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U.S. DEPARTMENT OF ENERGY | Legacy Management

Records and Information Management Transition Guidance

November 2017

Records and Information Management Transition Guidance

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Executive Summary

The Office of Legacy Management (LM) has an integral role 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 the strategy is the management of government records and information from these legacy sites.

This document provides guidance for the transition of records and information to LM from legacy sites. This document also identifies how to develop a Records and Information Management (RIM) Transition Plan as part of the overall site transition effort. The RIM Transition Plan should address records and information management actions to support a successful site turnover to LM. LM is committed to ensuring all actions are completed and concerns are addressed during site transition.

1.0 Introduction and Purpose

1.1 LM Mission and Records Functions

To fulfill DOE's post closure responsibilities and ensure the future protection of human health and the environment, LM has control and custody for legacy land, structures, and facilities and is responsible for maintaining them at levels consistent with the department's long-term plans. A function of this mission and a primary LM goal is to preserve, protect, and share records and information.

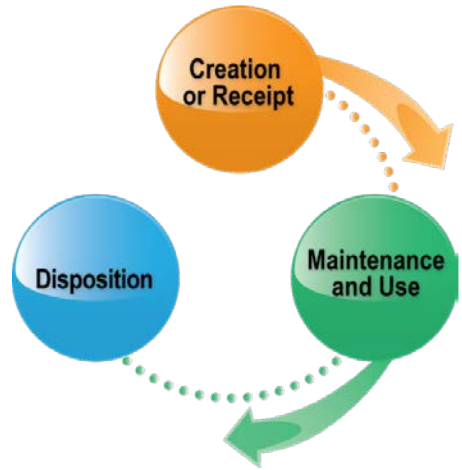
One of LM's primary goals during and after the transition of a site is to preserve, protect, and share legacy records and information. As part of this long-term legacy mission, LM assumes ownership and custody of all records (with exceptions addressed on a site-by-site basis) from the transferred sites.

It is LM's practice to:

- Establish Records Management and Information Technology points of contact (POCs) at transfer sites and work with them to ensure a smooth transition of records and information.
- Accept custody of all records from transfer sites (with some exceptions addressed on a site-by-site basis).
- Manage all records and information in accordance with federal regulations (such as Title 36 *Code of Federal Regulations* [CFR] Parts 1200–1299B [36 CFR 1200–1299B]) and DOE policy and guidance documents.
- Preserve and disposition records in accordance with National Archives and Records Administration (NARA)-approved 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.

- 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 departmental records officer at the DOE Office of the Chief Information Officer (OCIO) regarding permanent records, records policy, records schedule development, and other issues that require 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 (or governing agency) guidance until transition is completed. LM is responsible for receiving the records and information and ensuring their long-term maintenance and disposition. Comprehensive records collections and information systems are critical to understanding historical operations, site remediation, and current site activities. Critical areas include ongoing records management activities (e.g., medical studies, open records requests, and EEOICPA claims) at the time of site closure, the management of litigation records, the sharing of institutional knowledge, and continuing access to records and information.

Both parties will follow the established RIM Transition Plan activities and due dates. This section, which presents the roles and responsibilities of the transfer site and LM, will facilitate the successful transfer of records and information.

3.1 Joint Responsibilities

LM personnel and transfer site personnel are jointly responsible for:

- Developing the RIM Transition Plan and conducting the site transition process in accordance with the applicable regulations and DOE orders.
- Preparing and maintaining a schedule with milestones that identify records and information activities to be accomplished to support site transfer.
- Meeting at least quarterly to discuss the status of site transition and prepare status reports.

- Identifying records and information technology 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.
- Providing 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.
- Preparing agreements and notifications required to support the transfer of records management responsibilities to LM (e.g., NARA custodial transfer).
- Advising each other of any significant issues, contracts, grants, cooperative agreements, and announcements or solicitations relating to records and information management.

