
**DATA ACCESS AND INTERVIEW PROCEDURES
ABRWH-PROC-010**

Advisory Board on Radiation and Worker Health Procedure 010

June 2009

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1.0 PURPOSE

The purpose of this procedure is to outline the steps required to coordinate and submit data requests to the Department of Energy (DOE) in support of the Advisory Board on Radiation and Worker Health's (Advisory Board's) statutory role to independently review the scientific validity and quality of Dose Reconstruction (42 CFR Part 82), and to provide advice on Special Exposure Cohort (SEC) Petitions (42 CFR Part 83) under the Energy Employees Occupational Illness Compensation Program Act (EEOICPA) of 2000. These procedures reference and provide for conformance with requirements specified in the DOE Security Plan (DOE 2009).^a This procedure corresponds to and is consistent with the objectives and tenets of National Institute for Occupational Safety and Health (NIOSH) procedures specified in OCAS-PR-010, *Data Access and Interview Procedures*.

In addition, to understand work practices and radiation monitoring in support of the Advisory Board's reviews of dose reconstructions and SEC petitions, interviews with current and former workers, petitioners, and other site experts are sometimes necessary. This procedure also outlines the steps to conduct these interviews and ensure the review of information in a manner that protects sensitive information.

2.0 SCOPE

This procedure applies to all Advisory Board members and to all employees of the Advisory Board's Technical Support Contractor (TSC)^b and its subcontractors who are working on the EEOICPA project.

3.0 REFERENCES

National Institute for Occupational Safety and Health, OCAS-PR-010, *Data Access and Interview Procedures*.

Title 42 Code of Federal Regulations Part 82 (42 CFR 82), *Methods for Radiation Dose Reconstruction Under the Energy Employees Occupational Illness Compensation Program Act of 2000*; Final Rule; May 2, 2002; SRDB Ref ID: 19392.

Title 42 Code of Federal Regulations Part 83 (42 CFR 83), *Procedures for Designating Classes of Employees as Members of the Special Exposure Cohort Under the Energy Employees Occupational Illness Compensation Program Act of 2000*; Final Rule; May 14, 2004; SRDB Ref ID: 22001.

^a **Explanation:** This Advisory Board procedure, while addressing data capture and document review in conformance with the DOE Security Plan, does not repeat all of the requirements and procedures of that Plan that already are incumbent upon the Advisory Board and its technical support contractor.

^b The Technical Support Contractor is contracted by the Centers for Disease Control and Prevention and provides technical support exclusively to the Advisory Board. For the purposes of brevity, this CDC contractor is indicated in these procedures as "the Advisory Board's contractor."

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Title 10 Code of Federal Regulations Part 1017 (10 CFR 1017), *Identification and Protection of Unclassified Controlled Nuclear Information*.

U.S. Department of Energy, *Security Plan for the Energy Employees Occupational Illness Compensation Program*, U.S. Department of Energy, Office of Health, Safety, and Security, January 23, 2009.

4.0 RESPONSIBILITIES

Advisory Board Facility Point of Contact (POC): The Advisory Board Facility POC is a TSC employee or consultant responsible for the overall implementation of this procedure for a specific DOE or Atomic Weapons Employer (AWE) facility. The Advisory Board Facility POC will identify personnel requiring access authorization and comply with DOE instructions for processing requests for access authorization. The Advisory Board Facility POC will coordinate first-time visits to active DOE facilities for the purpose of explaining the reason for the facility visit, describing the activities that will occur, and requesting assistance in meeting DOE security and classification/control review obligations. The Advisory Board Facility POC receives, coordinates, and submits all data requests to DOE, and ensures that the information captured is properly protected and provided to NIOSH for uploading to the Site Research Database (SRBD). The POC is also responsible for coordinating interviews conducted by the Advisory Board or its TSC with current or former workers employed at the facility, petitioners, and other site experts. The POC is responsible for notifying NIOSH, the Designated Federal Official (DFO), and interested members of the Board of facility visits, and coordinating facility data capture requests, so as to avoid unnecessary duplication with previous or ongoing NIOSH data capture. The POC is responsible for coordinating data requests, including conducting interviews of facility experts. The POC is also responsible for evaluating data requests against previously collected data by NIOSH or its contractors to avoid duplicate requests, as well as ascertaining any collected documents not yet made available to NIOSH.^c The POC is responsible for submittal of notes, drafts, and proposed final documents associated with EEOICPA-covered facilities to DOE for review for classified and controlled unclassified information, in accordance with the DOE Security Plan (DOE 2009).

