

**ADMINISTRATIVE CHANGE TO  
NA SD 243.1, Records Management Program**

Locations of Changes:

Page	Paragraph	From	To
Throughout Document		<ul style="list-style-type: none"> <li>NNSA Records Management (Update name and hyperlink to new SharePoint site.)</li> </ul>	<ul style="list-style-type: none"> <li>NNSA Records Program Office (Update name and hyperlink to new SharePoint site.)</li> </ul>
2	5.a.(1)	<ul style="list-style-type: none"> <li>Office of the Administrator (NA-1)</li> <li>Office of Defense Programs (NA-10)</li> <li>Office of Defense Nuclear Nonproliferation (NA-20)</li> <li>Office of Naval Reactors (NA-30)</li> <li>Office of Emergency Operations (NA-40)</li> <li>Office of Defense Nuclear Security (NA-70)</li> <li>Office of Counterterrorism and Counterproliferation (NA-80)</li> <li>Office of Infrastructure and Operations (NA-00)</li> <li>Office of Management and Budget (NA-MB)</li> <li>Office of the General Counsel (NA-GC)</li> <li>Office of Information Management and Chief Information Officer (NA-IM)</li> <li>Office of External Affairs (NA-EA)</li> <li>Office of Safety and Health (NA-SH)</li> <li>Office of Acquisition and Program Management (NA-APM)</li> <li>Kansas City Field Office (KCFO)</li> <li>Livermore Field Office (LFO)</li> <li>Los Alamos Field Office (LAFO)</li> <li>Nevada Field Office (NFO)</li> <li>NNSA Production Office (NPO)</li> <li>Sandia Field Office (SFO)</li> <li>Savannah River Field Office (SRFO)</li> </ul>	<ul style="list-style-type: none"> <li>Office of the Administrator (NA-1)</li> <li>Office of Defense Programs (NA-10)</li> <li>Office of Defense Nuclear Nonproliferation (NA-20)</li> <li>Office of Naval Reactors (NA-30)</li> <li>Office of Emergency Operations (NA-40)</li> <li>Office of Safety, Infrastructure and Operations (NA-50)</li> <li>Office of Defense Nuclear Security (NA-70)</li> <li>Office of Counterterrorism and Counterproliferation (NA-80)</li> <li>Office of Management and Budget (NA-MB)</li> <li>Office of the General Counsel (NA-GC)</li> <li>Office of Information Management and Chief Information Officer (NA-IM)</li> <li>Office of External Affairs (NA-EA)</li> <li>Office of Acquisition and Program Management (NA-APM)</li> <li>Kansas City Field Office (KCFO)</li> <li>Livermore Field Office (LFO)</li> <li>Los Alamos Field Office (LAFO)</li> <li>Nevada Field Office (NFO)</li> <li>NNSA Production Office (NPO)</li> <li>Sandia Field Office (SFO)</li> <li>Savannah River Field Office (SRFO)</li> </ul>

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**SUPPLEMENTAL DIRECTIVE**

**NNSA SD 243.1**

Approved: 9-3-14  
Admin Change 1: 3-21-16  
Certified: 12-19-19  
Expires: 12-19-22

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**RECORDS MANAGEMENT PROGRAM**

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**NATIONAL NUCLEAR SECURITY ADMINISTRATION  
Office of Information Management and  
Chief Information Officer**

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## **NNSA RECORDS MANAGEMENT PROGRAM**

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1. **PURPOSE.** This supplemental directive (SD) provides the framework, required elements, and business processes the National Nuclear Security Administration (NNSA) will utilize to develop, implement, and maintain an efficient and sustainable records management program as required by Department of Energy (DOE) Order (O) 243.1B, *Records Management Program*.

2. **CANCELLATION.** NNSA SD 243.1, *NNSA Records Management Program*, dated 9-3-14.

3. **APPLICABILITY.**

a. **NNSA Applicability.** This SD applies to all NNSA Elements. NNSA Elements consist of Headquarters (HQ) and field offices (FO) which report directly to the Office of the Administrator. A complete list of current NNSA Elements is identified in Section 5.a.(1) of this SD.

b. **Contractors.** Does not apply to contractors.

DOE O 243.1B, Contractor Requirements Document (CRD) sets forth requirements to be applied to NNSA contractors that create, receive, use, maintain, disseminate, and/or dispose of Federal records. All records created and received in the performance of the contract, except those designated as contractor-owned, are DOE/NNSA records. See 48 CFR 970.5204-3 *Access to and Ownership of Records*.

This SD may be used as a reference for new and existing NNSA programs and/or contracts that cite compliance with DOE O 243.1B, CRD, to achieve continuity and consistent implementation of the NNSA Records Management (RM) Program throughout the Nuclear Security Enterprise.

c. **Equivalency.** In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 United States Code (U.S.C) sections 2406 and 2511 and to ensure consistency through the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.

4. **BACKGROUND.**

The National Archives and Records Administration (NARA) shares responsibility with Federal agencies to ensure that each agency create and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency. The Archivist of the United States, as head of NARA, provides direction, guidance, assistance, and oversight through issuance of records management regulations and standards applicable to all Federal

agencies through Title 36 Code of Federal Regulations (CFR), Chapter 12, Subchapter B, *Records Management*.

The DOE Chief Information Officer (CIO), through the Departmental Records Officer (DRO), develops and administers DOE policies, directives, and oversight through DOE O 243.1B, *Records Management Program*, as amended. DOE O 243.1B identifies the records management compliance elements and requires all DOE Elements including NNSA to develop, implement, and maintain a records management program. The program must ensure effective records lifecycle management that documents the actions and decisions in support of agency operations and business functions.

SD 243.1 defines how NNSA will establish and implement a sustainable records management program as required by 36 CFR, Chapter 12, Subchapter B and DOE O 243.1B. It is not the intent or purpose of this SD to restate requirements and responsibilities previously defined in DOE O 243.1B. Processes, instructions, and tools to ensure consistent application and implementation of the NNSA Records Management (RM) Program are provided as appendices to this SD and referenced throughout the document.

Additional guidance, tools, instructions, and implementation resources are provided in the NNSA Records Management Handbook (RMH 243.1). RMH 243.1 was developed using government standards, industry best practices, and extensive subject matter expertise. RMH 243.1 is not required but highly recommended for efficiency and sustainability of the NNSA RM Program. Also, this SD and the RMH 243.1 provide a majority of the course material(s) for required records management training. RMH 243.1 is located on the [NNSA Records Program Office](#) intranet site.

