that all records are scheduled prior to transfer to LM. If an appropriate records schedule does not exist, the transfer site should identify this problem early in the transition process so a draft schedule can be developed and submitted to NARA for approval. Ideally, NARA will approve the schedule before the records are transferred to LM. LM will work with the transfer site, OCIO, and NARA to ensure the records schedules reflect the long-term needs for LM access to information and records.

Appendix E discusses use of the DOE RIDS form. If the appropriate records schedule is not available in the DOE administrative or program-specific schedules, the transfer site must submit a Request for Records Disposition Authority (Standard Form [SF]-115) for NARA approval prior to records disposition. Appendix E also includes information on the use of an SF-115.

## **5.4 Disposition**

LM will only accept ownership or custody of records that have been inventoried, scheduled, and dispositioned in accordance with NARA and DOE requirements. Additionally, the transfer site will develop all recordkeeping documentation necessary for records disposition and will provide the documentation to LM, OCIO, and NARA, as appropriate. An Agreement to Transfer Records to the National Archives of the United States (SF-258) must be completed and submitted to NARA with all permanent records transferred to NARA.

Records that are transferred from the transfer site to the LM Business Center should be accompanied by a records inventory for each box and a completed LM Records Transfer form (LM-135). Finding aids and indexes should also accompany records transferred to LM. All federal records in the

possession of the transfer-site contractors and the agency will be transferred to an LM-approved storage location. Appendix E discusses use of the LM-135 form.

During the site closure process, issues may arise relating to the loan or transfer of current records or records past their retention date to outside entities or other federal agencies. The transfer site will work with LM, OCIO, and NARA to determine the appropriate action. The LM and Transfer Site Transition Leads, with NARA approval, will make the final decision.

### **5.5 Abandoned Records and Lost Information**

The transfer site is responsible for ensuring that records are accounted for and responsibly managed until they are transferred to LM. The site should implement accountability procedures to ensure that site records are retained through closure. Employees should be held accountable to management for the preservation of site records in site custody and should be prohibited from abandoning records. Responsible management of records should be made part of the employee transfer or closeout process.

The transfer site should conduct exit interviews that focus on the institutional knowledge gained in technical areas and document actions taken and outcomes. Written reports of the content of these interviews should be retained as a recordkeeping requirement until the information is no longer needed for documentation of a set of records.

### **5.6 Recordkeeping Systems**

LM must receive all documentation and information associated with the records that are being transferred to their custody, such as forms (e.g., LM-135, Records Transmittal and Receipt [SF-135], and SF-258), finding aids, indexes, and other available information related to the record collections. All data from transfer-site recordkeeping systems must be transferred to LM to support the LM records management program. Data requirements for the LM system are based on the data available in transfer-site recordkeeping databases and LM records management needs. LM and the transfer site will work together to develop the necessary data interfaces that will enable a data transfer from the transfer-site system to the LM system.

### **5.7 Electronic Documents and Data Formats**

An effective method for electronic media transfer will be coordinated between LM and the transfer site. LM must ensure retrievability of any media accepted. An inventory of electronic documents, databases, software, and e-mails should be developed for the transfer site and electronic records should be scheduled and dispositioned. Electronic records will be managed consistent with NARA guidelines. Additionally, LM and the transfer site will adhere to OCIO guidelines for the management and archival of website information.

Electronic site environmental monitoring or survey data needed to generate site stewardship documents (e.g., drawings, tables, and maps) should be transferred to LM in electronic and paper formats. Appendix C includes a listing of environmental monitoring data and mapping data layers typically provided as part of site transition activities. Each transition may require a subset of the list in Attachment C as well as additional information that is unique to that site.

The transfer of all electronic files will be coordinated between LM and the transfer site to ensure all information and documentation necessary to support the use of the electronic files are also transferred. For example, software transfers should include system requirements, system

documentation, and source code. If specific software is required for the use of electronic files, the software will be identified and any related issues will be resolved prior to file transfer. The file-naming conventions, an index of files, and a list of related documentation should accompany electronic file transfers.

## **6.0 Records Transfer Procedure**

All federal records in the possession of the transfer site will be transferred to the LM Business Center or another LM-recommended storage facility.

### **6.1 Preparing Hard Copy Documents**

The original records or best available copies should be provided to LM. If copies rather than original documents are provided to LM, the transfer site should provide documents that are reproduced on white paper and are legible and reproducible. Documents should not be reduced in size and color copies should be retained for color pages.

The transfer site should organize the file folders by the same records series and place them in shipping boxes as described in the following sections. A sequential number shall be placed on each box and a detailed index of the contents shall be placed in each box, with the box number clearly identified at the top of the index. A photocopy and an electronic file of each index should also be included.

### **6.2 File Folders**

The transfer site shall place all documents in labeled file folders, with the label visible. All clips, pins, and rubber bands should be removed before filing, unless fasteners are needed to subdivide papers. Appropriate-size, accordion-style file folders are acceptable for large documents and case files. All labeling configurations shall be coordinated with the LM Records Management POC.

### **6.3 Boxing Documents for Shipment**

Folders must be placed in the boxes in an upright position, so all folder labels are visible when the box is opened. File folders of the same record series shall be placed in one box until it is full and then successive boxes until they are filled. Partial boxes shall be packed to prevent the contents from shifting during shipment. Records transferred to NARA or other inactive records storage locations must be shipped in NARA standard record boxes measuring 14¾" x 12" x 9½" (NSN 8115-00-1178249).

Active records transferred directly to LM for post-closure management should be in NARA standard record boxes or corrugated cardboard boxes that are of similar size (14¾" x 12" x 9½") and strength. Boxes should have two holes on opposite sides of the box to be used as handholds. The boxes should hold approximately 1 to 1.5 cubic feet of files and should not be overfilled. Boxes must be securely sealed for shipping.

LM will perform a receipt inspection of the boxes that includes:

- Assessing the condition of the records on receipt and reporting any significant deficiencies.
- Reconciling the number of boxes shipped with the number of boxes received.
- Verifying box contents to transmittal form.
- Signing and returning the acknowledgement receipt to the transfer site.