DOE Facility POC: The DOE Facility POC is responsible for coordinating with the Advisory Board Facility POC to provide the necessary approvals to enter DOE facilities to review records, gather information, conduct interviews, and perform other EEOICPA-related activities. The DOE Facility POC shall also provide access to DOE documents, records, information systems, and personnel with information required to meet the provisions of EEOICPA in accordance with applicable laws, regulations, and directives. The DOE Facility POC develops and administers a process to ensure that DOE documents undergo thorough and timely classification/control reviews prior to release. The DOE Facility POC provides timely classification/control reviews of notes, drafts, and reports generated to fulfill EEOICPA requirements pertaining to reviews conducted at the facility level. The DOE Facility POC determines any training requirements, communicates these to the Advisory Board, and arranges for required training.

^c **Explanation:** *Either entered on the SRDB, awaiting inclusion to the SRDB, or being held as sensitive information or documents pending DOE clearance.*

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DOE Headquarters POC: The DOE Headquarters (HQ) POC is responsible for coordinating and providing funding to the DOE Facility POC to support Advisory Board and/or Advisory Board TSC requests for information. They will facilitate necessary approvals for the Advisory Board Facility POC and/or its TSC to enter DOE facilities to review records, gather information, conduct interviews, and perform other EEOICPA-related activities. This includes establishing Advisory Board and their TSC “need to know,” requesting appropriate Sigma clearances, and coordinating and transmitting appropriate clearance information to enable appropriately cleared Advisory Board members and their TSC access to sensitive information. For documents submitted to headquarters for review, DOE HQ administers a process to ensure that DOE documents undergo thorough and timely classification/control reviews prior to their release. The DOE HQ POC assists the Advisory Board members and the Advisory Board Facility POC in locating facilities where classified/controlled unclassified information can be stored, processed, transmitted, or discussed in a secure manner. The DOE HQ POC designates security advisor(s) to assist the Advisory Board and its TSC in resolving security issues.

NIOSH Facility POC:^d The NIOSH Facility POC is responsible for coordination with the Advisory Board Facility POC and DOE Facility POC regarding resources needed for initial facility information requests and ensuring same, as necessary, with the DOE HQ POC. The NIOSH Facility POC also informs the Advisory Board Facility POC of the state of completeness of the Site Research Data Base (SRDB) for the facility in question (including interviews conducted), identifying all pending or outstanding requests for documents and interviews to minimize duplicative requests for information.

Designated Federal Official (DFO): The DFO is responsible for the federal government’s support of and direction to the Advisory Board and its TSC. The DFO will serve as DOE’s principal agency contact to address any and all matters that arise in the implementation of this procedure and Board Procedure 011 that require the involvement of an agency official. The DFO will provide the DOE HQ with an annual listing of the names, contract numbers, and contract expiration dates for all POCs, with more frequent updates as necessary. The DFO will be informed by the Advisory Board Facility POC of all requests for information, documents, interviews, and related arrangements, and the DFO implicitly supports such requests on behalf of the agency, except when such requests require further consideration, as indicated by the project manager of the TSC or by a DOE official.

5.0 PROCEDURES^e

5.1 Requesting Information

During the review of NIOSH dose reconstructions, dose reconstruction procedures, or SEC petitions, it is generally necessary to address scientific issues related to the estimation of worker radiation dose. In these instances, it frequently is necessary for the Advisory Board or its TSC to request the additional information from DOE.

^d **Explanation:** These provisions are intended to mirror those in OCAS-PR-010 and OCAS-PR-011.

^e **Explanation:** The process outlined in the following procedures reflects actual past practice in facility data capture and interviews.

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Before a request is submitted, the respective facility POCs are responsible for checking the Site Research Database and consulting with the NIOSH Facility POC to ensure the information has not already been obtained from the facility or through other DOE sources, such as the Office of Science, Technology, and Information (OSTI). Once the applicable POC has determined that this information is not in any NIOSH records holdings, a formal request can be made.^f

5.1.1 Assignment of Advisory Board POC

The TSC shall assign one POC for each facility from which the TSC and/or the Advisory Board will be requesting DOE information, documents, or interviews. The TSC shall notify the DFO of the identity and related information required by DOE for each POC assigned. This notification shall occur annually and whenever a change is made in the designation of a POC. The DFO will be responsible for conveying this information to the DOE, the Advisory Board, and OCAS.