## 5. REQUIREMENTS.

- a. Develop, implement, maintain and manage the NNSA RM Program in compliance with DOE O 243.1B and SD 243.1 to ensure:
  - (1) A successful RM Program is established, sustainable and applicable to all NNSA Elements to include:
    - Office of the Administrator (NA-1)
    - Office of Defense Programs (NA-10)
    - Office of Defense Nuclear Nonproliferation (NA-20)
    - Office of Naval Reactors (NA-30)
    - Office of Emergency Operations (NA-40)
    - Office of Safety, Infrastructure and Operations (NA-50)
    - Office of Defense Nuclear Security (NA-70)
    - Office of Counterterrorism and Counterproliferation (NA-80)
    - Office of Management and Budget (NA-MB)
    - Office of the General Counsel (NA-GC)

- Office of Information Management and Chief Information Officer (NA-IM)
  - Office of External Affairs (NA-EA)
  - Office of Acquisition and Program Management (NA-APM)
  - Kansas City Field Office (KCFO)
  - Livermore Field Office (LFO)
  - Los Alamos Field Office (LAFO)
  - Nevada Field Office (NFO)
  - NNSA Production Office (NPO)
  - Sandia Field Office (SFO)
  - Savannah River Field Office (SRFO)
- (2) NNSA records and information assets are accurately identified, efficiently managed, and appropriately protected throughout their lifecycle.
- b. Define the roles, responsibilities, and activities required to implement the NNSA RM Program requirements in accordance with SD 243.1, Appendix 1.
- c. Develop, administer, and/or coordinate records management training, at a level commensurate with the roles and responsibilities within the NNSA RM Program, and not already provided by DOE. The NNSA RM training is further defined in SD 243.1, Appendix 2.
- d. Appoint NNSA Records Management Professionals (RMP) throughout all NNSA Elements, in accordance with SD 243.1, Appendix 3, to include:
- (1) Records Management Field Officers (RMFO)
  - (2) Records Liaison Officers (RLO)
  - (3) Records Management Coordinators (RMC)
- e. Execute NNSA RM Program Implementation and Maintenance in accordance with SD 243.1, Appendix 4. Additional guidance, tools, and instructions are also found in RMH 243.1 located on the [NNSA Records Program Office](#) intranet site.
- f. Ensure essential (formerly vital) records are identified, protected, and readily available for continued operations, in the event of an emergency or disaster, in compliance with DOE O 243.1B and SD 243.1, Appendix 5.
- Note: Recent updates to the Federal Continuity Program have changed the term “vital” records to “essential” records.*
- g. Comply with the NNSA Records Management Assessment Program (RMAP) in accordance with SD 243.1, Appendix 6.
6. RESPONSIBILITIES. See Appendix 1.

7. REFERENCES. See Appendix 9.
8. CONTACT. Office of Information Management and Chief Information Officer, NNSA Program Records Official (PRO), at 202-586-7503 or the NNSA Records Program Office (RPO) at [NNSARecordsManagement@nnsa.doe.gov](mailto:NNSARecordsManagement@nnsa.doe.gov).

BY ORDER OF THE ADMINISTRATOR:



Frank G. Klotz  
Administrator

Appendices:

1. Records Management Program Roles and Responsibilities
2. Records Management Training Program
3. Records Management Professional Appointments
4. Records Management Program Implementation and Maintenance
5. Essential Records Protection Program
6. Records Management Assessment Program
7. Acronym List
8. Definition of Terms
9. References



## **APPENDIX 1 - RECORDS MANAGEMENT PROGRAM ROLES AND RESPONSIBILITIES**

Each NNSA employee has an important role in the successful implementation and sustainability of the NNSA Records Management (RM) Program. This appendix defines each role and associated responsibilities to ensure records are accurately identified, maintained, transferred as appropriate, and/or dispositioned.

1. NNSA ADMINISTRATOR (THROUGH THE ASSOCIATE ADMINISTRATOR FOR INFORMATION MANAGEMENT AND CHIEF INFORMATION OFFICER).
  - a. Establish and maintain an active, continuing program for the economical and efficient management of NNSA records throughout their lifecycle.
  - b. Promote records management awareness, requirements and expectations to the NNSA Executive/Senior Leadership team to ensure compliance with RM requirements applicable to all NNSA programs and organizations.
  - c. Provide overall leadership and management of the NNSA RM Program. Appoint/designate a Program Records Official (PRO) to coordinate and oversee establishment, implementation, and maintenance of the NNSA-wide RM Program.
  
2. NNSA PROGRAM RECORDS OFFICIAL (PRO).
  - a. The PRO is designated by the NNSA Associate Administrator for Information Management and Chief Information Officer (AA-CIO), who has oversight and signature authority to approve records issues for the NNSA RM Program and serve as the program liaison with the Department of Energy (DOE) Departmental Records Officer (DRO).
  - b. Develop, coordinate, and oversee the actions and activities required to develop, implement the NNSA RM Program in compliance with DOE O 243.1B, this SD, and NNSA programmatic requirements.
  - c. Serve as the NNSA point of contact with DOE, National Archives and Records Administration (NARA), and other entities for issued related to the NNSA RM Program.
  - d. Coordinate data calls to collect and/or preserve records for purposes of audits, litigation, Freedom of Information Act appeals, and similar obligations.
  - e. Report on statutory and regulatory records management responsibilities for electronic records to NARA and/or other records management-related obligations.
  - f. Provide oversight and guidance to ensure appropriate records management processes and procedures are in place for NNSA Elements.

3. NNSA ELEMENTS MANAGERS/SUPERVISORS.

- a. NNSA Managers and Supervisors are responsible for ensuring records management activities are conducted within their respective areas to implement and sustain the RM Program.

*Note: For the purposes of this SD the term “Managers, Supervisors, or Designee” includes the NNSA Administrator, Deputy Administrators (DA), Associate Administrators (AA), Field Office Managers (FOM), and all lower tier HQ/Field Office Managers, Supervisors, or Designee unless otherwise stated.*

- b. Coordinate with the NNSA Program Records Official (PRO) to promote and implement the NNSA RM Program within their respective organizations.
- c. Provide adequate staff resources and funding to support records management processes within their respective organizations.
- d. Appoint the necessary RMPs as defined in SD 243.1, Appendix 3, to implement the NNSA RM Program within the appointment organizations.
- e. Address and/or implement recommendations from the NNSA PRO and/or subsequent working groups as it relates to the management of federal records and the RM Program.
- f. Ensure employees are trained and cognizant of their roles and responsibilities.
- g. Safeguard against the unauthorized destruction of records.
- h. Ensure records are maintained in a cost-effective manner and records storage facilities meet the requirements of applicable Federal regulations.
- i. Ensure essential (formerly vital) records are identified and protected in accordance with applicable requirements.
- j. Notify appropriate RMP immediately upon the decision of terminating, suspension, reassigning, or separation of employees to ensure turnover and/or disposition of all records is performed.

4. NNSA RECORDS PROGRAM OFFICE (RPO).

The RPO provides direct support to the NNSA Office of Information Management and the Chief Information Officer and the NNSA PRO to develop and coordinate implementation of the NNSA RM Program in compliance with DOE O 243.1B, this SD, and NNSA programmatic requirements.

5. RECORDS MANAGEMENT PROFESSIONAL (RMP).

RMPs are individuals appointed by a Manager/Supervisor with responsibility to coordinate activities and oversee implementation of the RM Program within their organization. The subject matter expertise of a RMP provides an important skill set to ensure compliance to applicable federal and agency specific requirements. The RMP is the steward to ensure preservation of the organizations decisions, actions, and historical legacy for future generations.

a. RECORDS MANAGEMENT FIELD OFFICER (RMFO).