## 7.0 References

### 7.1 Requirements, Directives, and Procedures

36 Code of Federal Regulations (CFR) Chapter XII (1200–1299), Subchapter B, Records Management

18 United States Code (U.S.C.) Chapter 37, Espionage and Censorship, Sections 793, 794, and 798 (covering unlawful disclosure of certain recorded information pertaining to national security)

18 U.S.C. Chapter 101, Records and Reports, Section 2071, “Concealment, removal, or mutilation generally”

44 U.S.C. Chapter 29, Records Management by the Archivist of the United States and by the Administrator of General Services

44 U.S.C. Chapter 31, Records Management by Federal Agencies

44 U.S.C. Chapter 33, Disposal of Records

U.S. Department of Energy (DOE) Order 200.1, Information Technology Management

DOE Order 243.1, Records Management Program

DOE Order 414.1, Quality Assurance

DOE Order 475.2, Identifying Classified Information

DOE, Site Transition Framework for Long-Term Surveillance and Maintenance

Office of Legacy Management (LM) Procedure 200.3, Classified and Controlled Unclassified Information Handling

LM Procedure 200.4, Records Management

## 7.2 Abbreviations

ACL	alternate concentration limit
AR	Administrative Record
BLM	U.S. Bureau of Land Management
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act of 1980
CFR	Code of Federal Regulations
DOE	U.S. Department of Energy
DOI	U.S. Department of the Interior
DOT	U.S. Department of Transportation
EEOICPA	Energy Employees Occupational Illness Compensation Program Act
EPA	U.S. Environmental Protection Agency
FFCA	Federal Facility Compliance Agreement
FOIA	Freedom of Information Act
FRC	Federal Records Center
FRD	Formerly Restricted Data
FUSRAP	Formerly Utilized Sites Remedial Action Program
H&S	Health and Safety
HSWA	Hazardous and Solid Waste Amendments
LM	Office of Legacy Management
LTS	long-term surveillance
NARA	National Archives and Records Administration
NQA-1	Nuclear Quality Assurance-1
NRC	U.S. Nuclear Regulatory Commission
NWPA	Nuclear Waste Policy Act
OCIO	Office of the Chief Information Officer
OSTI	U.S. Department of Energy Office of Scientific and Technical Information
OUO	Official Use Only
PA	Privacy Act
POC	point of contact
RAD	radiation absorbed dose
RCRA	Resource Conservation and Recovery Act of 1976
RD	Restricted Data
RIDS	Records Inventory and Disposition Schedule

ROD	Record of Decision
SF	Standard Form
STI	scientific and technical information
SWDP	Storm and Waste Water Discharge Permit
U.S.C.	<i>United States Code</i>
UCNI	Unclassified Controlled Nuclear Information
UMTRCA	Uranium Mill Tailings Remediation Control Act of 1978
USACE	United States Army Corps of Engineers
WM	Waste Management

### 7.3 Definitions

**Accession** – (1) The transfer of the legal and physical custody of permanent records from an agency to NARA. (2) The transfer of agency records to an FRC for temporary storage. The transferring agency retains legal custody of the records. (3) The records so transferred.

**Active records** – Records used to conduct current Agency business and generally maintained in office space or with equipment.

**Administrative Record (AR)** – A collection of Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA) documents that establishes the basis for the selection and performance of environmental removal and remedial actions at a transfer site. An AR File may contain correspondence, the remedial investigation/feasibility study, the Record of Decision, and public comments. An AR File may consist of a public portion, which includes documents available to the public and any stakeholders, and a confidential portion, which includes documents that can be restricted from release due to the sensitive information they contain.

**Case file** – Records, regardless of media, documenting a specific action, event, person, place, project, or other matter. A case file is usually filed by a unique name or number, and a particular event or action causes the case file to be closed or become inactive.

**Cutoff** – The breaking, or ending, of files at regular intervals, usually at the end of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and to permit setting up new subject correspondence files. Case files are generally cut off at the end of the year in which the case is closed.

**Disposition** – The actions taken with regard to records after their appraisal by NARA, including:

- Destruction of temporary records no longer needed for the conduct of business
- Transfer of inactive records to an FRC
- Transfer to NARA of permanent records that have sufficient historical or other value to warrant continued preservation

**Documentary material** – All media (including records, non-record material, and personal papers) containing recorded information, regardless of the nature of the media or the method(s) or circumstance(s) of recording.

**Electronic records** – Any information that is recorded in a form that only a computer can process and that satisfies the definition of a federal record in Title 44 United States Code Section 3301.

**Federal Records Center (FRC)** – A records facility operated by the federal government through NARA.

**File custodian** – An individual who has been assigned responsibility or is accountable for the operation of a file station or, in some cases, a particular records series. Also referred to as records custodian.

**File plan** – A document containing the identifying number, title or description, and disposition authority of files held in an office.

**Finding aids** – Indexes or other lists, whether manual or automated, used to make it easier to locate relevant files or retrieve information.

**Geospatial data** – Digital geographic data primarily used in geographic information systems, image processing systems, and other modeling software. These data collections can be searched through a single interface based on their descriptions or metadata.

**Inactive records** – Records that are no longer required to conduct agency business and, therefore, are ready for disposition. Also called non-current records.

**Index** – A manual or automated listing arranged by record series or system.

**Holding/staging area** – Agency space assigned for the temporary storage of records after their cutoff and removal from office space but before their destruction or their transfer to a federal or agency records facility or to NARA.

**Metadata** – The description of the data resources, its characteristics, location, usage, etc., used to identify, describe, and define document (or file) data.

**Microform** – A medium containing greatly reduced images (i.e., micro images). Types of microforms include microfilm, microfiche, aperture cards, and computer output microfilm.

**Non-record material** – Federally owned informational material that do not meet the statutory definition of records or that have been excluded from coverage by the definition of records. Examples of excluded material are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibit.

**Permanent records** – Records with sufficient historical or other value to warrant continued preservation by the federal government beyond the time they are needed for administrative, legal, or other fiscal purposes. Also called archival records.

**Personal papers** – Papers of a private nature and related solely to an individual's own affairs. Personal papers do not meet the definition of federal records, are not associated with agency business, and are not owned by the government. Examples are documents related to professional organizations and copies of personnel actions. Personal papers shall be clearly designated as such and shall be maintained separately from official federal records at all times.

**Nuclear Quality Assurance-1 (NQA-1) record** – A record for work licensed by the U.S. Nuclear Regulatory Commission (NRC) or an NRC Agreement State and subject to the quality assurance requirements of that agency. The applicable regulations are in 10 CFR 50.

**Record series** – 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 or use.



**Recorded information** – All traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

**Recordkeeping requirements** – All statements in statutes, regulations, DOE orders, and operating unit directives that provide general and specific guidance for personnel on particular records to be created and maintained.

**Recordkeeping system** – A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

**Records** – All recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them.

**Records storage facility** – A facility for the low-cost storage and servicing of records pending their disposal or transfer to NARA (including NARA-authorized agency records centers, NARA-operated FRCs, and commercial records storage facilities).

**Records schedule** – A document that prescribes mandatory retention periods and final disposition instructions when records are no longer needed for current government business. Records disposition schedules must be approved by NARA. By regulation, federal records may not be destroyed without an approved records disposition schedule.

**Site transition** – The interim period, while remediation is being completed, prior to the transfer of a site to LM. During the transition period, activities may include preparation of a transition plan, long-term stewardship, transferring real property, creation of legal agreements, and identification and acquisition of records and data necessary to continue site maintenance, operations, and commitments.

**Temporary record** – Records approved by NARA for disposal, either immediately or after a specified retention period. All records that are not scheduled as permanent are temporary records.

**Transfer site** – Established when a site's selected remedy has been implemented and there is no an ongoing mission at that site. Transfer sites include DOE closure sites.

