

Summary of Changes
to
Procedure 200.1
Vital Records

Revised Version Issued as P 200.1C

LM Procedure 200.1B, Vital Records Procedure of 7/18/07, has undergone revisions. The procedure has been revised to reflect changes in definitions and formatting and to ensure the references cited and the vital records schedule remain current. Please replace LM Procedure 200.1B with LM Procedure 200.1C.

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U.S. Department of Energy Office of Legacy Management



Procedure: 200.1C

Effective: 9/4/08

SUBJECT: VITAL RECORDS

1. PURPOSE. To establish a process for the identification, protection, and retrieval of vital records needed for continuity of operations before, during, and after emergencies and for those records needed to protect the legal and financial rights of the Federal government and individuals affected by Government activities.
2. CANCELLATION. LM Procedure 200.1B, Vital Records, dated 7/18/07
3. REFERENCES.
 - a. 36 Code of Federal Regulations (CFR) Part 1236, Management of Vital Records
 - b. Executive Order 12656, Agency Responsibilities During National Emergency
 - c. U.S. Department of Energy (DOE) Order 243.1, Records Management Program
 - d. DOE Order 243.2, Vital Records
 - e. DOE Manual 470.4-4, Information Security
 - f. LM Procedure 200.1-5, Records Disaster Prevention, Mitigation, and Recovery
 - g. LM Procedure 200.3, Classified, Sensitive, and Proprietary Document Handling
 - h. LM Procedure 200.4, Records Management
 - i. Vital Records and Disaster Mitigation and Recovery: An Instructional Guide, National Archives and Records Administration (NARA)
 - j. Department of Defense (DoD) Standard (STD) 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard

INITIATED BY: Office of Business Operations
NO. OF PAGES/ATTACHMENTS: 8 pages, 2 attachments

4. DEFINITIONS.

- a. Classified Information -- Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.
- b. Cycling -- The periodic removal of obsolete copies of vital records and replacement with copies of current vital records. This may occur daily, weekly, quarterly, annually, or at other designated intervals.
- c. Disaster -- An unexpected occurrence inflicting destruction and distress and having adverse effects on LM operations.
- d. Electronic Recordkeeping System (ERKS) -- An electronic information system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. An ERKS is certified according to DoD 5015.02-STD to ensure the records it maintains have sufficient authenticity and reliability to meet the agency's recordkeeping requirements.
- e. Emergency -- A situation or occurrence of a serious nature (e.g., fire, flood, electrical failure) developing suddenly and unexpectedly requiring immediate action.
- f. Emergency Operating Records -- Records essential to the continued performance or reconstitution of the Federal government during and after an emergency. Examples of these records include emergency plans, delegations of authority, staffing assignments, and selected records needed to continue critical agency operations, as well as those that assist LM and its contractors in conducting operations under emergency conditions and in resuming operations after an emergency.
- g. 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.
- h. LM Personnel -- Federal employees and contractor personnel associated with LM.
- i. Legal and Financial Rights Records -- Records essential to the preservation of the legal and financial rights of individual citizens and the Federal government. Examples of these records include accounts receivable and payable records, social security records, payroll records, retirement records, and insurance records.
- j. National Archives and Records Administration (NARA) -- An independent Federal agency that provides guidance to Federal agencies on the management of

records, determines the retention and disposition of records, stores agency records in records centers from which agencies can retrieve them, and preserves permanently valuable Federal records.

- k. Personally Identifiable Information (PII) -- Any information about an individual maintained by an agency, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information which can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including any other personal information which is linked or linkable to an individual.
- l. Program Records Official (PRO) -- Individual who ensures that all LM records management practices are properly executed.
- m. Records -- All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government 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 Government or because of the informational value of data in them.
- n. Records Coordinators -- Personnel who work with the Records Liaison Officer to provide support for LM records management activities.
- o. Records Liaison Officer (RLO) -- Individual(s) designated by the PRO to oversee the LM records management program in cooperation with the DOE Records Officer.
- p. 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 out of their creation, receipt, use, or access.
- q. Unclassified Controlled Information (UCI) -- Unclassified information that may be exempt from public release under FOIA and for which disclosure, loss, misuse, alteration, or destruction may adversely affect national security, Governmental interests, or personal privacy. Examples include Unclassified Controlled Nuclear Information (UNCI), Personally Identifiable Information (PII), and proprietary information.
- r. 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.