RMFOs are appointed by a FOM or designee to coordinate with the NNSA PRO for oversight, implementation, and maintenance of the RM Program within the Field Office (FO) to comply with DOE and NNSA orders, procedures, and guidelines to:

- (1) Promote the NNSA RM Program at the FO and within applicable organization(s).
- (2) Serve as liaison between the NNSA PRO and FO Records Management Coordinators (RMC).
- (3) Coordinate and provide oversight of FO records management activities to:
  - (a) Ensure compliance with recordkeeping requirements (including applicable updates) for all media, including hardcopy, electronic, and special media formats.
  - (b) Ensure records are created and maintained to document programmatic and administrative activities.
  - (c) Ensure all employees attend mandatory records management training, appropriate for their records responsibilities.
  - (d) Ensure records are inventoried, and/or identified on a File Plan, and accurately scheduled using NARA approved records disposition schedules.
  - (e) Ensure annual self-assessments are conducted to validate implementation and maintenance of the NNSA RM Program as defined in Appendix 4.
- (4) Review and approve FO File Plans, consolidate into one master FO File Plan, and submit to the NNSA PRO on an annual basis.
- (5) Ensure departing employees turn over, transfer custody or dispose of all applicable records prior to/immediately upon termination, suspension, reassignment, or separation of employment.

- (6) Assess applicable onsite and off-site storage facilities compliance to NARA storage requirements for Federal records. Transfer of eligible inactive records to applicable NARA Federal Records Center (FRC) or NARA approved storage facility.
- (7) Review and validate FRC records holdings invoices.
- (8) Ensure prompt disposal of temporary records with expired retention periods, and timely transfer of permanent records to NARA.
- (9) Coordinate with the requesting organization(s) (i.e., NNSA Office of General Counsel, FOIA Office, NNSA Records Program Office, etc.) to respond to Freedom Of Information Act/Privacy Act (FOIA/PA) requests, Energy Employees Occupational Illness Compensation Program (EEOICPA) or other health related claims, and/or litigation related information discovery requests.
- (10) Coordinate essential (vital) records program implementation through collaboration with Emergency Management and/or Continuity of Operations Program (COOP) counterparts to ensure the continuation of the organization's key functions and activities in the event of an emergency or disaster.
- (11) Coordinate with appropriate contracting officials to establish records management requirements and deliverables in connection with the performance of NNSA-funded tasks or activities as defined in DOE O 243.1B, *Contractor Requirements Document* (CRD) or its successor.
- (12) Provide guidance and oversight for contractor records management activities.
- (13) Conduct periodic evaluations (at least every 3 years) of contractor records management activities.

b. RECORDS LIAISON OFFICERS (RLO).

RLOs are appointed by a DA or AA to coordinate with the NNSA PRO for oversight, implementation, and maintenance of the RM Program within NNSA HQ Program Offices to comply with DOE and NNSA orders, procedures, and guidelines.

- (1) Promote the NNSA RM Program at the HQ Program Office level and within applicable organization(s).
- (2) Serve as liaison between the NNSA PRO and HQ Program Office RMCs.

- (3) Coordinate records management activities for the HQ Program Office to:
  - (a) Ensure compliance with recordkeeping requirements (including applicable updates) for all media, including hardcopy, electronic, and special media formats.
  - (b) Ensure records are created and maintained to document programmatic and administrative activities.
  - (c) Ensure all employees attend mandatory records management training, appropriate for their records responsibilities.
  - (d) Ensure departing employees turn over, transfer custody or disposition of all applicable records prior to/immediately upon termination, suspension, reassignment, or separation of employment.
- (4) Coordinate with the requesting organization(s) (i.e., NNSA Office of General Counsel, FOIA Office, NNSA Records Program Office, etc.) to respond to Freedom Of Information Act/Privacy Act (FOIA/PA) requests, Energy Employees Occupational Illness Compensation Program (EEOICPA) or other health related claims, and/or litigation related information discovery requests.
- (5) Review and validate FRC records holdings invoices.
- (6) Ensure records are inventoried, and/or identified on a File Plan, and accurately scheduled using NARA approved records disposition schedules.
- (7) Review and approve HQ Program Office File Plans, consolidate into one master HQ Program Office File Plan, and submit to the NNSA PRO on an annual basis.
- (8) Ensure annual self-assessments are conducted to validate implementation and maintenance of the NNSA RM Program as defined in Appendix 4.
- (9) Coordinate compliance with essential (vital) records program requirements through collaboration the NNSA PRO, Emergency Management, and/or COOP Program counterparts/coordinators to ensure the continuation of the organization's key functions and activities in the event of an emergency or disaster.
- (10) Conduct periodic evaluations (at least every 3 years) of HQ Program Office records management activities.

- (11) Review HQ Program Office RMC activities to ensure:
  - (a) Transfer of eligible inactive records to FRCs/NARA approved storage facilities.
  - (b) Prompt disposal of temporary records with expired retention periods.
  - (c) Timely transfer of permanent records to NARA.

c. RECORDS MANAGEMENT COORDINATOR (RMC).

RMPs are appointed by Managers and Supervisors to collaborate with the applicable RMFO/RLO for coordination, implementation, and maintenance of the RM Program within their designated organization to comply with DOE and NNSA orders, procedures, and guidelines to include:

- (1) Coordinate activities between the RMFO/RLO and organization employees to comply with records management requirements, procedures, and activities.
- (2) File Plan development and implementation including the identification and protection of essential (vital) records.
- (3) File cleanout activities for hardcopy and electronic records.
- (4) Conduct annual self-assessment to validate implementation and maintenance of the NNSA RM Program as defined in Appendix 4.
- (5) Coordinate with the RMFO/RLO to transfer eligible records to the appropriate onsite Records Center and/or regional FRC and ensure disposal of temporary records when retention periods have expired.
- (6) Coordinate with the RMFO/RLO to ensure the timely transfer of permanent records to NARA.
- (7) Attend records management training, conference calls, and meetings, as appropriate.
- (8) Assist the PRO/RMFO/RLO to conduct periodic assessment/evaluation of the office's records activities and compliance as requested.
- (9) Ensure departing employees turn over, transfer custody or disposition of all applicable records prior to/immediately upon termination, suspension, reassignment, or separation of employment.

6. CONTRACTING OFFICER.

- a. Coordinate with NNSA HQ and/or FO organizations to identify and include applicable records management requirements in support services contracts.

*(Note: The nature of “support service” contracts often requires direct support as part of day to day operations within a Federal organization. Federal and contractor personnel collaborate and utilize the same information resources, documents, records, file servers, etc. Implementation a records management program to the full extent required by DOE O 243.1B Contractor Requirements Document is not applicable, necessary, or feasible.)*

- b. Coordinate with the appropriate RMP to ensure contractors supporting NNSA HQ and/or FO missions, functions, and business processes, meet the minimum records management requirements.

7. PROGRAM/PROJECT RECORDS CUSTODIAN (PRC).

There may be specific instances that necessitate an individual to maintain responsibility for collection(s) of program/project records but is not appointed as an RMC for an organization. In these instances the PRC will have responsibilities for the specific collection of program/project records and provide support to the RMC for that specific collection. The PRC requires the same level of training as an RMC. For the purposes of this SD the RMC citation is applicable to both RMCs and PRCs. Therefore, the PRC role will not be specifically called out.

8. GENERAL EMPLOYEES.

- a. Coordinate with the applicable RMP to correctly identify, maintain, protect, and dispose of all hardcopy and electronic records generated by them or placed into their custody.
- b. Attend mandatory RM training as appropriate for the level of responsibility within the NNSA RM Program.
- c. Turn over all records created, maintained, or within his/her custody immediately at time of termination, suspensions, reassignment, or separation of employment to respective manager/supervisor or appointed RMP.