**Unscheduled records** – Records whose final disposition schedule has not been approved by NARA.

**Vital records** – Essential agency records needed to meet operational responsibilities under national security emergencies, other emergency or disaster conditions (emergency operating records), or to protect the legal and financial rights of the government and those affected by the government's actions (legal and financial rights records). Vital records must be protected against damage and loss. The most common method of protection is creation of duplicate copies for offsite preservation.

# **Records and Information Management Transition Guidance**

## **Appendix A Records and Information Management Transition Plan Guidance**

# Records and Information Management Transition Plan Guidance

## 1.0 Purpose

This document establishes the requirements and responsibilities for the efficient and cost-effective transition of records and other information products from the transfer site to the U.S. Department of Energy (DOE) Office of Legacy Management (LM) and the development of a Records and Information Management Transition Plan.

This document applies to all transfer-site records as defined under the Federal Records Act (particularly Title 44 United States Code (U.S.C) Section 3101), regardless of the medium or format, that were created, collected, processed, used, stored, or dispositioned by DOE organizations and those contractors acting as their agents.

In addition to the broad strategy and considerations discussed in this document, each transfer site faces a number of challenges and unique set of issues as it proceeds toward closure. LM also faces challenges as it prepares to accept records from transfer sites. The transfer site should include detailed information in its Records and Information Management Transition Plan about the types of records described in this appendix.

## 2.0 General Records Information

The Records and Information Management Transition Plan should provide current and historical information about the site's record collections, including:

- Federal and contractor points of contact (POCs) for records management, information technology, etc.,
- Inventory of all records,
- Current records volumes,
- Estimated volumes at time of site transfer (identifying active and inactive records),
- Finding aids,
- Inventories of the following forms: Request for Records Disposition Authority (Standard Form [SF]-115), Records Transmittal and Receipt (SF-135), and Agreement to Transfer Records to the National Archives of the United States (SF-258),
- Any other documents describing record transfers, destruction, or other disposition of government records,
- An account of records being transferred, by record type (record types not included in the transfer should be clearly marked "N/A" or a similar statement),
- Records storage locations (classified and unclassified records), including onsite, commercial, Federal Records Centers (FRCs), and any other storage locations,
- Records storage costs, leases, or services; and
- Timetables or milestones.

## **3.0 Special Requirement Records**

### **3.1 Administrative Record**

The Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), Section 113(k), and other acts and agreements stipulate that an administrative record (AR) shall be established to serve as the basis for an environmental response action. The regulations governing the implementation of the AR are contained in Title 40 Code of Federal Regulations (CFR) Section 300.800–825, which identifies the responsibility for establishing and maintaining the AR at the site where the cleanup is performed. The transfer site shall provide information to LM on the contents of the AR, the media type, storage location, and any finding aids.

### **3.2 Audiovisual Records**

Audiovisual records are records in pictorial or oral form that include still and motion pictures, graphic material, audio and video recordings, and combinations of media, such as slides or video productions. Audiovisual media are considered records relating to official business in the same way a letter, memorandum, or case file supports and documents government functions. The basic principles and practices of managing paper records apply and these collections should be included in the transfer site's record inventory. The transfer site should provide LM with information about these collections and their storage locations.

### **3.3 Audit Records**

Audits are usually limited to accounting and contract-related records. If the transfer site is undergoing any audits that require LM's support during and after transition, the audit number and the level of support required by LM must be included in the Records and Information Management Transition Plan.

### **3.4 Classified Information Systems**

All classified information systems must be marked with the classification level of the contents. All classified electronic media must have the overall classification level and category (Restricted Data [RD] or Formerly Restricted Data [FRD]) visible on the front and back. Media must be marked using the appropriate official label: Unclassified Label (SF-710), Classified Label (SF-709), Confidential Label (SF-708), Secret Label (SF-707) and Top Secret Label (SF-706). Locally developed labels containing the information on the official labels may be used. Classified markings are not required on the exterior of electronic media. When a platen or disk is removed from its manufacturer's case, it must be marked with the classification level and category (RD or FRD) if it is not immediately destroyed. Unclassified Controlled Nuclear Information (UCNI) and Official Use Only (OUO) should also be properly marked.

### **3.5 Classified Material**

During site transition, the protection of classified material shall be in accordance with DOE Order 475.2, Identifying Classified Information and LM Procedure 200.3, Classified and Controlled Unclassified Information Handling. This guidance includes:

Classified information, regardless of its form, shall be afforded a level of protection against loss or compromise commensurate with its level of classification.

Classified matter shall be processed, handled, and stored in security areas providing control measures equal to or greater than those present in limited areas. When Top Secret or Secret matter

is not processed, handled, and/or stored within limited areas or above, it shall be maintained in an accountability system as required by DOE directives.

Facilities, buildings, and rooms shall be afforded the protection measures necessary to prevent unauthorized persons from gaining access to classified matter.

Classified material and information systems are not accepted by LM, so transition plans must include transfer of classified material to an appropriate custodian. If a transfer occurs, the records information and new transfer location should be provided to LM.

### **3.6 Compensation Programs**

DOE is required to process compensation claims and provide employment verification, exposure information, medical data, and any other applicable information that may support the claim.

Records that are frequently used to support compensation programs such as Energy Employees Occupational Illness Compensation Program Act (EEOICPA) and the Radiation Exposure Compensation Act should be identified by accession number in this plan. The identification should include a description of the record series, volumes, and frequency of use.

### **3.7 Congressional Requests**

The transfer site should identify any congressional requests for information that are ongoing, which LM must support after transition.

### **3.8 Contaminated Records**

The transfer site will ensure proper handling of contaminated records, which contains external impurities that render the media unsafe for human handling without special precautions. The transfer site must identify the types of contaminated records maintained at its site. Include in this plan a matrix that outlines types of contamination and any applicable governing regulations, if applicable. The transfer site should identify how the records will be decontaminated records before being sent to LM.

### **3.9 Contract/Proprietary Records**

The transfer site must not close any contract files that are under litigation or appeal or where a termination has taken place but all termination actions have not been completed. Contract closeout activities can extend for several years. Any contract actions LM will inherit must be identified in this plan. With the new small business initiatives undertaken by DOE, some contractors will have contract files that are their property. The transfer site must review these files to ensure that they do not contain federal records.

### **3.10 Damaged or Deteriorating Records**

The transfer site is responsible for identifying in this plan any records or information systems that show premature signs of deterioration or damage. The transfer site should identify the recovery method and plan for these records.

### **3.11 Disaster Prevention and Recovery Program/Vital Records**

The transfer site must ensure that policies, plans, and procedures are in place during site transition to protect and reconstruct records in the event of an emergency.

Vital records are divided into two categories. The first category is emergency operating records, which are records essential to the continued functioning or reconstitution of an organization before,

during, and after an emergency. The second category is rights and interests records, which are records essential to protecting the rights and interests of an organization and the individuals affected by its activities. Vital records, which are also known as essential records, are an integral part of an agency's disaster prevention and recovery program. LM is responsible for implementing a program to protect and recover vital records if there is a natural disaster, hazard, or civil defense emergency after transition. Lists of both federal and contractor vital records should be provided and include records series, volumes, backup storage locations, and associated costs.

