

# **Implementation of the Privacy Act of 1974 at ORNL**

**November 2002**

**Prepared by  
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**IMPLEMENTATION OF THE PRIVACY ACT OF 1974 AT ORNL**

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## Executive Summary

The Privacy Act of 1974 is intended to protect the privacy interests of citizens in connection with information held by federal agencies. It regulates agencies in their collection, maintenance, use, and dissemination of personal information. The act applies to Oak Ridge National Laboratory's (ORNL's) management of U.S. Department of Energy (DOE) records as defined in the UT-Battelle contract.

The UT-Battelle management and operating (M&O) contract includes a list of many more DOE systems of records that must be managed in accordance with the Privacy Act than had previously been the responsibility of the ORNL contractor. Twenty-six systems are included in the contract as falling under the purview of the act, in contrast to three systems managed by previous ORNL contractors.<sup>1</sup>

The Privacy Act restricts internal and external disclosures of records maintained in a system of records by or on behalf of a federal agency. Preventing disclosures from the more comprehensive list of systems of records in the M&O contract could have a significant monetary impact for ORNL. Unauthorized disclosures, even if inadvertent, can result in civil or criminal penalties for the company and for individual employees. And with the increased number of systems included in the new contract, more UT-Battelle employees are obligated to protect Privacy Act records. (See Appendix A.)

Therefore, in 2001, ORNL stakeholders formed a team to

1. determine what DOE systems of records listed in the contract are actually maintained at ORNL,
2. identify specific records included in ORNL systems,
3. review ORNL procedures for maintaining and protecting records in the systems of records at ORNL,
4. identify corrective actions needed to meet the act's requirements,
5. report to Laboratory management on the team's findings, and
6. create a guiding document for ORNL to ensure compliance with the act.

The team's findings, actions, and recommendations, submitted for approval to the ORNL Leadership Team, are as follows:

1. ORNL maintains 12 of the 26 DOE systems of Privacy Act records listed in the standard clause of the M&O contract. Of the 14 remaining systems, 3 are maintained by other DOE M&O contractors that now perform work formerly performed by ORNL, 9 are specific to DOE and have never resided at ORNL, and 2 have been eliminated by DOE (Table ES.1).
2. The team found that the records in the listed systems of records generally have adequate protection under existing ORNL procedures from unauthorized use and disclosure.
3. Three corrective actions are needed to ensure full compliance with the act and with the requirements of the M&O contract:

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<sup>1</sup> Contract No. DE-AC05-00OR22725, sect. H-20, available online at <http://www.ornl.gov/Contract/SectionH.pdf>.

**Table ES.1. DOE systems of Privacy Act records listed in the UT-Battelle M&O contract**

<b>System</b>	<b>Title</b>
<b><i>A. Systems UT-Battelle maintains <sup>a</sup></i></b>	
5	Personnel Records of Former Contractor Employees
11	Emergency Locator Records
14	Report of Compensation
25	Employee Parking Records
27	Foreign Travel Records
28	General Training Records
33	Personnel Medical Records
35	Personnel Radiation Exposure Records
38	Occupational and Industrial Accident Records
40	Contractor Employees Insurance Claims
51	Employee and Visitor Access Control Records
55	Freedom of Information and Privacy Act Requests for Records
<b><i>B. Systems formerly maintained by ORNL and now maintained by another DOE-ORO contractor</i></b>	
31	Firearms Qualification Records
43	Personnel Security Clearance Files
48	Security Education and/or Infraction Reports
<b><i>C. Systems UT-Battelle does not now maintain and historically has not maintained</i></b>	
26	Official Travel Records
54	Investigative Files of Inspector General
56	Congressional Constituent Inquiries
58	General Correspondence Files
59	Mailing Lists for Requesters of Energy-Related Information
71	Radiation Accident Registry
72	Department of Energy Radiation Study Registry
73	US-DTPA Registry
88	Epidemiologic and Other Health Studies, Surveys and Surveillances
<b><i>D. Systems eliminated by DOE</i></b>	
15	Payroll and Pay-Related Data for Employees of Terminated Contractors
29	Technology Training Program—Skill Training at Technical Level

<sup>a</sup> Includes payroll records of all former employees of UT-Battelle and predecessor contractors.

- (a) With the increased number of systems and employees involved in the protection of Privacy Act records, the team recommends that additional training be provided, particularly for those who maintain systems newly added to the list in the contract. While general awareness might be adequate for most holders, a Web-based course should be created for staff who use Privacy Act records frequently or are responsible for protecting Privacy Act records.

- (b) In instances in which several persons have copies of an identified Privacy Act record, applicable record copies should be identified and a decision made on the best way to proceed (e.g., distribution of fewer copies, provision of awareness training).
  - (c) Roles and responsibilities for the protection of Privacy Act records at ORNL should be created as a Subject Area document under the Records Management System contained in the Standards-Based Management System (SBMS). The ORNL Records Manager should be responsible for creating and maintaining this document.
4. The team has created a table of Privacy Act records at ORNL (Appendix B in this document) that are recommended for approval by the ORNL Leadership Team. The table indicates location, record format, method of protection, contact, record owner, copy holder, retention period, and DOE retention citation for each system of records. Only those records approved by the Leadership Team will be included in the ORNL Privacy Act program. If other records are subsequently identified for inclusion in this program, those records will require formal approval by the Leadership Team.
  5. The team recommends that the ORNL Records Manager coordinate the Privacy Act records effort for ORNL and maintain the list of Privacy Act records at ORNL. The list should be available for internal access.