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## **APPENDIX 2 - RECORDS MANAGEMENT TRAINING PROGRAM**

The NNSA Program Records Official (PRO) is responsible for the development, administration, and/or coordination of records management specific training. Records management training will be administered at a level commensurate with the role and responsibilities within the Records Management (RM) Program. The standard training frequency for all roles will encompass initial and annual refresher training.

The training curriculum will be developed and updated on an annual basis to incorporate changing requirements or processes. Training delivery methods will also vary to include classroom (exercises/instructor led), video teleconference, computer-based training, webinars, pamphlets, and slide-show presentations. This appendix outlines the training categories, frequency, and delivery methods for which training will be administered.

RM training is developed based on the individual's level of involvement in the RM Program. For example, the in-depth requirements applicable to a Records Management Professional (RMP) require detailed hands-on training, exercises, and knowledge proficiency to implement the program within their organization. The general employee however, requires a high-level understanding of the requirements to adequately create, protect, and maintain records as well as coordinate with the appropriate RMP as necessary.

### **1. TRAINING CATEGORIES.**

- a. Manager/Supervisor. The Manager/Supervisor training will provide an overview of high level management requirements, convey the benefits of an efficient records management program, as well as detail the potential consequences of an inefficient records management program.
- b. Records Management Professional. RMP training is required for individuals with specific records management functions and responsibilities. The initial detailed training will focus on the specific RMP functional areas, hands-on exercises, and provide take-away materials for future use and reference on all aspects of life-cycle records management. Annual refresher training will target areas of program improvement as well as newly identified requirements.
- c. General Employee. General Employee training is required for all federal employees on an annual basis. It provides a refresher overview of records management, their responsibilities, and any existing or newly identified requirements.
- d. New Hire Orientation. New Hire Orientation training is required for all Federal new hire employees to provide a brief overview of records management and their responsibilities.

2. TRAINING FREQUENCY.

The frequency of training is determined upon the level of involvement and direct impact to the success of the RM Program. **Table 1** identifies the training frequency for each role by the category of training. The NNSA PRO will administer “Ad-Hoc” training to targeted groups, as necessary when new requirements and/or functional responsibilities are identified.

**Table 1-Training Categories/Frequency**

ROLE	CATEGORIES				
	New Hire Orientation	General Refresher	Manager/ Supervisor	RMP Initial	RMP Refresher
General Employees	Upon Hire	Annually			
Managers/ Supervisors	Upon Hire	Annually	Annually		
RM Professional (RMP) (RMFO/RLO/RMC)	Upon Hire	Annually		As Appointed	Annually

3. TRAINING DELIVERY METHOD.

There are many types of media that can be utilized to provide records management training. The type of media used with each category of training will be identified as the training curriculum is developed and updated on an annual basis. As an example, a pamphlet may initially be incorporated into the new hire orientation materials; however, in the future, another delivery method may be deemed more appropriate (i.e. Computer-Based Training (CBT), PowerPoint, etc.). Potential delivery methods for training include:

- Classroom Training & Exercises/Instructor Led
- Video Teleconference (VTC) Training & Exercises/Instructor Led
- Computer-Based Training (CBT)
- Webinars
- Desk-Side Assistance
- Pamphlets/Handouts
- Slide-Show Presentations
- NARA Training Courses (where appropriate)

### **APPENDIX 3 - RECORDS MANAGEMENT PROFESSIONAL APPOINTMENT PROCESS**

The first phase to implement a sustainable Records Management (RM) Program is to appoint the necessary Records Management Professionals (RMP). RMPs are the required personnel resource(s) necessary to effectively coordinate and implement federal, Department and/or agency specific records management requirements within their organization. The individuals appointed as RMPs coordinate records management activities between the NNSA Program Records Official (PRO) and their organizations. This appendix identifies the process to appoint RMPs for NNSA organizations.

RMP appointments will consist of a minimum of a Records Management Field Officer (RMFO) for each NNSA Field Office (FO), a Records Liaison Officer (RLO) for each NNSA Headquarters (HQ) Program Office and Records Management Coordinators (RMC) at a sufficient number to provide adequate RM resources for the organization. The number of RMCs necessary for an organization will vary depending on the number of employees, geographical location, and volume of records created and maintained by the organization. The recommended ratio, for most organizations, is to appoint one RMC for every 30 employees.

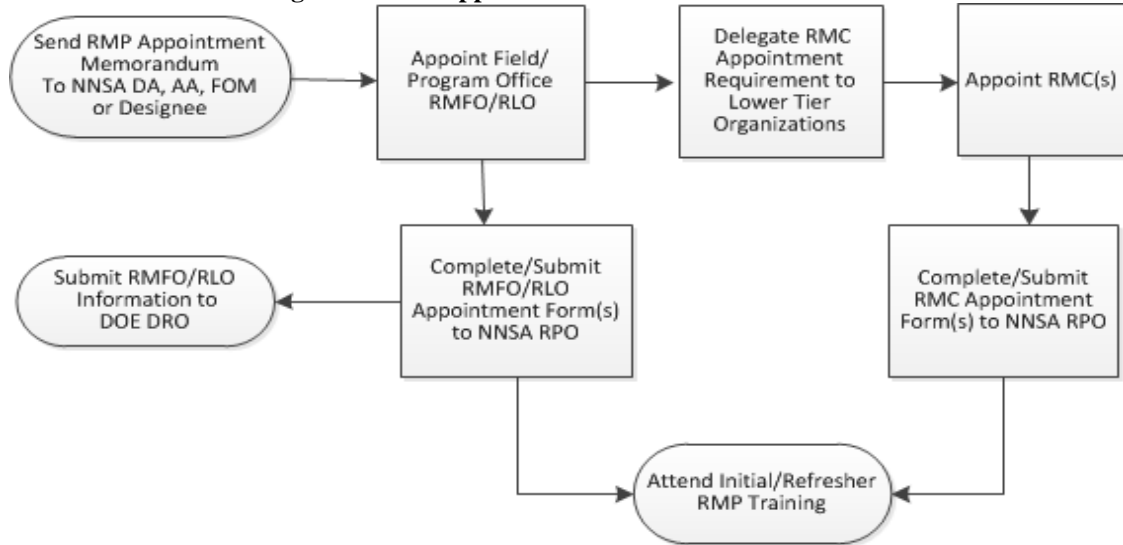
RMP appointments are processed through the completion and submission of the following form(s):

- NNSA F-243.01 – RMFO Appointment & Acknowledgement Form
- NNSA F-243.02 – RLO Appointment & Acknowledgement Form
- NNSA F-243.03 – RMC Appointment & Acknowledgement Form

RMP appointment forms are located on the [NNSA Records Program Office](#) internet site or by submitting a request to the RPO group email [NNSARecordsManagement@nnsa.doe.gov](mailto:NNSARecordsManagement@nnsa.doe.gov)

**Figure 1** illustrates the RMP appointment process, responsibilities, and actions necessary to identify and appoint RMPs.

**Figure 1-RMP Appointment Process Flow**



**Table 2** provides the details associated with the RMP appointment process, responsibilities and actions necessary to identify and appoint RMPs.