### **3.12 Energy Employees Occupational Illness Compensation Program Act (EEOICPA)**

The transfer site and LM must coordinate the transfer of EEOICPA claims-processing responsibilities and EEOICPA-related records to LM.

### **3.13 Electronic Records**

Electronic records can be created using various types of computer systems, such as personal computers, distributed network environments, mainframe data processing environments, spatial data systems, or other multimedia systems. Electronic records can be stored on different types of storage media, such as hard disks, audio and videotapes, digital phones, optical disks, magnetic optical disks, Bernoulli disks, Zip disks, and digital videodisks. The transfer site should identify electronic records, determine whether it is the official record, and propose a disposition schedule.

Some electronic information systems at the transfer sites are not considered recordkeeping systems, but should be evaluated by LM prior to their destruction. Both the electronic systems and the information contained on the systems must be maintained according to approved retention schedules. Upon shutdown, the systems, along with the information contained therein, must be archived in a retrievable and usable format. The transfer site must provide LM with an inventory of its electronic systems and other databases that support long-term surveillance and maintenance.

### **3.14 Freedom of Information Act (FOIA)**

Transfer-site information will be made available to the fullest extent possible to public, local, state, and other federal government entities unless it is exempt from mandatory public disclosure pursuant to one or more of the exemption provisions of the Freedom of Information Act (5 U.S.C. 552) or other applicable statutes, or the information is considered classified. The transfer site should provide the status of any ongoing FOIA actions, the number of FOIA requests received in the previous 12 months with estimated response times, projected volumes at site turnover, and backlog of any FOIA requests in the plan. Responsibility for any ongoing FOIA requests at the time of site turnover will remain with the transfer site.

### **3.15 Litigation**

The transfer site may be involved in litigation at the time of transition. The Office of General Counsel, in preparation for or anticipation of litigation, may need to identify and have access to large volumes of records. If litigation is planned to continue through transition, the transfer site should identify these records and notify the Office of General Counsel as soon as possible to determine records requirements. Records related to ongoing litigation will not be transferred to LM but will remain in the custody of the office responsible for the litigation.

### **3.16 Micrographic Collections**

The transfer site shall identify in this plan any microform collections. The transfer site shall identify and provide LM with finding aids or equipment needed to retrieve records from these collections.

### **3.17 Moratorium**

The transfer site must identify (including record volumes and locations) any records that are currently under moratorium. Many environmental, safety, and health records are under a destruction moratorium. A list of records series included in the moratorium can be obtained from the DOE Office of Environment, Safety, Health, and Quality or the DOE Office of the Chief Information Officer.

### **3.18 Office of Scientific and Technical Information (OSTI)**

The transfer site must continue to provide OSTI with scientific and technical information (STI) as required by DOE. This requirement includes STI funded by DOE or developed under agreements with others (unless specifically excluded in the agreement under which the work is done), whether unclassified, sensitive, or classified. The transfer site must ensure that STI (including deliverables prepared by contractors) is received by OSTI before transition of the site to LM.

### **3.19 Pension and Benefit Records**

The transfer site should provide LM with the information required to administer pensions and benefits for eligible employees. This information, media types, volumes, and finding aids should be identified in this section.

### **3.20 Permanent Records**

Permanent records that have sufficient historical or other value to warrant continued preservation by the federal government beyond the time they are needed for administrative, legal, or fiscal purposes. These records are also referred to as archival records. A copy of all National Archives and Records Administration (NARA) SF-258 forms shall be provided to LM. The transfer site should also identify any permanent records that have not yet been dispositioned to NARA.

### **3.21 Contractor Personnel Records**

DOE acquisition regulations establish that some records are the property of the contractor. Through a review of site contracts and agreements for ownership, management, and disposition-of-records clauses, the transfer site should establish ownership for the records contained in those series. Specifically, the transfer site should address whether contractor personnel/health records are contractor or federal records, the agreed-upon retention periods, and whether copies should be maintained for EEOICPA, dose reconstructions, or health studies. Records stored at FRCs that will become LM's responsibility should be identified by accession number with a copy of the applicable SF-135 forms provided.

### **3.22 Photograph Collections**

Photographs are federal records and must be included in the transfer-site records inventory. The transfer site should identify any photograph collections that show signs of premature deterioration.

### **3.23 Privacy Act Records**

Include the status of any ongoing Privacy Act actions in the plan. The transfer site should include the location of any active records and identify the accession numbers for any collections that have been sent to an FRC or to a private storage facility.

### **3.24 Reference and Library Collections**

The transfer site should identify all reference/library collections and a POC for each, designate which are required for long-term surveillance and maintenance activities, and provide recommendations for donating unrequired material in the following sequence: (1) Office of Environmental Management/LM offices, (2) other DOE sites and offices, and (3) other federal agencies.

### **3.25 Sensitive Records**

Transfer site personnel must identify sensitive records, the volume, a notation explaining why the records are sensitive, and instructions for handling before and during collection/transfer.

### **3.26 Unscheduled Records**

The transfer site should identify any unscheduled records collections and provide a plan of action for scheduling before transfer, as LM will not accept unscheduled records.

### **3.27 Weapons-Related Records**

Many of the transfer sites will have created, managed, and dispositioned key historic, current, and future nuclear weapons information and data. During the transition, the transfer site will need to ensure that nuclear weapons information, data, and documentation is adequately protected and stored and made available to staff from both groups only on a need-to-know basis. The transfer site must provide LM with the status of these collections and identify those records that have been transferred to an FRC, other DOE facilities, or other storage facilities.

## **4.0 Issues/Recommendations**

In this section, the transfer site should identify any issues associated with the transfer of information and records to LM. Any issues that might have an effect on other transitioning entities must also be identified and brought to the attention of the Transfer Site Transition Lead and the LM Transition Lead and should be identified in the overall integrated transition plan. The transfer site should also provide recommendations to resolve the issues.

## **5.0 Information and Records Identification Process for Post-Closure Management of Site**

The transfer site should identify and segregate active information and records that will be needed by LM for post-closure management of the site. Descriptions are provided in Appendixes D and E of this document.



# **Records and Information Management Transition Guidance**

## **Appendix B Records Transfer Acceptance Criteria Checklist**

## Transfer of Records and Information Checklist

Acceptance Criteria	Point of Contact	Transfer Site Completion Date	LM Approval Date	Notes
A final inventory of records collections has been provided including volumes, storage locations, and media. (Inventory should include special requirement records.)				
All records, data, and associated databases have been identified and dispositioned.				
An LM-135 form has been completed for each records collection.				
Records finding aids have been identified and provided.				
Training on records finding aids have been provided.				
Copies of SF-135 forms and SF-258 forms have been provided.				
SF-115 forms for any unscheduled records have been prepared and submitted to DOE headquarters.				
NARA notified in writing of change in custodianship for records at NARA facilities.				
Information and records required for post-closure management of the site have been identified and provided to LM.				
All records management issues have been resolved.				
If applicable, the complete Administrative Record has been provided in both paper and electronic form.				
Records being sent to LM-approved storage locations have been received by LM.				
DOE Office of Health, Safety, and Security and Department of Labor notified of change in the EEOICPA point of contact.				