# Implementation of the Privacy Act of 1974 at ORNL

## 1. Introduction

The Privacy Act of 1974, as amended, is codified at 5 U.S.C. 552a. The act is intended to protect the privacy interests of citizens in connection with information held by federal agencies. It regulates agencies in their collection, maintenance, use, and dissemination of personal information. The act applies to Oak Ridge National Laboratory's (ORNL's) management of U.S. Department of Energy (DOE) records as defined in the UT-Battelle contract. Appendix A provides an overview of the Privacy Act as it applies to ORNL.

Before April 1, 2000, the management and operating (M&O) contract for ORNL listed only three systems of records that had to be maintained by the M&O contractor as DOE systems of records subject to the act.<sup>1</sup> The UT-Battelle contract put into place in 2000 lists 26 such systems of records.<sup>2</sup> The new provision substantially increases the contractor's responsibilities for compliance with the Privacy Act. Noncompliance could result in legal consequences for the company and the employees involved.

Consequently, Records Management Services and Legal Counsel met jointly with stakeholder division managers to request contacts from these organizations to form a team to

1. determine what DOE systems of records listed in the contract are actually maintained at ORNL,
2. identify specific records included in ORNL systems,
3. review ORNL procedures for maintaining and protecting records in the systems of records at ORNL,
4. identify issues and corrective actions needed to meet the act's requirements,
5. report to Laboratory management on the team's findings,
6. create a guiding document for ORNL to ensure compliance with the act, and
7. provide awareness training.

To date, the Privacy Act Records Team has completed tasks 1 through 4. The team's findings in regard to these tasks are summarized below. Upon approval of this report, which satisfies task 5, the team will proceed with tasks 6 and 7.

## 2. Findings by the Privacy Act Records Team

### 2.1 DOE Privacy Act Systems of Records at ORNL

Of the 26 DOE systems of Privacy Act records included in the UT-Battelle contract, ORNL has responsibility for only 12. Of the 14 remaining systems, three are maintained by other DOE M&O contractors that now perform work formerly performed by ORNL. For example, ORNL's Laboratory Protection organization formerly generated and maintained records that are now within the scope of work assigned to Wackenhut. Nine other systems are specific to DOE, and the relevant records have never been managed by the ORNL M&O contractor. Finally, two Privacy Act records systems have

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<sup>1</sup> Martin Marietta Energy Systems Contract No. DE-AC05-84OR21400.

<sup>2</sup> UT-Battelle contract DE-AC05-00OR22725, sect. H-20, available online at <http://www.ornl.gov/Contract/SectionH.pdf>.

been eliminated by DOE. These various systems are listed in Table 1. Of course, responsibility for any of these systems of records could change if DOE were to assign new tasks to UT-Battelle.

**Table 1. DOE systems of Privacy Act records listed in the UT-Battelle M&O contract**

System	Title
<b><i>A. Systems UT-Battelle maintains <sup>a</sup></i></b>	
5	Personnel Records of Former Contractor Employees
11	Emergency Locator Records
14	Report of Compensation
25	Employee Parking Records
27	Foreign Travel Records
28	General Training Records
33	Personnel Medical Records
35	Personnel Radiation Exposure Records
38	Occupational and Industrial Accident Records
40	Contractor Employees Insurance Claims
51	Employee and Visitor Access Control Records
55	Freedom of Information and Privacy Act Requests for Records
<b><i>B. Systems formerly maintained by ORNL and now maintained by another DOE-ORO contractor</i></b>	
31	Firearms Qualification Records
43	Personnel Security Clearance Files
48	Security Education and/or Infraction Reports
<b><i>C. Systems UT-Battelle does not now maintain and historically has not maintained</i></b>	
26	Official Travel Records
54	Investigative Files of Inspector General
56	Congressional Constituent Inquiries
58	General Correspondence Files
59	Mailing Lists for Requesters of Energy-Related Information
71	Radiation Accident Registry
72	Department of Energy Radiation Study Registry
73	US-DTPA Registry
88	Epidemiologic and Other Health Studies, Surveys and Surveillances
<b><i>D. Systems eliminated by DOE</i></b>	
15	Payroll and Pay-Related Data for Employees of Terminated Contractors
29	Technology Training Program—Skill Training at Technical Level

<sup>a</sup> Includes payroll records of all former employees of UT-Battelle and predecessor contractors.

## ***2.2 Records Series Included in DOE Privacy Act Systems of Records at ORNL***

Most of the team’s work involved identifying the internal records that fall within the various DOE systems of records listed in the UT-Battelle contract. This was accomplished by having team members work with staff organizations that maintain ORNL records systems.