**Table 2-RMP Appointment Process Description**

Role	Action	Description
<b>NNSA PRO</b>	Submit Appointment Memorandum	The RMP appointment process occurs on an annual basis. The process initiates with a memorandum from the NNSA PRO to the DAs, AAs, and FOMs requesting designation and appointment of NNSA Records Management Professionals.
<b>DA, AA, FOM</b>	Appoint RMFO/RLO	Appoint a RMFO for each Field Office and a RLO for each HQ Program Office.
<b>DA, AA, FOM</b> <i>(See Note)</i>	Delegate RMC Appointment	Delegate RMC appointment requirement to lower tier NNSA HQ and Field Managers and Supervisors.
<b>Manager/Designee</b>	Appoint RMC(s)	Appoint one or more RMC for every 30 employees (approximately).
<b>Manager/Designee and RMP</b>	Appointment Form(s)	Complete and return the signed form to the NNSA PRO using the instructions provided on the form.
<b>NNSA PRO</b>	Submit RMFO/RLO Information	Provide a current list of NNSA RMFOs and RLOs including names, contact information, and represented organizations to the DRO on an annual basis or as updates occur.
<b>RMPs</b>	Attend Training	Attend applicable RMP initial/refresher training.
<b>Note:</b> For the RMP appointment process, the term “Manager/Designee” refers to All NNSA DAs, AAs, FOMs, and lower tier Managers and Supervisors at NNSA FO and HQ PO.		

## **APPENDIX 4 - RECORDS MANAGEMENT IMPLEMENTATION AND MAINTENANCE**

NNSA will realize a number of benefits with routine and systematic implementation of the NNSA Records Management (RM) Program at NNSA Headquarters (HQ) and Field Offices (FO). Consistency allows the RM Program to efficiently incorporate changes in requirements and technology to allow for a sustainable and stable program. The NNSA Records Management Handbook (RMH 243.1) covers the full spectrum of activities from records analysis, inventory, file plans, document naming, folder structure, file cleanout, and disposition.

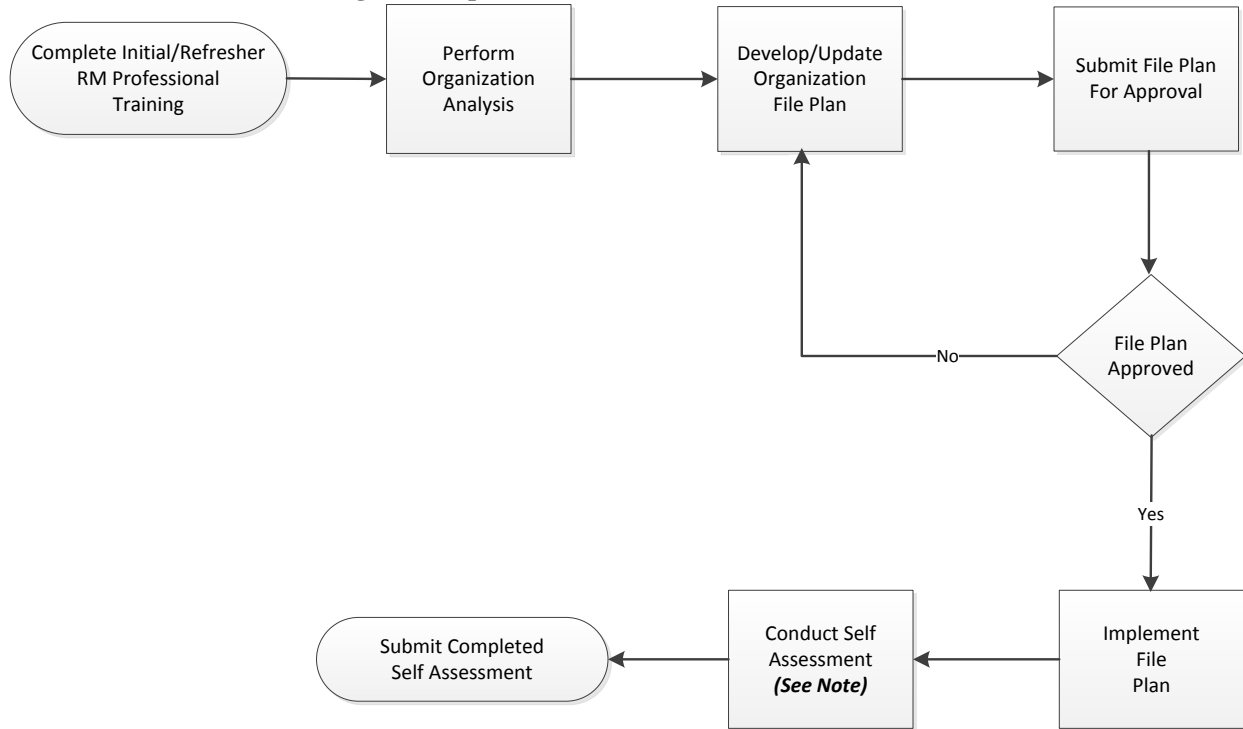
Utilizing the “Implementation and Maintenance” section of RMH 243.1 is strongly recommended but is not required. Organizations that choose not to follow the guidance provided in RMH 243.1 for implementation and maintenance are still required to meet minimum requirements as identified in DOE O 243.1B to include development of organization specific file plans and/or inventories for all hardcopy and electronic information being created and/or maintained by the organization.

Organizations must submit their file plans/inventories to the NNSA Program Records Official (PRO) for review and approval on an annual basis. At a minimum file plans/inventories must capture the following information:

- Record series title and description for all records created/maintained by the organization
- Inclusive dates (beginning and end) for each record series (category)
- Location of records to include physical and electronic storage locations
- Name(s) of individuals responsible for the record(s)
- Access restrictions
- Identification of essential (vital) records

**Figure 2** illustrates the actions required to implement and maintain the NNSA RM Program within each organization.

**Figure 2-Implementation/Maintenance Process Flow**



**Table 3** provides the details associated with the Records Management Professional (RMP) appointment process, responsibilities and actions necessary to identify and appoint RMPs.

**Table 3-Implementation/Maintenance Process Description**

Role	Action	Description	
RMP	Complete Initial/ Refresher RMP Training	Complete applicable RMP initial/annual refresher training.	
RMP	Perform Organization Records Analysis	Inventory information created/maintained by the organization and identifies records versus nonrecords.	
RMP	Develop Organization File Plan	Develop organization-specific file plan to identify records created/maintained by the organization.	
RMP	Submit File Plan For Approval	Submit file plan to NNSA PRO for review and approval.	
RMP	File Plan Approved	Yes	No
		Approved – Proceed To Implementation	Disapproved - Evaluate feedback from NNSA PRO, make necessary changes, and then resubmit.
RMP	Implement File Plan	Implement approved File Plan to appropriately transfer or disposition applicable records.	
Manager/Designee or RMP	Conduct Self-Assessment (See Note)	Complete the NNSA Self-Assessment Checklist to validate implementation of the file plan and other applicable records management requirements.	

Role	Action	Description
<b>Manager/Designee or RMP</b>	Submit Completed Self- Assessment ( <i>See Note</i> )	Submit completed self-assessment to NNSA PRO.
<b>Note:</b> Self assessments are the mechanism used to verify/validate implementation of an organizations file plan. The activities applicable to Self-assessments are defined in Appendix 6 of this SD and in RMH 243.1.		