- s. Vital Records Program -- The policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions or to protect the Federal government's rights or those of its citizens. This is a program element of an agency's emergency management function.
- t. Vital Records Schedule -- A management tool to identify essential operating and financial records, their locations, and the measures being used for their protection.

5. QUALITY CONTROL.

- a. The RLO shall review this procedure as necessary, but at least annually, to accommodate changing conditions within LM and to ensure compliance with applicable laws, regulations, and DOE requirements.
- b. A Vital Records Schedule is included in Attachment A. Additions, changes, or deletions to this schedule must be coordinated with the RLO. The Vital Records Schedule shall be updated as needed, but at least annually.
- c. Only the most recent and complete version of a record shall be treated as the vital record. The LM File Plan governs the continued retention and ultimate disposition of official records used for vital records purposes.
- d. LM vital records shall be retained according to the published LM File Plan.

6. RESPONSIBILITIES.

- a. The PRO, Team Leader of Archives and Information Management, is responsible for designating Records Coordinators, and other LM personnel as appropriate, to identify, protect, and retrieve vital records at each location as appropriate.
- b. The RLO is responsible for:
 - Implementing the LM Vital Records Program and working with offices in identifying, maintaining, and protecting LM's vital records.
 - Developing site-specific processes for transporting and storing documents offsite as part of vital records protection effort.
 - Ensuring that Records Coordinators are appropriately informed about vital records and their responsibilities for creation, maintenance, use, and disposition of vital records.

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- c. Designated Records Coordinators and other LM personnel are responsible for supporting efforts, with RLO oversight, to ensure the survival of vital records in case of an emergency or disaster in accordance with the LM Records Disaster, Prevention, Mitigation, and Recovery Plan.

7. TRAINING REQUIREMENTS.

- a. The management and control of vital records will be included in the annual records management training.
- b. Personnel responsible for the management of vital records shall be cognizant of the applicable area within the procedure, related DOE directives, and NARA guidance.

8. DOCUMENT CONTROL.

- a. The Directives Manager shall maintain the official controlled version of this document in the LM ERKS.
- b. The Directives Manager shall place the most current version of this procedure on the LM Intranet in a read-only format.
- c. Printed hard copies of this document shall be considered information-only copies.

9. PROCEDURE.

Attachment A. includes the LM Vital Records Schedule. Attachment B. illustrates the LM Vital Records Process.

- a. Identification
 - (1) The RLO:
 - (a) Identifies LM vital record series by determining which series contain emergency operating records or legal and financial rights records. Records that fall into either of these categories are considered vital records.
 - (b) Provides a listing of vital records series to Records Coordinators.
 - (2) The Records Coordinators follow RLO guidance to identify each location's existing and new vital records.

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- (3) The RLO reviews vital records to determine if any contain PII or other UCI and institutes appropriate protection measures. (See LM Procedure 200.3, Classified, Sensitive, and Proprietary Document Handling.)

b. Protection and Retrieval

(1) The RLO:

- (a) Evaluates the importance of the location’s vital records series based on the following factors:
 - How often the location’s vital records are accessed.
 - The volume of vital records and how long they will be retained.
 - How frequently the records are updated.
 - Required security precautions.
 - The records’ susceptibility to physical destruction (from handling, humidity, etc.).
- (b) Selects an appropriate protection method weighing the factors listed above and the resources available to protect vital records. In most cases, duplicate copies provide appropriate protection. However, based on the above evaluation, the RLO may instead decide to either:
 - Protect and maintain source information needed to reconstruct vital records, or
 - Store vital records onsite in special equipment (e.g., fire-resistant cabinets, safes, vaults).
- (c) Instructs the Records Coordinators to use the appropriate combination of measures when preserving duplicate copies. These include:
 - Storing duplicate copies in an offsite location or, if in the same location, at least far enough away from the official records so that both sets are not damaged in the same emergency or disaster.
 - Routinely generating duplicates as part of normal operations to facilitate cycling of vital record copies.