3.2 Transfer Site Responsibilities

Transfer site personnel responsibilities include:

- Maintaining managerial and support staff with the skills and expertise to operate a comprehensive records management program (DOE Order 243.1B) and to support transition until transfer of the site to LM is completed. These personnel will typically respond to FOIA and PA requests, EEOICPA claims, and other requests initiated before and during site transition.
- Maintaining responsibility for ongoing litigation cases and providing LM with guidance about records requirements to support litigation.
- Preparing, with assistance from LM, a RIM Transition Plan.
- Preparing an inventory of active and inactive records that includes volumes, media types, and locations.
- Preparing an inventory of electronic databases and information systems to include a brief description of the system, the type of data it contains, and so on.
- Providing associated indexes; identifying tracking, control, and management databases; and finding aids in formats agreeable to both the transfer site and LM.
- Identifying and segregating 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. Record types to be transferred to LM should be indicated, and record types not included in the transfer should be indicated with “N/A” or a 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.
- Disposing of nonrecord material; nonrecord material is not transferred unless approved by LM.
- Identifying and segregating classified records and identifying a custodian for classified records. LM will accept only unclassified records.
- Ensuring that all records are appropriately scheduled and dispositioned in accordance with NARA and DOE requirements.

- As required, working with LM and the OCIO to develop records schedules if the transfer site identifies unscheduled records.
- Identifying records that show evidence of deterioration and consulting with LM and OCIO to determine how those records will be managed and transferred to LM.
- Identifying site records according to the table and instructions in Appendix D, “Records/Data Needs for Post closure Site Management,” and segregating and transferring those records to LM as active records.
- Funding the transportation, storage, and retrieval costs of transfer site records until custody of the records is transferred to LM and the records are transferred to the LM Business Center (LMBC) records storage facility in Morgantown, West Virginia, or to another LM-recommended storage facility.
- Transferring records to LM (or another custodian as agreed to by the transfer site and LM) in accordance with established schedules and agreements.
- Ensuring that contaminated records are not transferred to LM. Examples of contamination may include radiological, chemical, and biological contamination. Documentation of radiological surveys and remediation actions should be provided, as applicable. Documentation may not be necessary for records exclusively housed in administrative areas.

3.3 LM Responsibilities

LM personnel responsibilities include:

- Providing sufficient 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. That includes helping the transfer site prepare a RIM Transition Plan for the site’s records program. The plan must be approved by the transfer site transition lead and the LM transition lead.
- Performing periodic reviews and a final readiness review to verify the status of records transition.
- Preparing to receive transfer site records at the LMBC or another LM-recommended storage facility.
- Accepting records and information from the transfer site consistent with the established schedule and agreements. Records and physical locations must meet regulatory requirements and quality agreements between LM and the transfer site before LM will accept transfer. Records transfer acceptance criteria are in the checklist in Appendix B.
- Providing 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.
- Responding to records requests initiated after the transfer of ownership and custody of records from the transfer site to LM.

3.4 Preparation of the RIM Transition Plan

The transfer site, with LM assistance, shall prepare a RIM Transition Plan, which 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 help LM meet the obligations of responsibly managing legacy records and information.

Plan development should be undertaken in conjunction with other site closure and transition planning efforts. Meetings with records and information technology POCs should be held to coordinate the details to ensure that a comprehensive and achievable RIM Transition Plan is developed. Appendix A provides guidance for preparing a RIM Transition Plan.

After approval of the RIM Transition Plan, the document will be distributed to all appropriate POCs, management, and program levels. Thereafter, the 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 transition leads.

4.0 Effective Transition Practices

This section addresses records transfer practices 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 commit 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 that critical staff and resources remain available during transition.

The transfer site’s commitment to manage and preserve government records and information 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 nonrecord materials 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 regarding the ownership, management, and disposition of records created by contractors and subcontractors. Other documents that may need to be reviewed by the transfer site are memoranda of understanding, grants, and cooperative research and development agreements that identify federal records requirements (created under partnerships with other federal agencies, states, universities, private companies, and foreign governments). 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 before site transfer should be reported to the LM and transfer site transition leads for action.

4.3 Assistance

RIM 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 departmental 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 or of record transfers between federal agencies. 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 LMBC 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 nonfederal 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

Transfer site resources needed for RIM 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 RIM 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 nonrecord 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 gathered and documented before 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 include a similar statement. For more information about record types, see Appendix A, "Records and Information Management Transition Plan Guidance."

5.1 Nonrecord Material

As a general practice, LM will not accept nonrecord material from a transfer site. Nonrecord 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 nonrecord material.