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## **APPENDIX 5 - RECORDS MANAGEMENT ESSENTIAL RECORDS PROTECTION**

The National Security Presidential Directive-51/ Homeland Security Presidential Directive-20, (NSPD-51/HSPD-20) *National Continuity Policy*, requires federal agencies to establish and ensure the continuity of the federal government during disasters, emergencies, and other disruptions to normal operations. The Federal Continuity Directive (FCD-1) was developed to provide operational guidance and direction on the development of continuity plans and programs for the federal government in accordance with NSPD-51/HSPD-20.

In compliance with these two directives and FCD-1, DOE Order 150.1, *Continuity Programs*, the DOE/NNSA Continuity of Operations (COOP) Plan (hereinafter, the “COOP Plan”) was developed to provide the framework to implement COOP policies, requirements and responsibilities at the Department. The FCD-1 and the COOP Plan identify the protection and ready availability of essential records, databases, and hardcopy documents, needed to support Primary Mission Essential Functions (PMEFs), Mission Essential Functions (MEFs), and Essential Supporting Activities (ESAs) as one of the critical elements in successful continuity planning.

Essential records management requirements are defined in 36 CFR 1223, *Managing Vital Records*, that require federal agencies to develop an essential records program to identify, protect, and manage essential records in compliance with all the elements identified in the FCD-1, Annex I, *Essential Records Management*. DOE O 243.1B integrates essential records management requirements with the other required elements of the DOE records management program.

Organizations must identify and define the records needed to ensure essential functions and operational responsibilities are continued under security emergency, continuity events, or other emergency conditions and to protect the legal and financial rights of the Government and those affected by Government activities.

### **1. ESSENTIAL FUNCTIONS**

Essential records include any records required to accomplish essential functions during and after a continuity event, or as part of recovery from a disaster. Essential functions are defined as a subset of government functions and activities that are determined to be critical and must be continued in a continuity situation and in planning for reconstitution. Essential functions are categorized as:

- a. Mission Essential Functions (MEFs). Limited set of Department and Agency-level government functions that must be continued after a disruption of normal activities. MEFs provide essential services, exercise civil authority, maintain the safety of the general public, and sustain the industrial/economic base during disruption of normal operations.
- b. Primary Mission Essential Functions (PMEFs). Government functions that must be performed to support or implement the performance of MEFs before, during,

and in the aftermath of a continuity event.

- c. Essential Supporting Activities (ESAs). Activities performed by an agency or department that support the accomplishment of the Department's PMEFs and MEFs.

## 2. ESSENTIAL RECORDS CATEGORIES

The majority of records an organization might identify as essential records would be applicable to ESAs and encompass emergency operating records and legal and financial rights records.

- a. Emergency Operating Records (EOR).

Emergency Operating Records (EORs) are specific program records needed to continue the most critical agency operations, as well as related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency. Examples of EORs include:

- Emergency plans and directives;
- Databases essential for the continued function and/or reconstitution during and after a continuity event;
- Orders of succession;
- Delegations of authority;
- Staffing assignments;
- Policies and procedures;
- Security clearance rosters;
- Office evacuation blueprints and maps for emergency access/egress;
- System manuals for critical electronic databases and local area networks (LANs); and
- Combinations and/or keys to get into locked areas.

- b. Legal and Financial Rights Records (LFRR).

Legal and Financial Rights Records (LFRRs) are critical to carrying out the essential legal and financial functions, and essential to the protection of the legal and financial rights of individuals who are directly affected by the organization's activities. These records include those with such value that the loss would significantly impair the execution of essential organization functions to the detriment of the legal or financial rights and entitlements of the organization and the affected individual(s). Examples of LFRRs include:

- Accounts receivable files;
- Contracting and acquisition files;
- Official personnel records;

- Social security records;
- Payroll records;
- Retirement records;
- Insurance records; and
- Property management and inventory records.

3. REQUIREMENTS AND RESPONSIBILITIES.

a. Records Management Professionals.

- (1) Coordinate with designated COOP Coordinator/Emergency Management Personnel as applicable to ensure compliance with organization continuity and emergency management requirements.
- (2) Ensure essential records are identified on file plans/inventories to include locations, access instructions, and any potential access restrictions.
- (3) Ensure inventory of all essential records is incorporated in the applicable COOP implementation plans and a copy readily available at the Alternate Operating Facility (OAF).
- (4) Ensure essential records, in all media, are readily available at the AOF through the most efficient and effective means available to include hardcopy originals, duplicates, electronic backups and any equipment necessary for access.
- (5) Ensure essential records and associated inventories are reviewed and updated on an annual basis. Reviews must be documented to identify the date of the review and the name(s) of personnel conducting the review.

b. NNSA Program Records Official.

As required by DOE O 243.1B, the NNSA Program Records Official (PRO) will provide a consolidated essential records inventory to the Continuity Program Office and/or Emergency Management Program on an annual basis.

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## **APPENDIX 6 - RECORDS MANAGEMENT ASSESSMENT PROGRAM**

Assessments of the NNSA Records Management (RM) Program are required to ensure NNSA records and information assets are adequately identified and protected throughout their lifecycle. The Records Management Assessment Program (RAMP) is designed to provide an evaluation of the records management program to determine effectiveness, efficiency, and compliance with requirements. Assessments provide a baseline of the current state of records management, within a specific area or organization, and provide a roadmap of improvement and/or greater efficiencies for the future.

The National Archives and Records Administration (NARA) requires all federal agencies to conduct records management assessments to determine whether they are compliant with statutory and regulatory records management requirements. The results from the government-wide assessment, combined with the agency assessments, provide the necessary data to develop strategies to enhance training, implementation, and continuous improvements.

Assessments are conducted by, and applicable to, a number of different organizations and geographical locations. For example, Self-Assessments, Program Assessments, Site Assessments, Departmental Assessments, and External Assessments conducted by external entities such as the Inspector General (IG), Government Accounting Office (GAO), or a NARA conducted assessment. The two assessment methods covered in this appendix are the organization self-assessments performed on an annual basis and scheduled program assessments conducted by the NNSA Program Records Official (PRO).

### **1. ANNUAL SELF ASSESSMENTS.**

Self-assessments will be conducted by each organization on an annual basis as part of the implementation and maintenance process described in Appendix 4 of this SD. Self-assessments take the place of the Records Program Office (RPO) validation conducted after initial development and implementation of the records management program by the Records Management Professional (RMP) within their applicable organization(s). Refer to Appendix 4, **Figure 2** and **Table 3** to depict where self-assessments are required as part of the implementation and maintenance process.

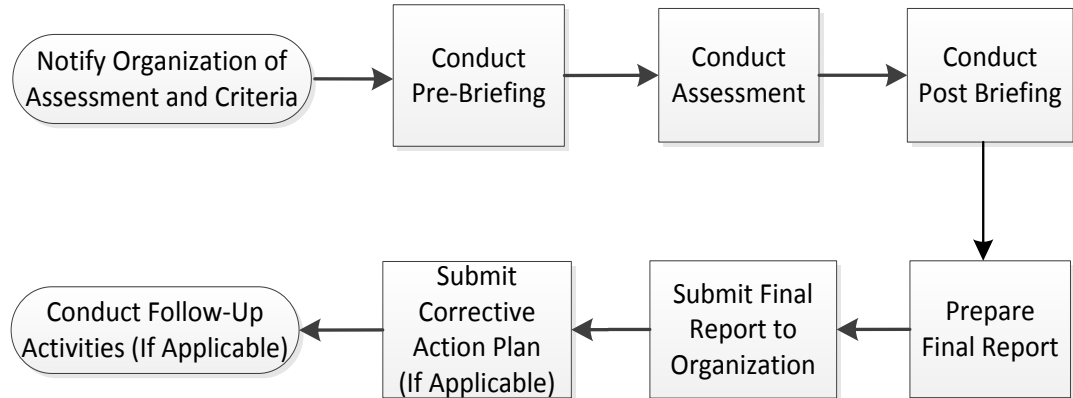
Blank self-assessment forms are located on the [NNSA Records Program Office](#) internet site or sending a request to the RPO group email [NNSARecordsManagement@nnsa.doe.gov](mailto:NNSARecordsManagement@nnsa.doe.gov).