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- Using photocopies of paper media or a paper and electronic media combination as the duplicate form.
 - Using copies of official vital records as active records when possible. The original record cannot be recovered if it is lost or inadvertently destroyed during active reference.
- (d) Ensures that the protection method selected properly addresses each of the following requirements:
- Vital records (or their duplicate copies) needed during an emergency or disaster shall be readily accessible.
 - Emergency operating records must be immediately accessible for use by management or emergency response personnel during an emergency or disaster.
 - Legal and financial rights records must be available on an as-needed basis. However, records that have the properties of both emergency operating records and legal and financial rights records will be treated as emergency operating records when storage, protection, and accessibility considerations are being made.
- (e) Ensures that LM information technology personnel routinely create appropriate backups of vital records, if they exist only in electronic format. The backup data must be retrievable, including necessary equipment, software, and documentation, in a reasonable amount of time. [Note: Computer backup tapes created during the normal course of system maintenance are acceptable as the backup copy for vital records.]
- (f) Protects vital records from disaster to the extent possible in accordance with LM Procedure 200.1-5, Records Disaster Prevention, Mitigation, and Recovery.
- (2) The Records Coordinators:
- (a) Maintain vital records identified according to the protection methods determined by the RLO.
 - (b) Preserve electronic vital records in the LM ERKS. The Records Coordinators ensure that ERKS document profiles reflect the documents' status as vital records.

10. ATTACHMENTS.

- a. Attachment A. – LM Vital Records Schedule
- b. Attachment B. – LM Vital Records Process Flowchart

Original signed by
Approved: Robert Baney, Acting
Director
Office of Business Operations

9/4/08
Date

Distribution: As required

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Attachment A. – LM Vital Records Schedule

Grand Junction								
Vital Record	Location	Media	Electronic Application	Reference Activity	Protection	Class	Organization	Records Description
Emergency Preparedness and Response Plan	Emergency Operating Center	Paper	None	Annually or as needed	Dual storage	High Priority	Health & Safety	Provides protocol, contacts, steps, and evacuation plans in the event of an actual or potential emergency/disaster
General employee information	Federal: DOE Personnel Office, Washington, DC Contractor: Human Resources Office	Paper	None	As needed	Federal: responsibility of DOE Personnel Office Contractor: one-hour fire-rated file cabinet	Medium Priority	Federal: DOE Personnel Office Contractor: Human Resources	Federal: records in the Official Personnel Folder Contractor: individual employee records, such as insurance, retirement, 401(k), and length of service
Uranium Lease and Uranium Mill Tailings Remedial Action (UMTRA) Ground Water lease or access agreements	Bldg. 938/253	Paper	None	As needed	Dual storage plus additional copies held by the lessors	Low Priority	Land Management	Uranium Lease Management and UMTRA Ground Water Projects property lease or access agreement files
Environmental permits	Bldg. 810/169	Paper	None	As needed	Hard copy stored in Bldg. 810/169	Low Priority	Property	Access agreements, well monitoring permits, and various environmental permits
Real estate & agreement records	Bldg. 810/169	Paper	None	As needed	Hard copy stored in records vault	Medium Priority	Property	Real property records including leases, title papers, abstracts, and certificates
Personal property	Bldg. 810/174	Paper	None	As needed	Electronic copies maintained in Consolidated Data Center	Medium Priority	Property	Personal property records: inventory, tags numbers, maintenance agreements, invoices and responsible person