**Abbreviations:**

DOE = U.S. Department of Energy; EEOICPA = Energy Employees Occupational Illness Compensation Program Act; LM = Office of Legacy Management; NARA = National Archives and Records Administration

# **Records and Information Management Transition Guidance**

## **Appendix C Geospatial Data Layer**

## Geospatial Data Layer

Electronic site environmental monitoring or survey data that will be needed by the Office of Legacy Management (LM) to generate site stewardship documents (e.g., drawings, tables, and maps) should be transferred to LM in electronic and paper formats. The listing below includes environmental monitoring data and mapping data layers typically provided as part of site transition activities. Each transition may require a subset of this list as well as additional information that is unique to that site.

<b>Environmental Monitoring Data and Mapping Data Layers Required for Long-Term Stewardship</b>	
<b>Primary Description</b>	<b>Secondary Description</b>
Access Agreement Information	
Access Road	
Aerial or Satellite Imagery	
Boundary	Archeological Boundary
Boundary	City Boundary
Boundary	County Line/Boundary
Boundary	Debris Boundary
Boundary	Disposal Cell Boundary
Boundary	Dump Boundary
Boundary	Institutional Control Boundary
Boundary	Lease Boundary
Boundary	Parcel Boundary, DOE-Acquired Tract or Lease Boundary
Boundary	Pile, One Pile or Waste Rock Pile
Boundary	Right-of-Way Easement for Utilities, Roads and Highways
Boundary	Site Boundary
Boundary	State Line/Boundary
Boundary	Supplemental Standards Boundary
Boundary	Tailings Boundary
Boundary	Vicinity Properties Boundary
Boundary	Zoning Boundary
Building	Building Constructed of Concrete
Building	Building Constructed of Earth
Building	Building Constructed of Metal
Building	Building Constructed of Stone
Building	Building Constructed of Wood
Cell Performance Monitoring Network	
Concrete	Pads, Sidewalks, Curbs, Walls, etc.
Culvert	Culvert
Dam	Dam
Entrance Gate	

Entrance Sign	
Fence	Barbed Wire Fence
Fence	Chain-Link Fence
Fence	Gate (any material)
Fence	Wood Fence
Geologic Cross Sections	
Grid	Local Coordinate System Grid
Grid	State Plan Coordinate System Grid
Groundwater Compliance Monitoring Network	
Historic Feature	Historic Feature (of significance)
Lithology Information	
Location Information	
Monitor Location	Monitor Wells, Boreholes, Surface Sample/Air Monitoring Locations
Monitor Well Construction Information	
Monitor Well Lithology and Completion Logs	
Monument	Aerial Photo Panel
Monument	Angle Point Center
Monument	Benchmark
Monument	Boundary Monument
Monument	Combined Survey Monument and Boundary Monument
Monument	Erosion Monument
Monument	Section Corner, Assumed USGS
Monument	Settlement Plate
Monument	Site Marker
Monument	Survey Control Monument or Survey Control Point
Monument	Triangulation Monument, Assumed USGS
Monument	Vertical Angle Benchmark, Assumed USGS
Monument	Witness Corner, Assumed USGS
Other Site-Specific Surveillance Feature	
Perimeter Fence	
Perimeter Sign	
Photographs (current and/or historic)	
Pipe	Conduit
Pipe	Effluent Pipe
Pipe	Horizontal Well Pipe
Pipe	Horizontal Well Pipe Screened Interval
Pipe	Influent Pipe
Pipe	Recovery Line
Pit	Pit
Plume	Extent Boundary or Concentration Contours
Potentiometric Surface	
Railroad	

Riprap	Riprap Location
Road	Asphalt or Concrete Road (improved/paved), Includes Driveway, Parking Lot, Airport Runway
Road	Bridge
Road	Dirt Road (unimproved), Includes Trail, 4WD Road, ATV Access, Driveway and Parking Lot
Road	Gravel Road (improved), Includes Driveway, Parking Lot
Sample and Analytical Results Information	
Sampling Plan Information	
Section	Section Lines, Includes Section, Township, and Range Information
Slurry Wall	
Topographic Contours	
Trench	
USGS 1:24000 Quadrangle Map	
Utility	Compressed Air Line and Valve
Utility	Electronic Line, Control Panel, Junction Box, Power Pole, Transformer, and Light Pole
Utility	Gas Line and Valve
Utility	Sanitary Sewer Line, Manhole and Drain
Utility	Storm Drain Manhole
Utility	Tank
Utility	Telephone Line, Pole, or Junction Box
Utility	Water Line, Valve, Pump, Manhole, Hydrant, and Drain
Vault	
Vegetation	
Water	Canal
Water	Ditch
Water	Lagoon and Slough
Water	Lake
Water	Location of Island in River
Water	Man-made Drainage Features
Water	Pond, Stock Pond, Frog Pond, and Raffinate Pond
Water	Stream and Intermittent Stream
Water-Level Information	
Wetland	

**Abbreviations:**

4WD = four-wheel drive

ATV = all-terrain vehicle

DOE = U.S. Department of Energy

USGS = U.S. Geological Survey

# **Records and Information Management Transition Guidance**

## **Appendix D Records/Data Needs for Post-Closure Site Management**

# Records/Data Needs for Post-Closure Management of Site

## Purpose

The attached table has been developed to assist U.S. Department of Energy (DOE) federal and contractor representatives with records management responsibilities to:

- 1) Identify the information needed to facilitate the transfer of site records from the transfer site to LM.
- 2) Identify access and media needs for the site's records.
- 3) Identify existing records disposition schedules that can be used for preserving and providing appropriate access to this information.

In many instances, key programmatic documents will address the various types of data; however, the current and future records custodians must ensure that the documents contain a sufficient level of detail before the document is accepted as the only source of records information.

## User Groups

Custodian (Cust)	The agency responsible for evaluating and maintaining remedy performance of sites in long-term stewardship.
Stakeholder (Stake)	An organization, agency, or individual with regulatory oversight or financial, environmental, legal, or personal interest.