5.1.2 General Notification Duty of Advisory Board POC

The Advisory Board Facility POC shall notify the DFO and interested Board Members of all initial requests for facility visits, documents, and interviews. Notification is not required for ongoing interactions between the Advisory Board POC and DOE Facility or HQ POCs regarding requests for which notification has already been provided.

5.1.3 Initial Contact

The Advisory Board Facility POC shall notify the corresponding DOE Facility POC and DOE HQ POC in writing of their intent to conduct data retrieval and interviews. The Advisory Board Facility POC will contact the DOE HQ POC to open a dialog (that will include the DOE Facility POC) as to the nature of the information needed, the types of individuals to be interviewed, and whether the request is to be coupled with a request from NIOSH. The purpose of this initial contact is to provide advance notice to the DOE HQ, so that they can provide some basic support for the facility, especially for large requests where additional funds may be needed by the facility. As part of this process, information is obtained from the facility regarding available records databases and systems. This information is necessary for the DOE facility to conduct searches of records databases and systems. Previously conducted records searches and interviews conducted by NIOSH are made available for review by the Advisory Board and its TSC. Requests for additional information will be coordinated with the NIOSH Facility POC to identify documentation collected to date (“baseline” information) by NIOSH at the facility in question. The Advisory Board Facility POC, in turn,

^f **Explanation:** If there delays are experienced in receiving a response from the respective POC, in this regard, the Advisory Board TSC will contact the DFO to facilitate a response. All reasonable efforts need to be made to coordinate Advisory Board information requests, but lack of timely response should not impede the Advisory Board’s onsite review activities.

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determines what facility information it possesses for which NIOSH does not have access, and makes that information available to NIOSH.⁸

5.1.4 Submittal of Formal Request

The Advisory Board Facility POC prepares and submits a formal request (letter) to the DOE Facility and HQ POCs for information. This letter should describe the information needed and for what purpose the information is being requested (i.e. Facility Profile development, review, or SEC petition evaluation). Prior to visiting the facility, a data capture plan will be submitted to the facility outlining the records to be reviewed, requested interviews, requested facility tours, and other EEOICPA-related activities. Where large requests necessitate extensive coordination between the Advisory Board Facility POC and the DOE Facility or HQ POC, it is often beneficial for the Advisory Board Facility POC to review the information before data capture, to ensure the information is useful and pertinent to the review. In most instances, this review requires a facility visit, typically by a Q-cleared individual, particularly for National Nuclear Security Administration (NNSA) facilities.

In the case of inactive facilities, the Advisory Board Facility POC must consider sources of legacy records and/or information transferred from the facility of interest to other DOE locations.

5.2 Facility Access for the Advisory Board Members and the TSC

This section describes the typical steps and responsibilities to enable the Advisory Board and its TSC access to the facility.

5.2.1 Establishing Date

The Advisory Board Facility POC will coordinate with the DOE Facility and HQ POCs to arrange for an agreed upon date that Advisory Board members and/or its TSC can visit the facility to conduct the review.

5.2.2 Participating Individuals

The Advisory Board Facility POC will submit a list of individuals who will be participating in the data review to the DOE Facility and HQ POCs. The Advisory Board Facility POC is also responsible for coordinating with the DOE HQ POC for transferring special access requests to the DOE Facility POC.

⁸ **Explanation:** To enable efficient review of what facility documentation has been collected by both NIOSH and the Advisory Board and its TSC, both need to promptly identify existing facility holdings and pending collections for the facility in question (including interviewees and existing interview notes), including the existence of classified or otherwise sensitive holdings or pending collections.

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5.2.3 Facility Badging and Training

The DOE Facility POC will coordinate with the DOE HQ POC and with the facility security personnel to ensure appropriate badging to enable facility access. In some circumstances, Sigma clearances may need to be requested through the DOE HQ POC. In addition, the DOE Facility POC is responsible for determining if additional training is required to facilitate and complete access, including any training required for facility tours.

5.3 Data Review

This section describes the conduct of the review, including the identification of records to be captured.