Appendix B identifies records series by system and indicates the location of official records (record copy) and all copies, record formats, method of storage, contact(s), and record retention periods.

### **2.3 Maintenance and Protection of Systems at ORNL**

After identification of internal records systems that are within the scope of contractual Privacy Act requirements, the team’s next step was to review existing procedures to determine whether adequate mechanisms are in place to ensure compliance with these requirements. On the advice of the ORO Privacy Act officer that a graded approach to protection was acceptable, the team determined that ORNL’s current procedures for storage and use of these records was adequate to meet contractual requirements in this area.

### **2.4 Issues and Corrective Actions**

The team identified the following issues and corrective actions:

<b>Issue</b>	<b>Corrective action</b>
1. Privacy Act records should be maintained in an appropriate manner, according to the level of rigor needed to protect each specific type of record.	1. There is no corrective action. The team believes that records maintenance meets requirements.
2. Given the increase in the number of systems of records at ORNL, training is needed for a larger population at the Laboratory.	2. Determine the level of awareness necessary for each Privacy Act record and design a program to provide awareness training or notification.
3. Of concern to the team were instances in which several people have copies of an identified Privacy Act record.	3. Identify applicable record copies and decide in a graded approach the best way to proceed (e.g., distribute fewer copies, provide awareness training).
4. ORNL-IO-001, Privacy Act Compliance at ORNL, is obsolete in light of the increased number of Privacy Act records kept at ORNL.	4. Write a subject area document within SBMS with current information.

### **3. Recommendations and Conclusions**

The findings of the Privacy Act Records Team indicates that the Laboratory’s approach to Privacy Act records must be updated to reflect the increase in records for which ORNL is responsible. Training development and delivery would constitute the largest proportion of costs associated with these increased responsibilities, with some costs for continuous coordination of the Privacy Act records activities.

The team makes the following recommendations:

1. Privacy Act records activities should be coordinated by the ORNL Records Manager, who will be the point of contact for Privacy Act records, issues, and activities at ORNL.
2. ORNL-IO-001, Privacy Act Compliance at ORNL, should be revised as a subject area document under the Records Management System.

3. An annual review of the Privacy Act process, including a review of the list of ORNL Privacy Act records shown in Appendix B, should be conducted by the ORNL Records Manager. Individuals who serve as points of contact for individual record systems should also be involved in this review.
4. Training should be created for all ORNL staff who create, maintain, or use ORNL Privacy Act records.

## **Appendix A: Brief Overview of the Privacy Act**

This appendix provides a brief overview of the Privacy Act of 1974, as amended at 5 U.S.C. 552a, as it applies to ORNL. The law in this area can be complex, and this discussion is not designed or intended to provide guidance for the resolution of specific questions that may arise with regard to implementation of the act. For those wishing further information, DOE's regulations are published at 10 CFR Part 1008, and a variety of resources are available on the World Wide Web. However, the ORNL Office of General Counsel should be consulted regarding specific questions that may arise.

### **1. What Is the Privacy Act?**

The Privacy Act is a federal law enacted in 1975.<sup>1</sup> It resulted from concern about threats to personal privacy posed by the ever-increasing amount of information on individuals that federal agencies collect and the increasing ease of gathering and collating information on individuals from a variety of sources. The act regulates federal agencies in their collection, maintenance, use, and dissemination of personal information.

The act was passed in the waning days of the 93rd Congress, with little debate and relatively sparse legislative history. As a result, courts have been called upon to define the meaning and scope of the law to a large degree. Thus, the answers to important questions are sometimes unclear—and occasionally contradictory.

### **2. Are There Other Laws Addressing Privacy?**

Yes. Some states have laws similar to the Privacy Act. Tennessee has such a law, but its scope is limited to personnel records of state employees.

All states also have laws proscribing unreasonable invasions of privacy and confirming rights to control the use of personal identity, images, etc., for commercial purposes. Actions taken within the course and scope of employment at ORNL are not likely to raise any issues under these laws.

### **3. Who Must Comply with the Privacy Act?**

The Privacy Act applies to federal agencies, federal officials and employees, and others acting on behalf of federal agencies in the management of records and systems of records. It does not apply to private individuals, businesses, associations, and similar entities.

The act also applies to ORNL activities involving the management of government records.<sup>2</sup> Therefore, UT-Battelle employees must manage government records in accordance with the act.

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<sup>1</sup> The Privacy Act of 1974 became effective in September 1975 and is codified at 5 U.S.C. § 552a.

<sup>2</sup> 5 U.S.C. § 552a(m)(1).

The act does not apply to management of some contractor-owned records, such as personnel and payroll records of current employees.<sup>3</sup> Therefore, the act's limitations and requirements do not apply to activities involving these records. However, as a matter of fairness and respect for employees' privacy, UT-Battelle does restrict the release of personal information from contractor-owned records.