## Media Annotations

E <sub>doc</sub>	Electronic documents
E <sub>d</sub>	Electronic data form
E <sub>m</sub>	Electronic maps
E <sub>pdf</sub>	PDF file
P	Paper

## Regulatory Annotations

The following notations have been used for the type of site:

- C = CERCLA
- F = Formerly Utilized Sites Remedial Action Program
- N = Nuclear Waste Policy Act Section 151
- R = Resource Conservation and Recovery Act
- U = Uranium Mill Tailings Remediation Control Act
- X = all sites



<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
<b>Custody and Long-Term Care Licensing Information</b>				
Long-Term Surveillance and Maintenance Plan (LTSP) includes administrative plans, site management plans, and stewardship plans (includes pertinent correspondence and records of review)	X	X	XE <sub>doc</sub>	XE <sub>doc</sub>
Decommissioning plans [includes pertinent correspondence and records of review]		X	X	X
Transition and Transfer Plans and Support Documents [includes pertinent correspondence and records of review]		X	X	X
Long-Term Surveillance Fee Determination [includes pertinent correspondence]			UN	UN
Custody and Long-Term Care License (e.g., NRC, USACE, and State) [includes pertinent correspondence]		X	X	X
<b>Real Estate Information</b>				
Legal Site Description [e.g., recorded surveyors description with township, range, section or measurements and bounds, and legal plat of property]	X	X	XE <sub>m</sub>	XE <sub>m</sub>
Title(s) and Deeds and All Associated Restrictions		X	X	X
Leases			X	X
Appraisals			X	X
Mining claims and mineral rights		X	X	X
Water rights		X	X	X
Acquisition (includes Transfer of Jurisdiction, Declaration of Taking/Condemnation, and State Acquired Lands)		X	X	X
Right-of-way	X	X	XE <sub>m</sub>	XE <sub>m</sub>
Easement	X	X	XE <sub>m</sub>	XE <sub>m</sub>
Tribal Withdrawal, Custody, and Agreements	X	X	X	X
<b>Legal Information (documents and supporting correspondence)</b>				
Litigation (pending and closed) includes transcripts and relevant correspondence		C	C	C
Congressional/Senate Hearings		C	C	C

<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
Settlements		C	C	C
<b>Site-Specific Legal Agreements</b>				
Access (for monitor well and air monitoring)			X	X
Use (e.g., grazing)			X	X
Memorandums of Understanding	X	X	X	X
Cooperative Agreements			X	X
Tribal agreements and contracts	X	X	X	X
Radioactive Materials License		X	X	X
Compliance Agreements	X	X	X	X
<b>Institutional Control Information</b> (e.g., land use controls, restrictive covenants, zoning, easements, access control, deed restrictions)	X	X	XE <sub>m</sub>	XE <sub>m</sub>
<b>Use and Operations History Information</b>				
Process History (current and historical data on activities that occurred on the site, where and when these activities occurred, what infrastructure was used to support these activities, what materials were used, the products and wastes produced, historical missions, and any post-Cold War missions or activities)	X	X	X	X
Historical Infrastructure (buildings, facilities, piping, and utilities)			XE <sub>m</sub>	XE <sub>m</sub>
Past and Current Ownership			X	X
Current Uses	X	X	X	X
Historical Photos (prints and negatives) (tiff/jpg if electronic)			XE <sub>d</sub>	XE <sub>d</sub>

<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
<b>Programmatic Plans</b> (as applicable) and associated amendments/revisions and background documents supporting the decisions therein. Availability will be based on primary regulatory driver (e.g., UMTRCA, FUSRAP, CERCLA, NHPA, and RCRA).  Remedial Action Plan, Reclamation Plan, Radiological Engineering Assessment, Corrective Measures Study, Corrective Measures Interim Plan, Remedial Investigation, Feasibility Study, RCRA facility Assessment, Baseline Risk Assessment, RCRA Facility Investigation, Sampling Plans, Monitoring Plans, Federal Facility Agreement/FFCA	X	X	CE <sub>doc</sub>	CE <sub>doc</sub>
<b>Physical Information</b> (In many, but not all, instances the physical data may be available in the programmatic plans; other locations may include white papers, technical reports, and analytical data.)				
Location of the site within the region (state, county, nearby towns, highways, and major waterways)	X	X	XE <sub>m</sub>	XE <sub>m</sub>
Surface features (e.g., topographic, drainage patterns, cultural and natural resources, surface waters (including seasonal ponds, springs, and seeps), boundaries, easements, right-of-ways, and physiographic setting)			XE <sub>m</sub>	XE <sub>m</sub>
Site Characterization Reports	X	X	X	X
Final Site Conditions	X	X	X	X
As-built drawings (e.g., major components, including dimensions; buildings; disposal cells; plans and cross sections; treatment systems; drainage controls; protective barriers; and security systems.)	X	X	XE <sub>m</sub>	XE <sub>m</sub>
Specifications			X	X
Calculations			X	X
Construction and As-Built Photos			X	X
Aerial photos (oblique, orthorectified vertical) prints and negatives			XE <sub>d</sub>	XE <sub>d</sub>
Current infrastructure (e.g., piping, water and sewer, electric, gas, phone, cable)			XE <sub>m</sub>	XE <sub>m</sub>
Keys and Access Codes to Gates, Wells, Structures, etc.			X	X
Coordinate data for control points, wells, site monuments, site markers, signs, sample locations and other permanent features (locations in local and global coordinate systems)			XE <sub>d/m</sub>	XE <sub>d/m</sub>
Geology (summary reports will suffice)		X	XE <sub>d/m</sub>	XE <sub>d/m</sub>
Ground Water Hydrology (summary reports will suffice)		X	XE <sub>d/m</sub>	XE <sub>d/m</sub>

<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
<b>Physical Information (continued)</b>				
Geochemistry includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports.		X	XE <sub>d</sub>	XE <sub>d</sub>
Soil and rock mechanics includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports.		X	X	X
Surface-Water Hydrology (and flood info) includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports.		X	XE <sub>d</sub>	XE <sub>d</sub>
Site and Surrounding Area Land Use and Zoning	X	X	XE <sub>m</sub>	XE <sub>m</sub>
<b>Environmental Information (baseline and current) (In many, but not all, instances the environmental data may be found in the programmatic plans, other locations may include white papers, technical reports, and analytical data.)</b>				
<b>Ecosystems On and Around the Site</b>				
Vegetation (including volunteer plant growth, plant succession, and vegetation control measures)			X	X
Wildlife (including mitigation plans)		X	X	X
Wetlands and Floodplain		X	X	X
Threatened and Endangered Species		X	X	X
Biology			X	X
Human Values			X	X
Archaeological/Cultural Resources (historic preservation)	X		XE <sub>m</sub>	XE <sub>m</sub>
Meteorology/Climate (average annual precipitation, temperature and evaporation, prominent wind direction); includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports.			XE <sub>d</sub>	XE <sub>d</sub>
Noise			X	X
Air			X	X
Water Quality/Supply			X	X
Soils			X	X
Agricultural Distribution			X	X

