



NATIONAL NUCLEAR SECURITY ADMINISTRATION

NNSA Policy Letter:

BOP-004.001

Dated: 11-24-03

Title: **NNSA RECORDS MANAGEMENT BUSINESS and OPERATING POLICY**

- I **OBJECTIVE** Establish business management and operating guidance for the creation, disposition, maintenance, and referencing of NNSA records

- II **APPLICABILITY** The provisions of this Policy Letter apply to all NNSA organizational elements and all non-NNSA activities funded at sites where NNSA is the landlord for functions performed by the NNSA

- III **REQUIREMENTS** It is NNSA policy to manage Agency records effectively and efficiently throughout their life cycle in order to facilitate accomplishment of the Agency's programmatic and administrative missions, to preserve official Agency records in accordance with applicable statutory and regulatory requirements, and to promote access to information by NNSA staff, Agency partners, and the public as appropriate. This is to be accomplished through adequate and proper documentation of all NNSA organizations, their functions, policy decisions, procedures, and essential transactions in a manner that promotes accountability, establishes a historical record, and protects the legal and financial rights of the Government and the privacy of individuals
 - 1 NNSA shall plan and establish a framework for managing and overseeing a comprehensive Agency-wide records management program
 - 2 This framework shall be integrated into NNSA's information technology architecture to promote effective management, communication, sharing, and transfer of information regardless of the medium or format in which it exists
 - 3 NNSA shall inform its employees and agents of their responsibilities to manage the Agency's records, and ensure that records management staff receive adequate training to carry out their responsibilities
 - 4 NNSA shall manage records throughout their life cycle which includes the following components

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(a) Records creation/collection - An official record shall be created to appropriately document all Agency functions, policies, decisions, procedures and essential transactions. NNSA elements shall develop record keeping requirements for all official Agency records for which they are responsible.

(b) Records maintenance and use - Record filing, indexing and storage systems shall be designed and documented to the extent appropriate and necessary, to maximize the usefulness of the records and allow retrieval throughout their life cycle.

(c) Records disposition - Records disposition schedules for all Agency records shall be submitted to and approved by the Archivist of the United States. No records may be destroyed without an approved disposition. Once dispositions are approved, they must be carried out in a timely manner.

- 5 NNSA shall create, maintain, and store records only in media and formats that adhere to Federal standards (e.g., National Archives and Records Administration (NARA) standards for magnetic tape storage). Within those parameters, organizations should select a medium (e.g., paper, microform, or optical) based on whether it is technically feasible and cost-effective, responds to Agency requirements, and allows for efficient information integration and dissemination, where necessary.
- 6 NNSA shall develop technology applications (such as electronic document filing, data base applications, or conversion to microfilm or optical disk) to improve the management of Agency records. When planning all technology applications, NNSA elements shall include records management requirements in the mission needs and requirements analyses in order to determine what impact, if any, the application will have on the Agency's ability to document its activities. To the extent that the system or application impacts the Agency's record keeping, the following requirements shall be incorporated:
 - (a) Records creation - Applications shall allow for the creation and maintenance of records sufficient to meet the documentation needs of the Agency.

(b) Records storage - Records shall be physically located and maintained in an economical manner that allows for easy retrieval, access, and dissemination if appropriate

(c) Records disposition - The records within the information system shall be scheduled and the system shall be capable of deleting records or transferring them to NARA as required by their disposition schedule

- 7 All official records created or collected by NNSA shall be inventoried at least triennially in order to provide a complete and comprehensive accounting of the Agency's holdings. Records that are not needed on-site for current business should be retired to a National Archives and Records Administration (NARA) Regional facility for storage.
- 8 Records collected, created, or maintained by the Agency shall be safeguarded commensurate with the risk and magnitude of the harm that would result from the loss, misuse, unauthorized access to or modification of information. Appropriate safeguards shall be adopted to ensure confidentiality and overall security as specified in the Privacy Act and the Computer Security Act.
- 9 Standardized filing systems/structures shall be developed (where appropriate) to provide an effective mechanism that facilitates ease of use, access, and disposition. Records shall be organized and indexed in such a manner as to be easily accessible to Agency employees and the public, as defined in Federal regulations, and to allow for integration across programs and information systems.
- 10 The Agency must be able to provide the National Archives with a copy of all electronic records scheduled for permanent retention in a format that conforms to standards found in 36 CFR 1228.188.
- 11 The Agency shall establish a program for vital records. The program shall be responsible for identifying and appropriately safeguarding records defined as crucial to continuing operation of essential Agency functions during an emergency, and those that are essential to protecting the rights and interests of the Agency and the individuals directly affected by its activities.
- 12 The Federal Records Act of 1950, as amended, requires all Federal agencies to make and preserve records containing adequate and proper documentation of