#### **4. What Is a “Record” and a “System of Records”?**

##### ***a. Record***

Two key terms for understanding and applying the Privacy Act are “record” and “system of records.” “Record” is defined as follows:

Any item, collection, or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph.<sup>4</sup>

Courts have differed on the scope of this wording, but to be safe we should use the definition from the Circuit Court of Appeals for the Third Circuit as a starting point. This court has held that the term “record” “encompasses *any* information about an individual that is linked to that individual through an identifying particular.”<sup>5</sup> And, of course, the word includes any “item,” which means documents, records, files, photographs, etc., that are created or stored in hard copy, electronic media, or in any other manner.

##### ***b. System of Records***

Clearly, ORNL has hundreds of thousands (if not millions) of “records.” Just as clearly, it would be impossible to manage each of these discrete items in accordance with the act. This is why the concept of a “system of records” is critical. The definition of this term is

A group of any records ... from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.<sup>6</sup>

The Privacy Act's mandates regarding management and dissemination of information apply to records within a systems of records.

For an example of how the concept of a “system of records” works, consider scientific or management reports produced at ORNL. These documents may contain information about identified individuals, and they may therefore constitute “records.” However, if they are filed and accessed by title or report number—as opposed to names or badge numbers—they are not within a system of records, and they are not subject to management under the act.

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<sup>3</sup> See Clause I-141, *Access to and Ownership of Records*, in UT-Battelle's M&O contract (Contract No. DE-AC05-00OR22725) for a listing of contractor-owned records. In reviewing this provision, be sure to cross-reference subparagraph (b)(1) with Clause H-20 and subparagraph (b)(3) with Clause I-102.

<sup>4</sup> 5 U.S.C. § 552a(a)(4).

<sup>5</sup> *Quinn v. Stone*, 978 F.2d 126, 133 (3d Cir. 1992).

<sup>6</sup> 5 U.S.C. § 552a(a)(5).

## 5. Disclosures from Records

The Privacy Act prohibits *any* disclosure of a record maintained in a system of records unless a statutory exception applies.<sup>7</sup> Although there are 12 such exceptions,<sup>8</sup> there are 5 key provisions for our purposes. A record may be disclosed under the following conditions:

1. with the written consent of the individual to whom the record pertains;<sup>9</sup>
2. in response to a judicial order issued by a federal court;<sup>10</sup>
3. if it is a disclosure required by the Freedom of Information Act;<sup>11</sup>
4. if there is a need for the information by officials within the agency in order to perform their duties;<sup>12</sup> and
5. when there are authorized “routine uses” of the information.<sup>13</sup>

Perhaps the most often-used exception is that of “routine uses.” These routine uses are defined for each system of records maintained by an agency,<sup>14</sup> and the information is published periodically in the Federal Register. Any disclosure that falls within the defined “routine use” is authorized.

## 6. What Other Requirements Are Included in the Privacy Act?

The Privacy Act has several very significant features in addition to guidance on disclosures of records. These include the following:

1. An obligation to protect records in systems of records from unauthorized access and/or disclosure. Unauthorized disclosures, even if inadvertent, can result in civil or criminal penalties against individuals.
2. A requirement to maintain records of disclosures, including the recipient of the information and the date, nature, and purpose of the disclosure. These records must be maintained for 5 years *or for the life of the record*, whichever is longer. This requirement does not apply to intra-agency disclosures or disclosures made pursuant to the Freedom of Information Act, but it does apply to “routine use” disclosures outside the agency.
3. A prohibition against maintaining any system of records that is not listed in the agency’s Federal Register notices.

Contract Clause H-20, *Privacy Act Systems of Records*, defines the systems of records that ORNL maintains on behalf of DOE. Three consequences flow from this provision:

1. UT-Battelle is obligated to protect records in these systems of records from unauthorized disclosure;

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<sup>7</sup> “Disclosure” means any dissemination of the record or its contents, whether written, oral, or otherwise.

<sup>8</sup> See 5 U.S.C. § 552a(b).

<sup>9</sup> *Id.*

<sup>10</sup> The law requires an order from “a court of competent jurisdiction.” See 5 U.S.C. § 552a(b)(11). However, it generally has been held that only federal courts have jurisdiction in these matters.

<sup>11</sup> 5 U.S.C. § 552a(b)(2).

<sup>12</sup> 5 U.S.C. § 552a(b)(1).

<sup>13</sup> 5 U.S.C. 552a(b)(3).

<sup>14</sup> DOE has published notice of 88 systems of records. Information regarding these systems can be retrieved from [http://www.access.gpo.gov/su\\_docs/aces/1999\\_pa.html](http://www.access.gpo.gov/su_docs/aces/1999_pa.html).

2. UT-Battelle is obligated to manage these systems of records, and the records therein, in accordance with the act; and
3. UT-Battelle is not authorized to maintain any other “system of records.”

## **6. Where Can I Get Additional Information?**

For more information on how the Privacy Act applies at ORNL, please contact Jeff Guilford in the Office of General Counsel (phone: 241-2322; e-mail: [guilfordjs@ornl.gov](mailto:guilfordjs@ornl.gov)).