<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
<b>Environmental Information (continued)</b>				
Pesticides			X	X
Environmental Reports		X	X	X
Environmental Audits		X	X	X
Risk Assessments	X	X	X	X
Environmental Issue Correspondence		X	X	X
<b>Radon and Environmental Hazards and Related Monitoring Information</b> (excluding water) (In many, but not all, instances the radon and environmental hazards may be found in the programmatic plans, other locations may include white papers, technical reports, and analytical data.)				
Historical and Existing Contamination	X	X	X	X
Location of Residual Contamination	X	X	X	X
Current Hazards/Contaminants Of Concern (Radioactive, Chemical, Heavy Metals, and Other Man-Made Hazards) Inventory	X	X	X	X
Public Exposure Data	X	X	X	X
Radiological Surveys			XE <sub>d</sub>	XE <sub>d</sub>
Radon/Environmental Monitoring Correspondence			X	X
Site Environmental Reports	X	X	X	X
Effluent Monitoring	X	X	XE <sub>d</sub>	XE <sub>d</sub>
CERCLA 5-Year Reviews	C	C	CE <sub>doc</sub>	CE <sub>doc</sub>
<b>Ground/Surface/Leachate Water Monitoring Information</b> (In many, but not all, instances the ground/surface/leachate data may be found in the programmatic plans, other locations may include white papers, technical reports, and analytical data.)				
Monitor and Recovery Well Permits			X	X
Injection Well Permits			X	X
Monitor Well Information (e.g., construction/completion/development details, lithology logs, survey/location data, active permits), Drilling/Borehole/Well Construction Logs and Well Completion Reports, Lysimeter Completion, and Geophysical Logs			XE <sub>d</sub>	XE <sub>d</sub>

<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
<b>Ground/Surface/Leachate Water Monitoring Information (continued)</b>				
Field Log Books			X	X
Baseline Data Reports			X	X
Groundwater Quality (e.g., dissolved solids, major cations and anions, pH, oxidation-reduction potential, trace elements and constituents exceeding maximum contaminant levels (MCLs), range or variability in background water quality, comparison to regional data)	X	X	XE <sub>d</sub>	XE <sub>d</sub>
Groundwater Monitoring/Sampling Plans and Reports	X	X	X	X
Alternate Concentration Limits (ACLs) includes applications, approvals, comments, and correspondence.		U	U	U
Groundwater Corrective Action Plans	U	U	U	U
ACL application and backup data			U	U
State Groundwater Actions, Approvals, and Reports	X	X	X	X
Ground/Surface/Leachate Water Monitoring Event Packages (Includes correspondence/startup letter, field log books, well maintenance checklist, sampling preparation checklist, bottle certification sheet, data validation report, monitoring trip report, and lab report/sample analysis.)			X	X
Ground/Surface/Leachate Water Correspondence if contains decisions or addresses critical issues			X	X
Well Decommissioning (Abandonment)			X	X
Groundwater model and its future use	X	X	X	X
Electronic Environmental Monitoring Data				
Access Agreement/Property Owner Info			XE <sub>d</sub>	XE <sub>d</sub>
Well Construction/Screening			XE <sub>d</sub>	XE <sub>d</sub>
Well Logs			XE <sub>d</sub>	XE <sub>d</sub>
Data Logger			XE <sub>d</sub>	XE <sub>d</sub>
Lithologic Data			XE <sub>d</sub>	XE <sub>d</sub>
Sample Locations			XE <sub>d</sub>	XE <sub>d</sub>
Permit (e.g., number, regulatory agency, dates)			XE <sub>d</sub>	XE <sub>d</sub>
Other Point Data (e.g., spot elevations, survey control)			XE <sub>d</sub>	XE <sub>d</sub>

<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
<b>Ground/Surface/Leachate Water Monitoring Information (continued)</b>				
Sample and Analytical Results			XE <sub>d</sub>	XE <sub>d</sub>
Site Information (e.g., name, location, and coordinate system)			XE <sub>d</sub>	XE <sub>d</sub>
Water Levels			XE <sub>d</sub>	XE <sub>d</sub>
Sample Plan (e.g., frequencies, drivers, contaminants of concern [COCs])			XE <sub>d</sub>	XE <sub>d</sub>
<b>National Environmental Policy Act (NEPA) Information</b>				
Environmental Assessment (EA) or Equivalent	X		XE <sub>doc</sub>	XE <sub>doc</sub>
Environmental Impact Statement (EIS)			X	X
Finding of No Significant Impact (FONSI)			X	X
Environmental Checklist (ECL)			X	X
Record of Decision(s) (ROD) and ROD strategy	X		XE <sub>doc</sub>	XE <sub>doc</sub>
<b>Completion/Closure Reports</b>				
Certification Report	X	X	XE <sub>doc</sub>	XE <sub>doc</sub>
Site Completion Report, Including Addenda and relevant correspondence and concurrences	X	X	XE <sub>doc</sub>	XE <sub>doc</sub>
Verification Data			XE <sub>d</sub>	XE <sub>d</sub>
Closeout Audit Report		X	X	X
Supplemental Standards	X	X	XE <sub>doc/m</sub>	XE <sub>doc/m</sub>
Construction Complete Report		C	C	C
Closure Plans	X	X	X	X
National Priorities List (NPL) Status and Deletion Documents (partial deletion) including those documents supporting the deletion process	C	C	C	C
<b>Site Surveillance/Inspection Information</b>				
Pre-Stewardship Inspection Documents (includes inspection and trip reports, photographic log and prints, job safety analysis, inspection checklists, and related correspondence)			X	X

<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
Stewardship Inspection Documents (Includes inspection and trip reports, job safety analysis, inspection checklist, photographic log and prints, and inspection-specific correspondence.)	X	X	XE <sub>doc</sub>	XE <sub>doc</sub>
Agency Inspections (e.g., NRC, USACE, and EPA)	X	X	XE <sub>doc</sub>	XE <sub>doc</sub>
Technical Issue Inspections (e.g., revegetation)		X	X	X
Inspection Field Books			X	X
Inspection Process Correspondence			X	X
<b>Site Maintenance Information</b>				
Insurance			X	X
Utilities (gas, electric, water, sewer, irrigation, etc.)			XE <sub>m</sub>	XE <sub>m</sub>
Security System(s)			X	X
Local Law Enforcement, Conservation District, Weed Control Districts, Hospitals and Fire Department		X	X	X
Maintenance Documents (e.g., work plans, specifications, statement of work, drawings, photographic log and prints)		X	XE <sub>doc/m</sub>	XE <sub>doc/m</sub>
Field Inspection Logs			X	X
Maintenance Reports		X	X	X
Maintenance Inspection Correspondence			X	X
Maintenance Issues (e.g., vegetation intrusion, riprap degradation, fencing, security lighting, and overgrazing)		X	X	X
<b>Community Relations/Public Involvement</b> <i>(formal public affairs and involvement)</i>				
Community Relations Plans	X	X	XE <sub>doc</sub>	XE <sub>doc</sub>
Emergency Plans/Contingency Plans	X	X	XE <sub>doc</sub>	XE <sub>doc</sub>
Emergency Notification and Reporting	X	X	X	X
Fact Sheets	X	X	XE <sub>doc</sub>	XE <sub>doc</sub>
Points of Contact/Key Contacts List	X	X	X	X
Public Hearings/Meetings	X	X	X	X