their organization, function, policies, decisions, procedures, and essential transactions. These records are public property and must be managed according to applicable laws and regulations.

- 13 Records are broadly defined by statute and regulation to include all recorded information, regardless of medium or format, made or received by NNSA and its agents under Federal law or in connection with the transaction of public business, and either preserved or appropriate for preservation because of their administrative, legal, fiscal, or informational value.
- 14 Records are a valuable information resource whose uses go beyond facilitating immediate operational needs. Records serve a number of broader purposes including longer-term administrative and program planning needs, evidence of Agency activity, use by other Programs in the Agency, protection of the legal and financial rights of the Government and its citizens, effective oversight by Congress and other authorized agencies, and the retention of an official record for historical purposes. Records serve as the Agency's memory, they are of critical importance in ensuring that the organization continues to function effectively and efficiently.
- 15 Not all documentary materials used by NNSA and its agents are records. Examples of documentary materials that are non-record include library and reference materials, stocks of publications and processed documents maintained for distribution, extra copies of documents made or acquired only for convenience of reference (often called technical reference materials), and personal papers.
- 16 Records should be managed as an Agency asset throughout their life cycle, which consists of three basic stages: creation, active maintenance and use, and disposition. The records life cycle is initiated by the creation, collection or receipt of records in the form of data or documents in the course of carrying out NNSA's administrative and programmatic responsibilities. The life cycle continues through the processing and active use of the information in the record, until the record is determined to be inactive. The final step in the life cycle is disposition which frequently includes transfer to inactive storage, destruction, or the transfer of the custody of permanent records to the National Archives.
- 17 As records move through the information life cycle, they require management by "sponsors" who create them, or cause them to be created, and who are

responsible for their continued maintenance and disposition, users who have a need for the information in the records, and custodians who have physical custody of the record at various stages in the life cycle

- 18 NNSA organizations, staff, and their agents who create, utilize, and acquire custody or possession of Agency records do not thereby retain a proprietary interest in such records. Official Agency records are public assets and belong to the Government, not to Programs by virtue of their possession or to individuals by virtue of their position as Agency officials. Penalties for the willful and unlawful destruction, removal from files and private uses of official records are found in 18 U S C 2071
- 19 Records management is defined in 36 CFR Chapter 12 as planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations
- 20 NNSA is required under Federal statute (44 U S C 31) to establish a records management program, defined as a planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Essential elements include issuing up-to-date records management program directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency. 36 CFR Chapter 12 and OMB Circular A-130, Management of Federal Information Resources, require that agencies integrate records management into the overall information resources management (IRM) program

IV RESPONSIBILITIES

- A The Associate Administrator, Management and Administration is responsible for issuing this policy for management of NNSA Records
- B The Director, NNSA Service Center is responsible for ensuring that the implementation of this policy and compliance with its provisions

- C The Manager, Information Technology Department (ITD) is responsible for ensuring
- 1 Records management requirements and policies are incorporated into the NNSA's overall IT/IM policy and planning
 - 2 Designation of a Records Management Program Officer (RMPO) responsible for
 - Leading and managing the NNSA-wide records management program
 - Advising the ITD on records management issues and developing NNSA-wide records management policies, procedures, guidance and training materials
 - Coordinating the approval of the NNSA's records disposition schedules and the transfer of records to the National Archives
 - Coordinating records management issues, through the DOE Records Officer, with other Federal agencies, including Federal oversight agencies, such as the Office of Management and Budget (OMB), National Archives and Records Administration (NARA), and the General Services Administration (GSA)
 - Providing technical advice and training to all NNSA organizations on establishing and maintaining effective records management programs
 - Serving as the NNSA Vital Records Officer and coordinating with the NNSA's emergency management program
 - 3 NNSA-wide policies and guidance are promulgated and communicated to NNSA elements that reflect records management missions and goals, and incorporate Federal requirements
 - 4 A RMPO and other records management contact points are designated as required by regulations