Prepared October 2001 by the ORNL Office of General Counsel

## **Appendix B: Privacy Act Systems of Records at ORNL**

Table B.1 provides a list of ORNL records contained in the DOE systems of Privacy Act records. For each system found at ORNL (see the listing below) the table provides the system number, a description of the records in the system, the location, and other important information. This table will be available on the internal ORNL web site from the Records Management home page and will also be available in the Privacy Act Records subject area document when that document is completed. Privacy Act compliance at ORNL will be reviewed annually by the ORNL Records Manager.

### **Systems of Privacy Act records maintained at ORNL**

<b>System</b>	<b>Title</b>
5	Personnel Records of Former Contractor Employees
11	Emergency Locator Records
14	Report of Compensation
25	Employee Parking Records
27	Foreign Travel Records
28	General Training Records
33	Personnel Medical Records
35	Personnel Radiation Exposure Records
38	Occupational and Industrial Accident Records
40	Contractor Employees Insurance Claims
51	Employee and Visitor Access Control Records
55	Freedom of Information and Privacy Act Requests for Records

**Table B.1. Privacy Act Systems of Records at ORNL  
July 19, 2002 (Rev. 1)**

DOE system	Records	Location	Record form	Protection method	Record owner	Copy holders	Point of contact	Retention (DOE/NARA citation)	Comments
5	Clipper Rolodex system (card file of basic facts on employees)	Personnel Records, 4500N, Rm. J109	Paper, electronic	On password-protected personal computers in office that is locked when unoccupied	Human Resources (HR)	National Institute for Occupational Safety and Health (NIOSH)	Mike Willard 574-4425	75 years (DOE Admin 1.1.1)	
5	Payroll records of terminated employees of former contractors	1000, Rm. 230C	Paper	Locked room	Payroll Services	NA	Lenora McBee 574-9103	56 years (DOE Admin 2.1.c)	
5, 14	SAP (10/1999–present)	4500N Computer Room	Electronic	Password	HR	Desktop access by qualified individuals	Mike Willard 574-4425		This system has not been scheduled
5, 14	Cyborg (1976–10/1999)	BWXT-Y12	Electronic	Password	BWXT-Y12	Desktop access by qualified individuals			Belongs to BWXT-Y12
5, 14	<i>Pre-10/99 records:</i> legacy databases; year-end masters; job hist. databases; termination hist. (system 5 only)	BWXT-Y12	Electronic	ORNL has electronic version on server and diskette. Access is limited.	BWXT-Y12	Legacy mainframe. Work is under way to migrate data to more current environment.	Mike Willard 574-4425		Belongs to BWXT-Y12
5, 14	ORNL-281, “On Payroll” form (before 4/1/2000)	<i>Originals:</i> Bldg. 1000 Payroll Vault	Paper	<i>Copy—Wage packet:</i> 4500N, RM J111; <i>Copy—Personnel File:</i> 4500N, RM J109 Vault	BWXT-Y12	ORNL Compensation; ORNL Personnel Records	Mike Willard 574-4425	15 years (DOE Admin 2.1)	BWXT-Y12 has record copy before 4/1/2000
5, 14	ORNL-293, “Termination/ Transfer Out-Off Payroll” (before 4/1/2000)	<i>Originals:</i> Bldg. 1000 Payroll Vault	Paper	<i>Copy—Wage packet:</i> 4500N, RM J111; <i>Copy—Personnel File:</i> 4500N, J109 Vault	BWXT-Y12	ORNL Compensation; ORNL Personnel Records.	Mike Willard 574-4425	15 years (DOE Admin 2.1)	BWXT-Y12 has record copy before 4/1/2000
11	Employee logs at LSS	4512	Paper, electronic	Room access-controlled	HR	NA	Mike Willard 574-4425	Retain most current information	Information from SAP
14	Wage Card	4500N, Rm. J115	Paper	Locked file and room	HR	NA	Mike Willard 574-4425	75 years after termination (DOE Admin 1.1.1)	
14	UCN-75 (Old Form) Employee Status Change ORNL-281 (Present Form) (before 4/1/2000)	<i>Originals:</i> Bldg. 1000 Payroll Vault	Paper	<i>Copy—Wage packet:</i> 4500N, RM J111; <i>Copy—Personnel File:</i> 4500N, RM J109 Vault	BWXT-Y12	ORNL Compensation; ORNL Personnel Records	Mike Willard 574-4425	75 years after termination (DOE Admin 1.1.1)	BWXT-Y-12 has record copy before 4/1/2000