Occasionally, material ordinarily considered nonrecord 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 nonrecord material. The transfer site should identify whether nonrecord 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) or equivalent document 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 before 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 an appropriate records schedule is not available, the transfer site must submit a *Request for Records Disposition Authority* (Standard Form [SF]-115) for NARA approval before 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 LMBC 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 its custody, such as records transfer forms, 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 emails should be developed by the transfer site, and electronic records should be scheduled and dispositioned. Electronic records will be managed in a way that is consistent with NARA guidelines. Additionally, LM and the transfer site will adhere to OCIO guidelines for the management and archiving 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 list 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 that 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 before file transfer. 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 LMBC or another LM-recommended storage facility.

6.1 Preparing Hard-Copy Documents

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

The transfer site should organize the file folders by the same records series and place them in shipping boxes, ensuring that there is only one records series per box 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. Whenever possible, handwritten labeling is preferable to sticker labels. 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 that 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 in 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 × 12 × 9½ inches (National Stock Number 8115-00-1178249).

Records transferred to LM should be in NARA standard record boxes or corrugated cardboard boxes that are of similar size (14¾ × 12 × 9½ inches) 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 1½ 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 the transmittal form.
- Signing and returning the acknowledgement receipt to the transfer site.

7.0 Abbreviations

AR	Administrative Record
CFR	*Code of Federal Regulations*
DOE	U.S. Department of Energy
EEOICPA	Energy Employees Occupational Illness Compensation Program Act
FOIA	Freedom of Information Act
FRC	Federal Records Center
FRD	Formerly Restricted Data
LM	Office of Legacy Management

LMBC	Legacy Management Business Center
NARA	National Archives and Records Administration
OCIO	Office of the Chief Information Officer
OSTI	Office of Scientific and Technical Information
OUO	Official Use Only
PA	Privacy Act
POC	point of contact
RD	Restricted Data
RIDS	Records Inventory and Disposition Schedule
RIM	Records and Information Management
ROD	Record of Decision
SF	Standard Form
STI	scientific and technical information
UCNI	Unclassified Controlled Nuclear Information
USC	*United States Code*

8.0 Definitions

Accession: Transfer of legal and physical custody of permanent records from an agency to the National Archives, or the transfer of agency records to a Federal Records Center (FRC) for temporary storage. The agency retains legal custody of records during temporary storage.

Active records: Records required for day-to-day operations and maintained by the generating organization.

Administrative Record (AR): A collection of documents that establishes the basis for the selection and performance of environmental removal and remedial actions at a closure site. An AR file may contain correspondence, the remedial investigation or feasibility study, the record of decision (ROD), 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 may 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. Includes personnel, project, and transaction files, which are types of case files.

Cutoff: Breaking, or ending, files at regular intervals, usually at the close of a fiscal or calendar year, to permit their disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Case files are generally cut off at the end of the year in which the case is closed. Cutoff is sometimes called file cutoff or file break.

Disposition: The actions taken with records no longer needed for current government business. These actions include transfer to agency storage facilities or FRCs, transfer from one federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle.

Documentary materials: A collective term that refers to recorded information, regardless of the medium or the method or circumstances of recording.

Electronic record: Any information that is recorded in a form that only a computer can process and that satisfies the definition of a federal record under the Federal Records Act. The term includes both record content and associated metadata that the agency determines are required to meet agency business records standards.

Federal Records Center (FRC): A records storage facility operated by 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 comprehensive outline specific to a project, organization, or function that defines its records series, file organization, records custodians, active file locations, file transfer instructions, file retention and disposition instructions, and other project- or organization-specific instructions that provide guidance for effective records management.

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.

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

Inactive records: Records that must be retained but are accessed infrequently.

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

Metadata: Preserved contextual information describing the history, tracking, or management of an electronic document.

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

Nonrecord material: U.S. government-owned informational materials excluded from the legal definition of records or not meeting the requirements of that definition. Includes extra copies of documents kept only for convenience of reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.

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.

Permanent records: Records appraised by NARA as having 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.

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.

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 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 U.S. government or because of the informational value of data in them. Includes recorded information created, manipulated, communicated, or stored in digital or electronic form.

Records schedule: A document providing mandatory instructions about what to do with records (and nonrecord materials) no longer needed for current government business, with provision of authority for the final disposition of recurring or nonrecurring records.

Records series: Documents maintained as a collection because they relate to a particular subject or function, result from the same activity, document a specific transaction, take a particular form, or have some other relationship arising from their creation, receipt, use, or access.

Records Storage Facility (RSF): A NARA-certified facility used by a federal agency to store federal records. The LMBC in Morgantown, West Virginia, is an RSF for the storage, retrieval, and disposition of DOE temporary inactive records.