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Morgantown								
Vital Record	Location	Media	Electronic Application	Reference Activity	Protection	Class	Organization	Records Description
Continuity of Operations (COOP) Emergency Procedures	The COOP is maintained by and under the control of the National Energy Technology Laboratory (NETL)	Paper	None	Annually or as needed	At and under the control of NETL	High Priority	The COOP is maintained by and under the control of NETL	Provides protocol, contacts, steps in the event of an actual or potential emergency/ disaster
Medical information	NETL Occupational Health Office	Paper	None	As needed	At and under the control of NETL	Medium Priority	NETL Occupational Health Office	Employee medical files
General employee information	Federal: DOE Human Resource Office NETL and Research Ridge Bldg. 4 Contractor: Human Resources Office	Paper	None	As needed	Federal: Research Ridge and NETL storage Contractor: one-hour fire-rated file cabinet	Medium Priority	Federal: DOE Personnel Office Contractor: Human Resources	Federal: records in the Official Personnel Folder Contractor: individual employee records, such as insurance, retirement, 401(k), and length of service
Financial records	DOE Washington, DC	Electronic	DOE-wide system	Daily	Not applicable for LM as all financial data are entered into a DOE-wide system			
Contracts	Contracting Officer's Office and Research Ridge Bldg. 6	Electronic & paper	Hummingbird/ STRIPES	As needed	System backups stored offsite Standard file cabinets	Medium Priority	Contracting Officer's Office	Case files for each LM contract
Accounts receivable and accounts payable	Consolidated Data Center	Electronic & paper	JAMIS	Daily	System backups stored offsite Hard copy stored in Research Ridge Bldg. 4	Medium Priority	Finance	Financial and accounting files, such as cost vouchers, receipt accounts, and general accounts
Cost and general ledger	Consolidated Data Center	Electronic	JAMIS	Weekly	System backups stored offsite	Low Priority	Finance	Summary and detailed data of all costs and expenses

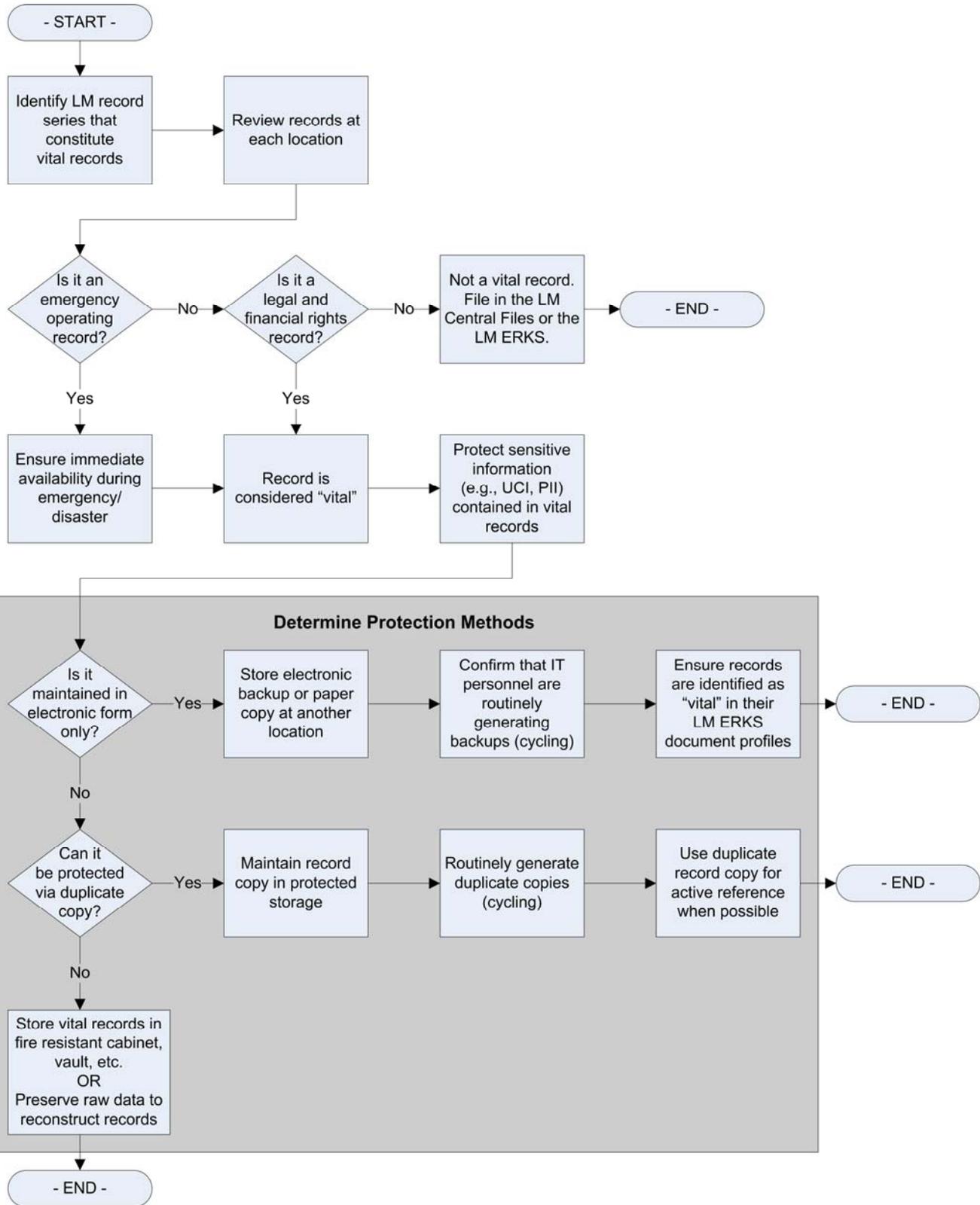
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Morgantown (continued)								
Vital Record	Location	Media	Electronic Application	Reference Activity	Protection	Class	Organization	Records Description
Local Area Network Continuity of Operations and Disaster Recovery Plan	Consolidated Data Center	Electronic & paper	None	Annually or as needed	Dual storage plus additional copy maintained with offsite backups	Medium Priority	Information Technology	The plan addresses the retrieval of electronic records from backup tapes
Real estate & agreement records	Consolidated Data Center	Electronic	Scanned images in Hummingbird	As needed	System backups stored offsite	Medium Priority	Property	Property records including leases, title papers, abstracts, and certificates
Environmental permits	Consolidated Data Center	Electronic	Scanned images in Hummingbird	As needed	System backups stored offsite	Low Priority	Property	Access agreements, well monitoring permits, and various environmental permits
Personal property	Consolidated Data Center	Electronic	Sunflower	As needed	System backups stored offsite	Medium Priority	Property	Personal property records: inventory, tags numbers, maintenance agreements, invoices and responsible person