DOE system	Records	Location	Record form	Protection method	Record owner	Copy holders	Point of contact	Retention (DOE/NARA citation)	Comments
25	Vehicle and carpool passes	5002	Paper, electronic	Building alarmed, room locked	Visitor Control	NA	Mark Logan 241-4453	2 years (DOE Privacy Act System of Records document)	
25	Medical passes	4500N, Rm. K126 Vault	Paper	Patient chart in locked file	Medical	Visitor Control	Mark Logan 241-4453	2 years (DOE Privacy Act System of Records document)	
27	Foreign Travel Requests	<i>Active records:</i> 5002, Rm. 206; <i>Inactive records:</i> 1062, Travel Office	Paper, electronic	Locked file cabinet; copies under restricted access	Lab Protection	Office of Counter-intelligence	Erica Francis 241-5225	7 years (DOE Admin 9.1.1.b)	
28	Electronic training and qualification data	ORNL SAP system	Paper, electronic	Access to non-record copy information in the ORNL SAP system limited to persons with Oak Ridge network account and user ID	Training service providers	Any person with Oak Ridge network account and user ID may view this information through desktop access to training histories and reports giving qualification status	Allen White 574-1482	<i>Hazardous:</i> 75 years <i>Nonhazardous:</i> 4 years (DOE Notice N1-434-88-1)	Records are filed for retrieval by training program, not by person's name or badge number
28	Training and qualification records	Various locations (e.g., division offices)	Paper	Typically protected from damage and disaster by storage in fire-resistant filing cabinets or standard filing cabinets within an area having automatic fire suppression system. Access typically limited to persons with authorized access and by locking cabinets and/or offices where records are stored	Training service providers	Copies not typically distributed. In limited cases, copies may be provided to person named on the record	Allen White 574-1482	<i>Hazardous:</i> 75 years <i>Nonhazardous:</i> 4 years (DOE Notice N1-434-88-1)	

DOE system	Records	Location	Record form	Protection method	Record owner	Copy holders	Point of contact	Retention (DOE/NARA citation)	Comments
28	Legacy training records filed for retrieval by name/badge number	ORNL Inactive Records Center (OIRC)	Paper	Access restricted to authorized OIRC staff	ORNL Training Office	Individual files may contain both record and convenience copies. Distribution of copies limited to persons named on record or division training officer	Allen White 574-1482	<i>Hazardous:</i> 75 years <i>Nonhazardous:</i> 4 years (DOE Notice N1-434-88-1)	
28	Electronic records for completion of Web-based training	Servers maintained by RTSSD, Bldg. 2661 and by other ORNL divisions providing Web-based training	Electronic	Database access controlled by password protection. Records, Training, & SBMS Division (RTSSD) Web-based training server data protected with nightly tape backup. Tape backups are placed in fire-resistant storage on a weekly schedule	RTSSD and other ORNL divisions that provide Web-based training opportunities	Persons with access to the ORNL SAP system who may view training completion information through desktop access to training histories and reports giving status of qualification	Allen White 574-1482	<i>Hazardous:</i> 75 years <i>Nonhazardous:</i> 4 years (DOE Notice N1-434-88-1)	
33	Medical files on individual employees	4500N, K126 Vault	Paper	Stored in vault	Medical Department	NA	James Phillips 574-7431	75 years (DOE Admin 1.21.1.a)	
33	Industrial hygiene monitoring records	5500, Rms. B-103, 104, front hallway	Paper, electronic	<i>Paper:</i> stored in locked cabinets <i>Electronic:</i> access-controlled and password-protected databases	Operational Safety Services Division (OSSD)	OSSD staff, supervisors	Leigh Greeley 576-1367	75 years (DOE Admin 1.21.2.d)	Decisions need to be made on how to reach all copy holders and/or reduce number of copies
33	Historical industrial hygiene record management system (ASKSAMs)	5500, Rm. B-103; basement hall across from C113	Paper, electronic	<i>Paper:</i> stored in locked cabinets <i>Electronic:</i> access-controlled and password - protected databases	OSSD		Leigh Greeley 576-1367	75 years (DOE Admin 1.21.2.d)	
33	Employee noise exposure questionnaire	4500, K126 Vault	Paper	Stored in vault	Medical	OSSD staff, program manager		75 years (DOE Admin 1.21.2.d)	Decisions need to be made on how to reach all copy holders and/or reduce number of copies

DOE system	Records	Location	Record form	Protection method	Record owner	Copy holders	Point of contact	Retention (DOE/NARA citation)	Comments
33	Reproductive health hazard survey; background survey for nursing mothers	5500A, Rm. A214	Paper	Locked office	OSSD	OSSD	Leigh Greeley 576-1367	75 years (DOE Admin 1.21.2.d)	Decisions need to be made on how to reach all copy holders and/or reduce number of copies
35	External whole body dose records	4500N, K126 Vault and Rms. D218-222	Paper, electronic	<i>Paper:</i> stored in vault and locked offices <i>Electronic:</i> access-controlled and password - protected databases, with weekly tape backup and incremental daily backup	OSSD Dosimetry Services (DS)	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
35	External extremity dose records	4500N, K126 Vault and Rms. D218-222	Paper, electronic	<i>Paper:</i> stored in vault and locked offices <i>Electronic:</i> access-controlled and password - protected databases, with weekly tape backup and incremental daily backup	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
35	Internal dose records	4500N, K126 Vault and Rms. D218-222	Paper, electronic	<i>Paper:</i> stored in vault and locked offices <i>Electronic:</i> access-controlled and password - protected databases, with weekly tape backup and incremental daily backup	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
35	In vitro (bioassay) results	4500N, K126 Vault and Rms. D218-222	Paper, electronic	<i>Paper:</i> stored in vault and locked offices <i>Electronic:</i> access-controlled and password - protected databases, with weekly tape backup and incremental daily backup	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years [DOE Admin 1.21.3.(1)]	
35	In vivo (whole body Count) results	4500N, K126 Vault and Rms. D218-222	Paper, electronic	<i>Paper:</i> stored in vault and locked offices <i>Electronic:</i> access-controlled and password - protected databases, with weekly tape backup and incremental daily backup	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	