- 5 Assignment of overall responsibility for the records management aspects of centrally provided information technology infrastructure, including NNSA-wide local area network applications
- 6 That Senior NNSA staff is aware of their records management responsibilities
- 7 Periodic evaluations of records management programs are conducted within the NNSA as part of the NNSA's IT/IM review and oversight program
- 8 Schedule all records and request schedules for any records that do not have a corresponding schedule

D Managers of Site Offices, Heads of NNSA Headquarters Elements, Department Managers and Supervisors are responsible for

- 1 Designating a Records Liaison Officer (RLO) to act as liaison with the RMPO and manage the records management programs (e.g., inputting automated records, updating division indexes, preparing destruction lists) of their respective elements
- 2 Implementing a records management program within their area of responsibility to accomplish the objectives identified in Federal regulations and NNSA policies and procedures. Program components include responsibilities for
 - Identifying record keeping requirements for major programmatic and administrative records series in all media
 - Evaluating the value of records within their span of responsibility to serve as a basis for assigning records retention and disposition instructions and implementing the most responsive and cost-effective means for managing them

- Developing standardized file plans and indexing approaches where appropriate to simplify the use of, access to, and integration of information within the organization
 - Inventorying and scheduling records created and maintained by the organization
 - Implementing approved records dispositions, while ensuring that no records are destroyed without proper authorization as specified in the Federal Records Act
 - Systematically reviewing records disposition schedules, file plans, and procedures on a triennial basis to ensure that they are current and updating them as necessary
 - Conducting a program of regular internal records management reviews to assist programs in implementing appropriate records management procedures
 - Assisting in planning and implementing information management technology and reviewing and approving the purchase of records management equipment and services
 - Implementing a vital records program
 - Providing oversight of contractors managing official NNSA records
 - Providing records management briefings for all managers within their organizations
- 3 Developing records management oversight roles and communication networks with all program units including site offices and other facilities to ensure that the records management program is implemented at all sites under their program jurisdiction
- 4 Developing and disseminating directives and operating procedures, as needed, to supplement NNSA-wide policy to meet the unique records management needs of their organizations and to support a records management program within the organization

- 5 Ensuring that their programs are properly documented and that records created by their programs are managed according to relevant regulations and policies

E Information System Managers (program managers) are responsible for

- 1 Overseeing the creation and use of electronic records in keeping with federal regulations and NNSA policy This includes coordination with the records officer to establish record keeping requirements including a retention period and to implement authorized disposition instructions for system information and documentation
- 2 Coordinating with records officers to develop specific information resource management plans to meet future system information needs

F NNSA staff and agents of NNSA are responsible for

- 1 Conducting work in accordance with Federal records management regulations and the NNSA's records management policy and procedures
- 2 Creating and managing the records necessary to document their official activities This includes creating appropriate records documenting meetings, conversations, electronic mail messages, telephone calls and other forms of communication that affect the conduct of official NNSA business
- 3 Only destroying records in accordance with approved records disposition schedules and never remove records from the NNSA without authorization
- 4 Filing personal papers and non-record materials separately from official records

V References

- 1 5 U S C 552 (The Freedom of Information Act as amended)
- 2 5 U S C 552a (The Privacy Act of 1974)
- 3 5 U S C 553 (Administrative Procedures Act)
- 4 5 CFR 1320 16 (Collection of information prescribed by another agency)
- 5 5 CFR 1320 17 (Interagency reporting)
- 6 18 U S C 2071 (Destruction of Records)
- 7 18 U S C 2701-2707 (The Electronic Communications Privacy Act of 1986)
- 8 31 U S C 1101 et seq (Budget and Accounting Procedures Act of 1921)
- 9 44 U S C 29 (Records Management by the Archivist of the United States and the Administrator of General Services)
- 10 44 U S C 31 (Records Management by Federal Agencies)
- 11 44 U S C 33 (Disposal of Records)
- 12 44 U S C 35 (Paperwork Reduction Act of 1980, as amended)
- 13 44 U S C 3504(e) (Paperwork Reduction Reauthorization Act of 1995)
- 14 36 CFR 1220 to 1238 (Records Management)
- 15 41 CFR 201-6 to 201-11 (Records Management)
- 16 OMB Circular A-130, Management of Federal Information Resources
- 17 Applicable Federal Information Processing Standards (FIPS) publications