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Washington								
Vital Record	Location	Media	Electronic Application	Reference Activity	Protection	Class	Organization	Records Description
COOP Emergency Procedures	The COOP is maintained by and under the control of DOE Washington, DC	Paper	None	Annually or as needed	At and under the control of DOE Washington, DC	High Priority	The COOP is maintained by and under the control of DOE Washington, DC	Provides protocol, contacts, and steps in the event of an actual or potential emergency/ disaster
Medical information	Occupational Health Office LM-20 closure site – Federal Records Center (FRC)	Paper	None	As needed	At and under the control of DOE Washington, DC	Medium Priority	Occupational Health Office and LM-20	Employee medical files Closure site employee medical/ radiological (RAD) files
General employee information	Federal: DOE Human Resource Office LM-20 closure site - FRC Contractor: Human Resources Offices	Paper	None	As needed	Federal: at and under the control of DOE Washington, DC Contractor: one-hour fire-rated file cabinet	Medium Priority	Federal: DOE Personnel Office and LM-20 Contractor: Human Resources	Federal: records in the Official Personnel Folder (OPF) Contractor: individual employee records, such as insurance, retirement, and 401(k) Closure site: employee personnel/ training files
Payroll records	Federal: DOE Washington, DC LM-20 closure site - FRC Contractor: Contractor Offices	Electronic Paper for closure sites	Federal: DOE ATAAPS Contractor: Contractor time entry system	Daily	System backups stored at different locations or (for LM-20) at FRC storage	Medium Priority	Federal: DOE, Washington, DC Contractor: S.M. Stoller	Payroll records, such as hours worked, vacation balance and accounts charged Closure site employee time card files
Financial records	DOE Washington, DC	Electronic	DOE-wide system	Daily	Not applicable for LM as all financial data are entered into a DOE-wide system			

Attachment B. – LM Vital Records Process Flowchart



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