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

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

Transfer site: A site identified for transfer to LM for long-term stewardship purposes.

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

Vital record: A record that is essential to satisfy the continued operation or recovery of an organization during and after an emergency or a record required to protect the rights of the federal government and any individual affected by federal government activities. Vital records considerations are part of DOE's Emergency Management Program.

Approved: ______________________________

Edwin Parks
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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 LM and the development of a RIM Transition Plan.

This guidance applies to all transfer site records as defined under the Federal Records Act (particularly Title 44 *United States Code* [USC] Section 3101 [44 USC 3101]), regardless of the medium or format, that were created, collected, processed, used, stored, or dispositioned by DOE organizations and 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 RIM Transition Plan about the types of records described in this appendix.

2.0 General Records Information

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

- Federal and contractor POCs for records management, information technology, and so on
- 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* (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 by a similar statement)
- Records storage locations (classified and unclassified records), including onsite, commercial, FRCs, and any other storage locations
- Records storage costs, leases, or services
- Timetables or milestones

3.0 Special Requirement Records

3.1 Administrative Record

The Comprehensive Environmental Response, Compensation, and Liability Act of 1980, Section 113(k), and other acts and agreements stipulate that an AR shall be established to serve as the basis for an environmental response action. Regulations governing the implementation of the AR are contained in 40 CFR 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 photographs; motion pictures; graphic material; audio, video, and digital 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 records, regardless of media, 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 level of support required by LM must be included in the RIM 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) information should also be properly marked.

3.5 Classified Material

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

During site transition, if the transition site has classified material, protection shall be in accordance with DOE Order 475.2B, "Identifying Classified Information" (DOE Order 475.2B)

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 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 the proper handling of contaminated records containing 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. A matrix that outlines types of contamination and any applicable governing regulations should be included in this plan. The transfer site should identify how the records will be decontaminated before being transferred to LM.

3.9 Contract or 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 comprises 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 comprises 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 information about associated costs.

3.12 Energy Employees Occupational Illness Compensation Program Act

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 video tapes, digital phones, optical disks, magnetic optical disks, Bernoulli disks, Zip disks, and digital videodisks. The transfer site should identify an electronic record, 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 before their destruction. Both the electronic systems and the information contained on the systems must be maintained according to approved retention schedules. Upon system retirement, the system, 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 USC 552) or other applicable statutes or if 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 the 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 and 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, Health, and Safety and Security 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 DOE 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.

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 are also referred to as archival records. A copy of all 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 and 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 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.

3.23 Reference and Library Collections

The transfer site should identify all reference and 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.

3.24 Sensitive Records

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

3.25 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.

3.26 Weapons-Related Records

Many of the transfer sites will have created, managed, and dispositioned key historical, 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 are adequately protected and stored and made available to staff only on a need-to-know basis according to security requirements. The transfer site must provide LM with the status of these collections and identify records that have been transferred to an FRC, other DOE facilities, or other storage facilities.

4.0 Issues and Recommendations

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 being transferred.				
Records finding aids have been identified and provided.				
Training on how to use the records finding aids has been provided.				
Copies of records transfer forms (i.e., SF-135 forms and SF-258 forms or equivalent) are provided if the records are stored in a federal records center.				
All records have applicable records schedules assigned to them and actions taken to schedule any unscheduled records.				
NARA has been 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 Environment, 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
Environmental and Geospatial Data Required for Long-Term Stewardship

Environmental and Geospatial Data Required for Long-Term Stewardship

Environmental data (i.e., groundwater monitoring, soil sampling results) and geospatial data (i.e., geographic and legal boundaries, GPS or survey coordinates) are needed by LM to perform long-term surveillance and maintenance activities. If possible, environmental data should be transferred to LM in electronic form. The following tables include environmental monitoring data and mapping data layers that are typical for a legacy site. Each site transition may require additional information that is unique to that site.