DOE system	Records	Location	Record form	Protection method	Record owner	Copy holders	Point of contact	Retention (DOE/NARA citation)	Comments
35	Annual report on radiation dose	4500N, K126 Vault and Rms. D218-222	Paper, electronic	<i>Paper:</i> stored in vault and locked offices <i>Electronic:</i> access-controlled and password-protected databases, with weekly tape backup and incremental daily backup	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
35	Individual dose report (Web-based, on demand)	Server in 5500, Rm. C111	Electronic	Password-protected	OSSD-DS	Individual	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
35	Dose summary report (quarterly or annual)	Server in 5500, Rm. C111	Electronic	Password-protected	OSSD-DS	Division radiological control officer (DRCO); radiological control technician (RCT)	Elizabeth Dixon 574-7473		Non-record. Database is the official repository of dosimetry information
35	Extremity dose summary report (quarterly or annual)	Server in 5500, Rm. C111	Electronic	Password-protected	OSSD-DS	DRCO; RCT	Elizabeth Dixon 574-7473		Non-record. Database is the official repository of dosimetry information
35	Bioassay sample results report (quarterly and annual)	Server in 5500, Rm. C111	Electronic	Password-protected	OSSD-DS	DRCO; RCT	Elizabeth Dixon 574-7473		Non-record. Database is the official repository of dosimetry information
35	Radiation Exposure Monitoring System (REMS) report	Server in 5500, Rm. C111	Electronic	Per Science Applications International Corp. (SAIC) procedure	OSSD-DS	SAIC for DOE	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
35	Dosimeter film	4500N, K126 Vault	Paper, film	Vault	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.5)	
35	External dosimetry processing records	4500N, K126 Vault	Paper, electronic	Vault	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
35	In vivo results and logbooks	4500N, K126 Vault	Paper	Vault	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
35	Radiobioassay lab records	4500N, K126 Vault	Paper	Vault	OSSD	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3.a)	
35	Incident reports	4500S, E255	Paper, electronic	<i>Paper:</i> locked office <i>Electronic:</i> access control and password protected databases	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.4)	

DOE system	Records	Location	Record form	Protection method	Record owner	Copy holders	Point of contact	Retention (DOE/NARA citation)	Comments
35	Radiological event reports	4500S, E255	Paper, electronic	<i>Paper:</i> locked office <i>Electronic:</i> access control and password protected databases	OSSD-DS	NA	Elizabeth Dixon 574-7473	100 years (DOE Admin 1.21.3.f)	
35	Personnel contamination reports	4500S, E255	Paper	Locked office	OSSD-DS	NA	Elizabeth Dixon 574-7473	75 years (DOE Admin 1.21.3)	
38, 40	Accident Investigation Injury Files	<i>1996–present:</i> 5500A, A101; <i>Prior years:</i> locked cage in G corridor attic, 5500A <i>Copies of ORNL-124:</i> 104 Union Valley Rd.	Paper	Locked office and attic cage	OSSD and Health & Safety Services (HSS)	ORNL-124-Benefit Plans	Carol Kendrick 576-5496 <i>Copies of ORNL-124:</i> Pam Williamson 574-9078	10 years [DOE Admin 22.1.a.(2)]	Files contain Descrip. of Questionnaire on Injury and Response to Questionnaire, Supervisor's Incident Reports (ORNL-124), Medical Incident Reports, nurse/doctor's notes related to occupational injury or illness, and Medical Restriction Forms
38	<i>Through 2001:</i> OSHA 200 Log—Log of Occupational Injuries and Illnesses <i>After 2001:</i> OSHA Form 300—Log of Work-Related Injuries and Illnesses	<i>1990–present:</i> 5500A, A101; <i>Prior years:</i> locked cage in G corridor attic, 5500A	Paper, electronic	<i>Paper:</i> locked office and cage <i>Electronic:</i> on secure database.	OSSD-HSS	NA	Carol Kendrick 576-5496	10 years [DOE Admin 22.1.a.(2)]	
38	Motor Vehicle Accident Report (SF91)	<i>1999–present:</i> 5500A, A101; <i>Prior years:</i> locked cage in G corridor attic, 5500A	Paper	Locked office and cage	OSSD-HSS	Legal Office if 3rd party is involved; Fleet Manager at garage	Carol Kendrick 576-5496	6 years (DOE Admin 10.6)	