### **2. PROGRAM ASSESSMENTS**

The NNSA PRO is required to assess records management practices of NNSA HQ and Field Offices (FO) for which they have been assigned oversight responsibility at least every three (3) years. The evaluation(s) of the records management program and practices establish the baseline results to determine compliance with requirements, identify best business practices within the organization, and identify any potential areas of improvement.

The PRO will conduct the program assessment based on the process flowchart outlined in **Figure 3**. The assessment results will be documented and provided to the organization for review and clarification. Once comments are received, the PRO will provide a final report of the findings and any corrective actions. The organization is expected to implement corrective action within the timeframe recommended.

**Figure 3-NNSA RMAP Process Flow**



**Table 4** provides a description of the high-level actions associated with the NNSA RMAP.

**Table 4-NNSA RMAP Process Description**

Role	Action	Description
NNSA PRO	Notify Organization of Assessment	Formal communication to the Manager/Designee and RMP(s) that the assessment will occur.
PRO, Manager/Designee, RMP	Conduct Pre-Briefing	Preliminary meeting with Manager/Designee and RMP(s) to communicate the assessment scope, activities, and process.
PRO and RMP	Conduct Assessment	Conduct organizational assessment with RMP(s).
PRO, Manager/Designee, RMP	Conduct Post Briefing	Provide initial feedback, potential findings (if applicable), any best business practices, and identify next steps.
PRO, Manager/Designee, RMP	Submit Draft Report	Prepare and submit draft report to assessed organization for comment.
PRO	Submit Final Report	Prepare and submit final report to the organization.
Manager/Designee	Audit Response	If Applicable – Submit formal response to PRO with Corrective Action Plan.
PRO	Conduct Follow-up Activities	If Applicable – Conduct follow-up to determine if findings and recommendations were performed as required.

3. ADDITIONAL RMAP CRITERIA DESCRIPTION.

A. HEADQUARTERS.

The areas/elements to be assessed will vary based on previous assessment results, trends, new program criteria elements, etc. Therefore a standard checklist isn't created that will be used in all assessments. Provided below is an example of the basic criteria and subject areas along with protocol for the assessments.

- (1) The PRO shall provide the Deputy Administrator/Associate Administrator or Manager/Designee and designated Records Liaison Officer (RLO) a sixty day notice in writing of the intent to evaluate, along with the targeted areas/elements to be examined.
- (2) The PRO shall coordinate the assessment and all associated activities with the responsible RLO.
- (3) The PRO and RLO will coordinate on mutually agreeable dates.
- (4) Visits may include the PRO and representatives from the NNSA RPO.
- (5) Visits shall not exceed three days unless specified in writing.
- (6) The RLO will coordinate with the necessary Records Management Coordinators (RMCs), program/project managers, etc., to provide an overview of:
  - a. The general work of the organization and types of records created
  - b. Methods for storing records (i.e., central file areas, shared drives, Federal Records Centers, etc.)
  - c. Current initiatives to improve records management
  - d. Methods to communicate roles, responsibilities, and implementation with general employees
  - e. Issues and challenges
  - f. Arrange meetings (if applicable) with:
    - Records Management Coordinators
    - Individual Employees
    - Managers/Supervisors
- (7) The PRO may ask to review any of the following:
  - a. Records inventories tied to the organization specific file plan.

- b. Any internal policies/procedures related to document control and management.
  - c. Previous assessments that cited records management deficiencies.
- (8) The PRO will summarize preliminary findings and present results during a closeout meeting to:
- a. Manager/Designee
  - b. RLO
- (9) A final report shall be prepared and sent to the Manager/Designee and RLO within thirty days of the closeout meeting.
- (10) The Manager/Designee or RLO shall address in writing the findings and outline corrective actions taken and/or planned within ninety days of receiving the final report.

**B. FIELD OFFICES.**

The areas/elements to be assessed will vary based on previous assessment results, trends, new program criteria elements, etc. Therefore a standard checklist isn't created that will be used in all assessments. Provided below is an example of the basic criteria and subject areas along with protocol for the assessments.

- (1) The PRO shall provide the designated Records Management Field Officer (RMFO) a sixty day notice in writing of the intent to evaluate, along with the targeted areas/elements to be examined.
- (2) The PRO shall coordinate the assessment and all associated activities with the responsible RMFO including mutually agreeable dates.
- (3) The PRO will provide an overview of the organization's Records Management Program and summaries of any previous assessments available for review prior to the evaluation.
- (4) Visits may include the PRO and representatives from the NNSA RPO.
- (5) Visits shall not exceed three days unless specified in writing.
- (6) The RMFO will coordinate with the necessary field/site RMPs, program/project managers, etc., to provide an overview of:
  - a. General mission, business, and functions of the field/site and types of records created
  - b. Federal and Contractor Records Programs



- c. Records storage facilities
  - d. Current initiatives
  - e. Issues and challenges.
- (7) The FO may be asked to provide a tour of:
- a. Records storage facilities
  - b. Central file areas and vaults
  - c. Document processing centers
- (8) Arrange meetings (if applicable) with:
- a. Records Management Coordinators
  - b. Individual Employees
  - c. Managers/Supervisors
- (9) PRO may ask to review any of the following:
- a. Inventories
  - b. Records Tracking Systems
  - c. Internal policies/procedures
  - d. Budgets
  - e. Self-Assessments and Program Assessments
  - f. Electronic Document Management/Electronic
    - Recordkeeping Systems
    - E-mail pilots/results
  - g. Training
    - Methods to communicate roles, responsibilities, and implementation with general employees
    - Training materials for RMPs at the field office

- (10) The PRO will summarize preliminary findings and present results during a closeout meeting to:
  - a. FO Manager/Designee
  - b. RMFO
- (11) A final report shall be prepared and sent to the FO Manager/Designee and RMFO within thirty days of the closeout meeting.
- (12) The FO Manager/Designee or RMFO shall address in writing the findings and outline corrective actions taken and/or planned within ninety days of receiving the final report.