Geospatial Data	
Primary Description	**Secondary Description**
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	

Geospatial Data	
Primary Description	**Secondary Description**
Entrance sign	
Fence	Barbed-wire fence
Fence	Chainlink 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	
Historical feature	Historical 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 or historical)	
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

Geospatial Data	
Primary Description	**Secondary Description**
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

Environmental Data Required for Long-Term Stewardship	
Primary Description	**Secondary Description**
Analytical sample results	Laboratory results; electronic data deliverable files for air monitoring; water, soil and gas sampling events
Field sample results	Field measurement data, field sample logs, and water level information
Database information	Data dictionary, entity relationship diagrams, and database manuals
Well construction information	Well logs, well development information, and completion reports
Historical sample results	
Radiological survey data	
Geochemistry information	Lithology logs and borehole logs
Water and other models	
Historical and existing contamination information	
Location of residual contamination	
Permit information	Well permit information
Well decommissioning information	
Electronic environmental monitoring data	Data logger information and transducer information
Site information	Name, location, and coordinate system information
Completion and closeout reports	If applicable

Records and Information Management Transition Guidance

Appendix D
Records/Data Needs for Post Closure Management of Site

Records/Data Needs for Post Closure Management of Site

Purpose

The attached table has been developed to assist DOE 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	The agency responsible for evaluating and maintaining remedy performance of sites in long-term stewardship
Stakeholder	An organization, agency, or individual with regulatory oversight or financial, environmental, legal, or personal interest

Media Annotations

E_{doc}	Electronic documents
E_d	Electronic data form
E_m	Electronic maps

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

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		
Custody and Long-Term Care Licensing Information				
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_{doc}	XE_{doc}
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
Real Estate Information				
Legal Site Description [e.g., recorded surveyors description with township, range, section or measurements and bounds, and legal plat of property]	X	X	XE_{rr}	XE_{rr}
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_{rr}	XE_{rr}
Easement	X	X	XE_{rr}	XE_{rr}
Tribal Withdrawal, Custody, and Agreements	X	X	X	X
Legal Information (documents and supporting correspondence)				
Litigation (pending and closed) includes transcripts and relevant correspondence		C	C	C
Congressional/Senate Hearings		C	C	C

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		
Settlements		C	C	C
Site-Specific Legal Agreements				
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
Institutional Control Information (e.g., land use controls, restrictive covenants, zoning, easements, access control, deed restrictions)	X	X	XE_m	XE_m
Use and Operations History Information				
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_m	XE_m
Past and Current Ownership			X	X
Current Uses	X	X	X	X
Historical Photos (prints and negatives) (tiff/jpg if electronic)			XE_d	XE_d

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		
Programmatic Plans (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, NWPA, 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_{doc}	CE_{doc}
Physical Information (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_m	XE_m
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_m	XE_m
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_m	XE_m
Specifications			X	X
Calculations			X	X
Construction and As-Built Photos			X	X
Aerial photos (oblique, orthorectified vertical) prints and negatives			XE_c	XE_d
Current infrastructure (e.g., piping, water and sewer, electric, gas, phone, cable)			XE_m	XE_m
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)			$XE_{d/m}$	$XE_{d/m}$
Geology (summary reports will suffice)		X	$XE_{d/m}$	$XE_{d/m}$
Ground Water Hydrology (summary reports will suffice)		X	$XE_{d/m}$	$XE_{d/m}$

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**		
Physical Information (continued)				
Geochemistry includes background information, surface observations, field test data, laboratory test data, analyses and calculations, designs and reports.		X	XE_d	XE_c
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_d	XE_c
Site and Surrounding Area Land Use and Zoning	X	X	XE_m	XE_m
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.)				
Ecosystems On and Around the Site				
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_m	XE_m
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_d	XE_c
Noise			X	X
Air			X	X
Water Quality/Supply			X	X
Soils			X	X
Agricultural Distribution			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		
Environmental Information (continued)				
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
Radon and Environmental Hazards and Related Monitoring Information (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_d	XE_d
Radon/Environmental Monitoring Correspondence			X	X
Site Environmental Reports	X	X	X	X
Effluent Monitoring	X	X	XE_d	XE_d
CERCLA 5-Year Reviews	C	C	CE_{doc}	CE_{doc}
Ground/Surface/Leachate Water Monitoring Information (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_d	XE_d

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		
Ground/Surface/Leachate Water Monitoring Information (continued)				
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$_d$	XE$_d$
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$_c$	XE$_d$
Well Construction/Screening			XE$_d$	XE$_d$
Well Logs			XE$_d$	XE$_d$
Data Logger			XE$_d$	XE$_d$
Lithologic Data			XE$_d$	XE$_d$
Sample Locations			XE$_d$	XE$_d$
Permit (e.g., number, regulatory agency, dates)			XE$_d$	XE$_d$
Other Point Data (e.g., spot elevations, survey control)			XE$_c$	XE$_d$