DOE system	Records	Location	Record form	Protection method	Record owner	Copy holders	Point of contact	Retention (DOE/NARA citation)	Comments
38	Oak Ridge Police reports	<i>1999–present:</i> 5500A, A101; <i>Prior years:</i> locked cage in G corridor attic, 5500A	Paper	Locked office and cage	OSSD-HSS	Legal Office if 3rd party is involved	Carol Kendrick 576-5496	6 years (DOE Admin 10.6)	Accidents on public highways involving government vehicles
38	DOE Individual Accident/Incident Report (DOE F 5484.3) Official Use Only—Privacy Act	<i>1990–present:</i> 5500A, A101; <i>Prior years:</i> locked cage in G corridor attic, 5500A	Paper, electronic	Locked office and cage	OSSD-HSS	DOE; DOE Site Office; Field Support of involved division	Carol Kendrick 576-5496	6 years (DOE Admin 10.6)	For motor vehicle accidents with damages over \$1000
38	DOE Individual Accident/Incident Report (DOE F 5484.3) Official Use Only—Privacy Act	<i>1990–present:</i> 5500A, A101; <i>Prior years:</i> locked cage in G corridor attic, 5500A	Paper, electronic	Locked office and cage	OSSD-HSS	DOE; DOE Site Office; Field Support of involved division	Carol Kendrick 576-5496	10 years [DOE Admin 22.1.a.(2)]	For property damage incidents with damages over \$5000
40	Medical Incident Report	<i>Record Copy:</i> 4500N, K126 Vault; <i>Copy:</i> 5500A, RM A101 (1996–Present)	Paper	<i>Medical:</i> 4500N, K126 Vault <i>Copy:</i> 104 Union Valley Rd.	Medical	Benefit Plans; Cariten WORXS and Alternative Service Concept (ASC) (vendors)	<i>Medical:</i> James Phillips 574-7431 <i>Benefit Plans:</i> Pam Williamson 574-9078	75 years (DOE Admin. 1.21.1.a)	
40	Nurse/doctor’s notes related to occupational injury/illness	<i>Record Copy:</i> 4500N, K126 Vault; 5500A, RM A101	Paper	<i>Medical:</i> 4500N, K126 Vault <i>Copy:</i> 104 Union Valley Rd.	Medical	Benefit Plans	<i>Medical:</i> James Phillips 574-7431 <i>Benefit Plans:</i> Pam Williamson 574-9078	75 years (DOE Admin. 1.21.1.a)	
40	Medical restriction form	<i>Record Copy:</i> 4500N, K126 Vault; 5500A, RM A101	Paper	<i>Medical:</i> 4500N, K126 Vault <i>Copy:</i> 104 Union Valley Rd.	Medical	Benefit Plans	<i>Medical:</i> James Phillips 574-7431 <i>Benefit Plans:</i> Pam Williamson 574-9078	75 years (DOE Admin. 1.21.1.a)	
40	Tennessee First report on workers’ compensation (injuries)	104 Union Valley Rd.	Paper	Locked file room in badge-accessed building	Benefit Plans	Cariten WORXS and Alternative Service Concept (ASC) (vendors)	Pam Williamson 574-9078	75 years (DOE Admin. 1.31)	

DOE system	Records	Location	Record form	Protection method	Record owner	Copy holders	Point of contact	Retention (DOE/NARA citation)	Comments
51	Visitor assignments	5002, Rm. 112	Paper, electronic	Alarmed building and locked room	HR	<i>Paper:</i> Non-Employee Processing (NEP) <i>Electronic:</i> host division	Mark Logan 241-4453	75 years (DOE Admin 18.17.1)	
51	Foreign national visits/assignments	5002	Paper, electronic	Alarmed building and locked room	HR	<i>Paper:</i> Non-Employee Processing (NEP) <i>Electronic:</i> host division	Vanessa Grebert 574-2671	75 years (DOE Admin 18.17.1)	
51	Visa files for pre-employees only	5002; ORNL Inactive Records Center	Paper	Alarmed building and locked rooms	Foreign National Office	NA	Vanessa Grebert 574-2671	<i>Approved but not hired:</i> 2 years <i>Disapproved for hire:</i> 5 years (DOE Admin. 18.21.3.a and b)	
51	Visa files for paid non-employees	5002	Paper	Alarmed building and locked rooms	Guest Services	NA	Vanessa Grebert 574-2671	10 years (DOE Admin. 18.22.a)	
55	FOIA requests, responses, and tracking forms	4500N, K126 Vault and Rms. D218-222; 4500S, E255	Paper, electronic	<i>Paper:</i> vault and locked office <i>Electronic:</i> access-controlled and password-protected databases	OSSD-DS or HSS	NA	Systems contacts	2-6 years depending on request situation (DOE Admin. 14.11)	
55	Privacy Act requests, responses, and tracking forms	4500N, K126 Vault and Rms. D218-222; 4500S, E255	Paper, electronic	<i>Paper:</i> vault and locked office <i>Electronic:</i> access-controlled and password-protected databases	OSSD-DS or HSS	NA	Systems contacts	5 years or life of the record (for disclosures) (DOE Admin. 14.21)	



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