<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
News Releases on controversial issues or issues with public interest	X	X	X	X
International Affairs	X	X	X	X
<b>Correspondence</b> includes key decision-making or concurrence correspondence with the following that is not otherwise part of the various document/data needs: USACE, DOE, DOT, DOI, EPA, NRC, States, local government, Indian Nations, other agencies (e.g., BLM, Historic Preservation) and the public.	X	X	X	X
<b>Health and Safety (H&amp;S) Information</b>				
H&S Correspondence (on releases and critical issues)			X	X
H&S Plan			XE <sub>doc</sub>	XE <sub>doc</sub>
Occurrence Reports	X	X	X	X
Health Physics (current and baseline data)				
Monitoring Plans			XE <sub>doc</sub>	XE <sub>doc</sub>
Air Sampling			XE <sub>d</sub>	XE <sub>d</sub>
Water (domestic/municipal) and Vegetation Sampling	X	X	XE <sub>d</sub>	XE <sub>d</sub>
Log Books			X	X
Routine and Special Surveys (Buildings)			X	X
RAD Assessments/Surveys/Risk Analysis		X	XE <sub>d/m</sub>	XE <sub>d/m</sub>
Soil Sampling			XE <sub>d</sub>	XE <sub>d</sub>
<b>Permits (including supporting reports)</b>				
General Permitting Correspondence			X	X
404 Permits (Dredge and Fill) ( <i>Corps of Engineers</i> )		X	X	X
Special Use Permits		X	X	X
Storm and Waste Water Discharge Permits (SWDP) and Plan		X	X	X
SWDP Inspection Checklists			X	X
Air Emission Permits			X	X

<b>Records/Data Needs for Post-Closure Management of Site</b>				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
Free Use/Land Use Permits			X	X
Right-of-Way Permits <i>(with BLM and DOT)</i>			X	X
DOT Exemption			X	X
Water Use			X	X
Monitoring and recovery well permits			X	X
Injection Well Permits			X	X
RCRA Permit			RF	RF
HSWA Permit				RF
Site Permit Books			X	X
<b>Site Operations and Treatment Systems Information</b> <i>(relevant when site has a continuing mission or active treatment system)</i>				
Operating Correspondence			X	X
Operating Plans and Procedures		X	X	X
System Design (including criteria, calculations)			X	X
Equipment Manuals			X	X
Drawings and Specifications, including modification packages			X	X
Operating Reports		X	X	X
Routine Inspections		X	X	X
Analytical Reports/Data			X	X
Daily Operating Logs			X	X
<b>Waste Management (WM) and Disposal Information</b>				
WM Correspondence		X	X	X
Waste Shipment Files				
Shipper Arrival and Departure Logs			X	X
Shipping Document Case File—The case file includes the applicable shipping forms documenting			X	X

Records/Data Needs for Post-Closure Management of Site				
Document/Data Description	Potential Users			
	Stakeholders		Custodian for Site Closed	Custodian With Cont. Mission
	Public	Regulatory Agency		
waste origination and volume, analytical data, and radiological activity data. Also included in the packages are the related disposal release forms (waste acceptance criteria).				
Waste Placement Surveys			XE <sub>d</sub>	XE <sub>d</sub>
Waste Acceptance Criteria (e.g., waste stream profiles, waste grid plans)		X	X	X
Waste storage and disposal license [RCRA and NRC]		X	X	X
Current Waste Inventory (includes volume and characterization)		X	X	X
Closure Plans		X	X	X
Waste Minimization/Pollution Prevention			X if a treatment system	X
<b>Site-Specific Technical Studies</b> — <i>Technical studies and investigations conducted as a result of testing of new technologies, evaluation of problems, etc. Include actual study plus related correspondence and analytical results.</i>	X	X	X	X
<b>Quality Assurance</b> — <i>Oversight activities</i>				X
<b>Records Information</b>				
Administrative Record (location and index)	C	C	C	C
Inventory/Index of Records Transferred to the Archives			X	X
Location and Inventory/Index of Records Retained on Site	X		X	X
Inventory of Records To Be Transferred to LTS Custodian			X	X

**Abbreviations:**

- ACL alternate concentration limit
- BLM U.S. Bureau of Land Management
- CERCLA Comprehensive Environmental Response, Compensation, and Liability Act
- DOE U.S. Department of Energy
- DOI U.S. Department of the Interior
- DOT U.S. Department of Transportation
- EPA U.S. Environmental Protection Agency

FFCA	Federal Facility Compliance Agreement
FUSRAP	Formerly Utilized Sites Remedial Action Program
H&S	Health and Safety
HSWA	Hazardous and Solid Waste Amendments
LTS	long-term surveillance
NRC	U.S. Nuclear Regulatory Commission
NWPA	Nuclear Waste Policy Act
RAD	radiation absorbed dose
RCRA	Resource Conservation and Recovery Act
ROD	Record of Decision
SWDP	Storm and Waste Water Discharge Permit
UMTRCA	Uranium Mill Tailings Remediation Control Act of 1978
USACE	United States Army Corps of Engineers
WM	Waste Management

# **Records and Information Management Transition Guidance**

## **Appendix E Transition-Related Forms**

## Transition-Related Forms

### **Records Series Inventory Form and Instructions**

A records inventory is a detailed listing of the volume, scope, and complexity of an organization's records. The results of this survey can be used to analyze the records for various purposes including retention and protection. The Office of Legacy Management's (LM's) version of a records series inventory form (LMF 200.1.10) is available on the LM Intranet.

### **Electronic System Registration/Inventory Form (LMF 200.1-5)**

The Electronic System Registration/Inventory form includes questions concerning a system's recordkeeping capabilities, the categories of information stored, and various elements that are evaluated later in determining whether a system is an electronic recordkeeping system. The current version of the form is available on the LM Intranet. Instructions are included in LM Procedure 200.2-1, Electronic Recordkeeping Systems (ERKS) and Electronic Information Systems (EIS).

### **Records Inventory and Disposition Schedule (RIDS) Form (DOE F 1324.10)**

This is the standard form used to report the inventory, schedule, and status of a U.S. Department of Energy (DOE) organization's records. It is a central document for the DOE records management program. The current version of the form is available on the DOE public website.

### **Records Inventory and Disposition Schedule (RIDS)-Continued Form (DOE F 1324.9)**

This form is a companion to DOE F 1324.10. It provides additional space for completing 1324.10, if a records inventory is lengthy. The current version of the form is available on the DOE public website.

### **Request for Disposition Authorization Form (DOE 1324.5)**

This form is used when existing disposition authorities do not apply to records, the series description needs to be altered, or the retention period needs to be changed. The current version of the form is available on the DOE public website.

### **Request for Records Disposition Authority Form (SF-115)**

The Standard Form (SF) 115 is used to obtain National Archives and Records Administration (NARA) authority for the disposition of records. It is generally used for unscheduled records. The current version of the form is available on the NARA website.

### **Records Transmittal and Receipt Form (SF-135)**

The SF-135 documents the physical transfer of records to a Federal Records Center (FRC) or the change of custody of records at an FRC. The current version of the form is available from the NARA website.

### **LM Records Transmittal and Receipt Form (LM-135)**

Modeled after the SF-135, the LM-135 is used to ensure relevant information is captured as part of the physical transfer of records to the LM Business Center records storage facility in Morgantown, West Virginia.