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		
Ground/Surface/Leachate Water Monitoring Information (continued)				
Sample and Analytical Results			XE_d	XE_d
Site Information (e.g., name, location, and coordinate system)			XE_d	XE_d
Water Levels			XE_d	XE_d
Sample Plan (e.g., frequencies, drivers, contaminants of concern [COCs])			XE_d	XE_d
National Environmental Policy Act (NEPA) Information				
Environmental Assessment (EA) or Equivalent	X		XE_{doc}	XE_{doc}
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_{doc}	XE_{doc}
Completion/Closure Reports				
Certification Report	X	X	XE_{doc}	XE_{doc}
Site Completion Report, Including Addenda and relevant correspondence and concurrences	X	X	XE_{doc}	XE_{doc}
Verification Data			XE_d	XE_d
Closeout Audit Report		X	X	X
Supplemental Standards	X	X	$XE_{doc/m}$	$XE_{doc/m}$
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
Site Surveillance/Inspection Information				
Pre-Stewardship Inspection Documents (includes inspection and trip reports, photographic log and prints, job safety analysis, inspection checklists, and related correspondence)			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		
Stewardship Inspection Documents (Includes inspection and trip reports, job safety analysis, inspection checklist, photographic log and prints, and inspection-specific correspondence.)	X	X	XE_{doc}	XE_{doc}
Agency Inspections (e.g., NRC, USACE, and EPA)	X	X	XE_{doc}	XE_{doc}
Technical Issue Inspections (e.g., revegetation)		X	X	X
Inspection Field Books			X	X
Inspection Process Correspondence			X	X
Site Maintenance Information				
Insurance			X	X
Utilities (gas, electric, water, sewer, irrigation, etc.)			XE_{n}	XE_{n}
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	$XE_{doc/fm}$	$XE_{doc/fm}$
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
Community Relations/Public Involvement (*formal public affairs and involvement*)				
Community Relations Plans	X	X	XE_{doc}	XE_{doc}
Emergency Plans/Contingency Plans	X	X	XE_{doc}	XE_{doc}
Emergency Notification and Reporting	X	X	X	X
Fact Sheets	X	X	XE_{doc}	XE_{doc}
Points of Contact/Key Contacts List	X	X	X	X
Public Hearings/Meetings	X	X	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		
News Releases on controversial issues or issues with public interest	X	X	X	X
International Affairs	X	X	X	X
Correspondence 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
Health and Safety (H&S) Information				
H&S Correspondence (on releases and critical issues)			X	X
H&S Plan			XE_{coc}	XE_{coc}
Occurrence Reports	X	X	X	X
Health Physics (current and baseline data)				
Monitoring Plans			XE_{coc}	XE_{coc}
Air Sampling			XE_{d}	XE_{d}
Water (domestic/municipal) and Vegetation Sampling	X	X	XE_{c}	XE_{d}
Log Books			X	X
Routine and Special Surveys (Buildings			X	X
RAD Assessments/Surveys/Risk Analysis		X	$XE_{d/m}$	$XE_{c/m}$
Soil Sampling			XE_{d}	XE_{d}
Permits (including supporting reports)				
General Permitting Correspondence			X	X
404 Permits (Dredge and Fill) *(Corps of Engineers)*		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

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**		
Free Use/Land Use Permits			X	X
Right-of-Way Permits *(with BLM and DOT)*			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
Site Operations and Treatment Systems Information *(relevant when site has a continuing mission or active treatment system)*				
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
Waste Management (WM) and Disposal Information				
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_d	XE_d
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
Site-Specific Technical Studies —*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.*	X	X	X	X
Quality Assurance —*Oversight activities*				X
Records Information				
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
USACE	U.S. 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. 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 about 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 and Electronic Information Systems*.

***Records Inventory and Disposition Schedule (RIDS)* Form (DOE Form 1324.10)**
This is the standard form used to report the inventory, schedule, and status of a 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 Form 1324.9)**
This form is a companion to DOE Form 1324.10. It provides additional space for completing Form 1324.10 if a records inventory is lengthy. The current version of the form is available on the DOE public website.

***Request for Records 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 SF-115 form is used to obtain 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 form documents the physical transfer of records to an 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 Transfer* Form (LM-135)**
Modeled after the SF-135, the LM-135 is used to ensure that relevant information is captured as part of the physical transfer of records to the LMBC records storage facility in Morgantown, West Virginia.