**APPENDIX 7 - ACRONYM LIST**

<b>Acronym</b>	<b>Description</b>
AA	Associate Administrator
AA-CIO	Associate Administrator Chief Information Officer
AOF	Alternate Operating Facility
CBT	Computer Based Training
CFR	Code of Federal Regulations
CIO	Chief Information Officer
COOP	Continuity Of Operations Program
CRD	Contractor Requirements Document
DA	Deputy Administrator
DOE	Department of Energy
DOE O	Department of Energy Order
DRO	Departmental Records Officer
E.O.	Executive Order
EEOICPA	Energy Employees Occupational Injury Compensation Program
EOR	Emergency Operating Records
ESA	Essential Supporting Activities
FCD	Federal Continuity Directive
FO	Field Office
FOIA	Freedom of Information Act
FOM	Field Office Manager
FRC	Federal Record Center
GAO	Government Accounting Organization
HQ	Headquarters
IG	Inspector General
LFRR	Legal and Financial Rights Records
M&O	Management and Operating
MEF	Mission Essential Functions
NARA	National Archives and Records Administration
NNSA	National Nuclear Security Administration

<b>Acronym</b>	<b>Description</b>
PA	Privacy Act
PMEF	Primary Mission Essential Functions
PRC	Program/Project Records Custodian
PRO	Program Records Official
RLO	Records Liaison Officer
RM	Records Management
RMAP	Records Management Assessment Program
RMC	Records Management Coordinator
RMFO	Records Management Field Officer
RMH	Records Management Handbook
RMP	Records Management Professional
RPO	NNSA Records Program Office
SD	Supplemental Directive
U.S.C.	United States Code
VTC	Video Tele-Conference

## APPENDIX 8 - DEFINITION OF TERMS

This appendix provides definitions and requirement source information applicable to SD 243.1 Records Management Program.

1. ADEQUATE AND PROPER DOCUMENTATION. Record of the conduct of Government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.
2. CONTINUITY OF OPERATIONS (COOP) COORDINATORS. Program office, staff office, or field representative who represent and are the point of contact for their office or field element regarding continuity of operations.
3. DEPARTMENTAL RECORDS OFFICER (DRO). Person assigned responsibility for overseeing the DOE Records Management Program by the DOE Chief Information Officer or his/her designee.
4. DISPOSITION. Any activity with respect to:
  - a. Disposal of temporary records no longer needed for the conduct of business by destruction or donation.
  - b. Transfer of records to Federal agency storage facilities or records centers.
  - c. Transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation.
  - d. Transfer of records from one Federal agency to any other Federal agency.
5. ELECTRONIC RECORD. Any information 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 the record content and the associated metadata that the agency determines is required to meet agency business needs.
6. EMERGENCY OPERATING RECORDS. Essential (vital) records necessary to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency.
7. ESSENTIAL RECORDS. Formerly known as "vital records". Agency records that are needed to meet operational responsibilities under security emergency, continuity events, or other emergency conditions (emergency operating and mission essential records) or to

protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

8. FEDERAL RECORDS CENTER. Operated by the National Archives and Records Administration for the economical storage of and access to noncurrent records or permanent records pending their ultimate disposition in accordance with Agency Records Disposition (Control) Schedules.
9. FILE PLAN. A classification scheme describing different types of files maintained in an office, how they are identified, where they should be stored, how they should be indexed for retrieval, and a reference to the approved disposition for each file.
10. LEGAL AND FINANCIAL RIGHTS RECORDS. Essential (vital) records necessary to protect legal and financial rights of the Government and individuals directly affected by its activities (also known as Rights and Interests Records). Examples include, but are not limited, to accounts receivable records, social security records, payroll records, retirement records, and insurance records.
11. MANAGERS/SUPERVISORS. Administrator, Deputy Administrators, Associate Administrators, Field Office Managers, and all lower tier HQ/Field Office Managers and Supervisors unless otherwise stated.
12. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA). Federal agency responsible for overseeing agencies' adequacy of documentation and records disposition programs and practices. (36 CFR 1220.18).
13. NNSA ELEMENTS. Headquarters (HQ) and field offices (FO) which report directly to the Office of the Administrator.
14. NONRECORD MATERIALS. Federally owned informational materials that do not meet the statutory definition of "records" (44 U.S.C. 3301) or that have been excluded from coverage by the definition. Excluded are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.
15. PERMANENT RECORDS. Any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody. Permanent records are those for which the disposition is permanent on SF 115, *Request for Records Disposition Authority*, approved by NARA on or after May 14, 1973. The term also includes all records accessioned into the National Archives of the United States.
16. PERSONAL PAPERS/INFORMATION. Materials that belong/relate to an individual and are not generated or used to conduct NNSA business. Types of personal papers include professional development information, performance evaluations-employee copy, benefits/employment information-employee copy, etc.

17. PROGRAM/PROJECT RECORDS CUSTODIAN. Individual with responsibility for collection(s) of program/project records but is not appointed as an RMC for an organization.
18. PROGRAM RECORDS OFFICIAL (PRO). An individual who has NNSA HQ and Field Office oversight and signature authority to approve records issues for the NNSA RM Program and serve as the program liaison with the DOE DRO.
19. 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 the data in them.
20. RECORDS LIAISON OFFICER (RLO). An individual designated to coordinate with the NNSA PRO for oversight, implementation and maintenance of the RM Program within NNSA HQ Program Offices to comply with DOE and NNSA orders, procedures, and guidelines
21. RECORDS MANAGEMENT. 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.
22. RECORDS MANAGEMENT COORDINATOR (RMC). Individual designated to collaborate with the applicable RMFO/RLO for coordination, implementation, and maintenance of the RM Program within their designated organization.
23. RECORDS MANAGEMENT FIELD OFFICER (RMFO). An individual designated to coordinate with the NNSA PRO for oversight, implementation, and maintenance of the RM Program within the Field Office to comply with DOE and NNSA orders, procedures, and guidelines, and to provide oversight and guidance to contractor records management programs.
24. RECORDS MANAGEMENT HANDBOOK (RMH). Document that provides additional guidance, tools, instructions, and implementation resources necessary to implement the NNSA Records Management program within each organization.
25. RECORDS MANAGEMENT PROFESSIONALS (RMP). Appointed individuals with responsibility to coordinate activities and oversee implementation of the RM Program within their organization.
26. RECORDS PROGRAM OFFICE (RPO). Organization at NNSA HQ that supports the NNSA PRO to develop and coordinate implementation of the NNSA RM Program.

27. SCHEDULE. Also referred to as “Records Schedule” or “DOE Records Disposition Schedule”. Standard Form 115, *Request for Disposition Authority* that has been approved by NARA to authorize the disposition of Federal records; a GRS issued by NARA; or a published agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS.
28. SERIES. File units or documents arranged according to a filing or classification system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a records series.
29. SUPPORT SERVICES CONTRACTORS. Contractors providing direct support to NNSA Headquarters or Field Office organizations (NNSA Elements). Support Services Contractors are often co-located with Federal employees and therefore are unable to meet the requirements of DOE O 243.1B Contractor Requirements Document to establish and implement a separate records management program.
30. TEMPORARY RECORDS. Any Federal record that has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant preservation by the NARA.



## APPENDIX 9 - REFERENCES

1. 36 CFR, Chapter 12, Subchapter B, *Records Management*, dated 11-09-2009, or most current version.
2. 48 CFR 970.5204-3 *Access to and Ownership of Records*, dated 12-2008, or most current version.
3. DOE O 150.1A, Continuity Programs, dated, 03-31-2014, or most current version.
4. DOE O 243.1B, *Records Management Program*, dated 03-11-2013, or most current version.
5. Federal Continuity Directive 1 (FCD-1), *Federal Executive Branch National Continuity Program and Requirements*, dated 10-2012, or most current version.
6. *NNSA Records Management Handbook (RMH 243.1)* dated 04-01-2014, or most current version.
7. National Security Presidential Directive-51/ Homeland Security Presidential Directive-20, (NSPD-51/HSPD-20) *National Continuity Policy*, dated 05-04-2007, or most current version.