5.3.1 Facility Classification Overview and Introduction

The Advisory Board Facility POC will meet with the NNSA/DOE/DOE Contractor Facility Classification Officer for a brief overview of facility sensitivities, to ensure and facilitate conformance with the DOE Security Plan (DOE 2009). This introduction will serve to familiarize the Advisory Board Facility POC with subject area and keyword indicators that may contain restricted data or other control information, including Official Use Only (OUO) data.

5.3.2 Retrieval of Information

The DOE Facility POC will coordinate with facility personnel to retrieve the information requested in Section 5.1.4 and provide a space/location for the Advisory Board and its TSC to conduct reviews.

5.3.3 Communication of the Information

The Advisory Board Facility POC will coordinate and communicate with the TSC staff and any Board Members involved in a facility data collection effort regarding the information to be technically reviewed, and will coordinate the conduct of the technical review.

5.3.4 Documentation of the Review

The TSC POC(s) will track records boxes and documents reviewed, and generally manage the records identification, retrieval, and capture process for effectiveness and efficiency.

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5.3.5 Documentation for Capture and Coding

For data that is to be requested/captured, the reviewer will fill out OCAS-FORM-004, "Document Review Request Form" (See Appendix A) or an equivalent form, describing the information, where it was found, and for which purpose it was originally being requested. This will permit consistent entry of collected documents into the SRDB.

5.3.6 Classification Review of Identified Information

Once the information to be captured has been identified, the DOE Facility POC will coordinate with the Facility Classification Officer to review the information and provide the appropriate security markings (UCNI, OOU, or Unclassified: Approved for Public Release) as necessary on each document or dataset before it is captured. Classified documents will be shipped to the appropriate DOE facilities and unclassified documents will be shipped directly to the TSC POC.

5.4 Data Capture

For facility data capture, some coordination between the Advisory Board Facility POC and the DOE Facility POC is necessary, as is advance coordination with the NIOSH POC. There are three methods by which the reviewed data can be captured. The first two are that DOE provides either a hardcopy of the appropriately marked information and either the Advisory Board TSC scans/captures the information, or NIOSH and/or its contractors scan/capture the information. The third is that facility personnel scan the requested and security-marked information and provide an electronic copy to the Advisory Board POC. All documents scanned by either the Advisory Board Facility POC or DOE must be forwarded to the NIOSH Facility POC or the designated NIOSH POC for receipt of scanned documents, in accordance with procedures contained in OCAS-PR-010.

5.4.1 Advisory Board Facility POC Conducts Scanning

When the Advisory Board Facility POC conducts the scanning, the DOE Facility POC is responsible for providing adequate space to conduct the scanning, and for ensuring that all documentation is appropriately marked before the scanning is conducted.

5.4.2 DOE Conducts Scanning

When DOE agrees to conduct the scanning, the Advisory Board Facility POC and the DOE Facility POC will coordinate an appropriate schedule, to ensure the scanning is conducted in a timeframe that meets NIOSH's needs and DOE's resource limitations.

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5.4.3 NIOSH or its Contractors Conduct Scanning

When NIOSH or its contractors conduct the scanning, either (1) the DOE Facility POC is responsible for providing adequate space to conduct the scanning and for ensuring that all documentation is appropriately marked before the scanning is conducted, if the scanning is done onsite; or (2) the Advisory Board Facility POC ensures with the DOE Facility POC that all documentation is appropriately marked before documents are forwarded to the NIOSH Facility POC for scanning, if the scanning is done offsite.

5.5 Interviews

In support of dose reconstruction-related reviews or SEC petition evaluation reviews, interviews with current or former workers, petitioners, and other site experts are often beneficial to understanding facility operations and radiation monitoring practices. The only difference between the conduct of an interview with a former worker and a current worker is if the current worker requests that the interview be conducted during work hours. In this instance, the Advisory Board Facility POC must coordinate with the DOE Facility POC to establish a time and location for the interview to be conducted, such that the interviewee is not penalized for his/her participation in the interview. Regardless of whether the interview is with a former or current worker, the steps outlined below describe how the interviews are to be conducted and documented.