VI DEFINITIONS Definitions are taken from A Federal Records Management Glossary (1993), published by the National Archives and Records Administration

- 1 "Adequacy of Documentation" is a standard of sufficiently and properly recording actions and/or decisions
- 2 "Administrative Records," as used in this directive, are the records that reflect routine, transitory, and internal housekeeping activities relating to subjects and functions common to all offices. Examples include training, personnel, and travel reimbursement files
- 3 "Agency" is the National Nuclear Security Administration (NNSA)
- 4 "Disposition Schedules" are documents that provide continuous authority to dispose of recurring series or systems of records, or to transfer them to the National Archives and its national network of NARA Regional Storage Facilities
- 5 "File" is an arrangement of records. The term is used to denote papers, photographs, photographic copies, maps, machine-readable information, or other recorded information regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, or machine-readable, or on shelves, and occupying office or storage space
- 6 "File Plan" is (1) a plan designating the physical location(s) at which an Agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility, or (2) a document containing the identifying number, title or description, and disposition of files held in an office
- 7 "Filing System" is a set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use and disposition. May be either manual or automated. Sometimes called a record keeping system
- 8 "Inventory" is a survey of Agency records and non-record materials conducted primarily to develop records schedules and also to identify various records management problems, such as improper applications of record keeping technology
- 9 "National Archives and Records Administration" (NARA) establishes policies and procedures for managing U S Government records. NARA assists Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to Federal

records centers, and conducts periodic evaluations of Agency programs for compliance

- 10 "Non-record Materials" are U S Government-owned informational materials excluded from the legal definition of records. Non-record material is of short-term interest with no documentary or evidential value. A non-record copy includes the following items and may be destroyed when no longer required for current operations. Examples include 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.
- 11 "Official Agency Records" are the documentation, including all background materials, resulting from specific transactions, operations or processes that are accumulated and maintained in filing equipment. Official Agency records include information recorded on any medium including paper, microform, cards, film, audiotape, optical disk, or magnetic media.
- 12 "Personal Papers" are papers of a private or nonofficial character which pertain only to individuals personal affairs. These records must be clearly designated by the individual and filed separately from official records.
- 13 "Programmatic Record" refers to records created, received, and maintained by NNSA in the conduct of its mission functions for which the Agency is accountable. The term is used in contrast to administrative, housekeeping, or facilitative records.
- 14 "Record keeping Requirements" are statements in statutes, regulations, or directives that provide general and specific information on particular records to be created and maintained by the Agency.
- 15 An official record has informational or evidential value. It is created or received in connection with the transaction of Government Business in any physical form. Examples of records are books, papers, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U S 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 the data in them (44 U S C 3101, Definition of Records)

- 16 "Records Management" refers to the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations
- 17 "Records Management Program" refers to the planned, coordinated set of policies, procedures, and activities needed to manage an agency's recorded information. Encompasses the creation, maintenance and use, and disposition of records, regardless of media. Essential elements include issuing up-to-date program directives, properly training those responsible for implementation, and carefully evaluating the results to ensure adequacy, effectiveness, and efficiency
- 18 "Records Series" are file units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a record series
- 19 There are two types of Vital Records, Legal and Financial Rights records, and Emergency Operating Records. Both must be protected and are essential to the operation of the organization, the continuation and/or resumption of operations following a disaster, the recreation of legal or financial status of the organization, and the fulfillment of its obligations to stakeholders, and employees in the event of a disaster
- 20 "Vital Records Program" means 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 Government's rights or those of its citizens. This is a program element of the Agency's emergency management program

- u "Weapons Program Records" are the Defense Programs records that have an approved records schedule in compliance with Nuclear Weapons Schedule 3



Michael C Kane
Associate Administrator
for Management and Administration

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