5.5.1 Interviews with Workers

When conducting interviews with workers at any DOE or AWE facility, caution must be employed to ensure sensitive or controlled information is not inadvertently included in the notes of the interview, if conducted outside a limited access area. Participants need to be notified before the interview of its purpose, the need to avoid disclosing sensitive information, and the nature of the questions that will be asked. The option of making use of a secure federal facility should be raised if there is a potential for sensitive information, or if requested by the interviewee, or if requested by the DOE facility. Interviewees should also be notified that interviews are voluntary and of the Health and Human Services (HHS) Privacy Act requirements for publically released documents. They should also be notified that the interview notes will be reviewed by DOE and instructed, when necessary, on the planned or potential disclosure of their identity to DOE, HHS, and potentially other federal agencies. The interviewee should be notified that they typically will have an opportunity to review interview notes, and that a response is required from the interviewee in order to include the interview information in the master interview summary.

5.5.2 Interview Process and Documentation

The Advisory Board Facility POC works with the DOE Facility POC to identify current and former facility experts related to dosimetry, radiological control,

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environmental monitoring, medical, and other key facility operations. The DOE Facility POC provides contacts for active union organizations supporting facility work. The Advisory Board Facility POC will identify potential onsite facility experts to be included in the data capture plan. Offsite interviews are scheduled by the Advisory Board Facility POC and may include former facility workers, advocacy groups, petitioners, and others knowledgeable of the facility.

Onsite interviews shall be scheduled in coordination with the DOE Facility POC. Where former workers request secure interviews, it is necessary for the Advisory Board Facility POC to work with the DOE Facility POC, or DOE HQ POC in the case of an inactive facility, to reactivate worker clearances as necessary. This should be done prior to a facility visit.

Where possible, the interviewees should be provided, in advance, the questions and/or relevant documents (i.e., Technical Basis Documents, Technical Information Bulletins, SEC Evaluation Reports) for the facility being reviewed.

Upon completion of the interview, a copy of notes taken will be submitted for DOE classification review. This submission will be handled in accordance with the DOE Security Plan (DOE 2009). For interviews conducted in non-secure locations, the notes will be submitted to the DOE Facility POC to coordinate the classification review of the interview. For DOE sites that are no longer operational, NIOSH will coordinate such reviews with the EEOICPA POC at DOE Headquarters. The Advisory Board Facility POC will maintain documentation of the submittal date, subject matter, and will be responsible for tracking requests for DOE review.

If the interview is conducted on the DOE site of interest or at a secure federal facility, the raw interview notes (non-typed) shall be placed in an envelope and delivered to the DOE Site Classification Officer for review. The interview notes shall not be removed from the facility, typed into an electronic system, or disseminated by any other means until the classification review has been completed, and the document has been marked appropriately. *Any changes to the interview transcripts after a classification review has been completed will require another classification review.*

Once the interview notes are reviewed, marked unclassified, and obtained from the DOE Classification Officer, individual summaries of the interview notes will be prepared and typically submitted to each interviewee for review. The material provided in these summary reports is not a verbatim presentation of the material contained in the interview notes. All information contained in the interview summaries are consolidations of statements, opinions, observations, etc., as communicated to SC&A by the interviewees. Comments received from the

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interviewees are integrated into the individual interview summaries and are resubmitted to DOE for classification review.^h

In addition to the individuals' interview summaries, a master interview summary is prepared to consolidate information from all facility expert interviews. The information is categorized into topical areas related to operations at the facility. The individual and master interview summaries are resubmitted to DOE HQ or the designated DOE facility for review. Master interview summaries will ultimately be released to the public and must be cleared by DOE for public release.

Unclassified interview summaries, which contain neither Unclassified Controlled Nuclear Information (UCNI) nor Export Controlled Information (ECI), will then be submitted to the custodians of the Site Research Database for entry and formal documentation of the interview. Notes containing UCNI shall be kept in hardcopy form only, and shall be stored in a locked receptacle to prevent unauthorized disclosure, as described in 10 CFR 1017. Classified interview notes and documentation will be kept in secure storage for NIOSH by the DOE Facility POC or by the DOE Headquarters EEOICPA POC. Unclassified interview notes should be provided to NIOSH whenever possible.

5.6 Review of Documents Received During Interviews

Occasionally, an interviewee has possession of additional documentation useful to the Advisory Board and TSC. Sometimes, this documentation does not contain any classification markings (OUO, UCNI, ECI, other), thus the disposition of the documents is not actually known. From past experience, some interviewees are willing to provide a hard copy of these documents on the condition that the originals will be returned. Since the disposition of unmarked documents is not known, the steps outlined below describe the process for retrieving and controlling this type of information until appropriate markings have been provided.

5.6.1 Submittal of Unmarked Documents for Classification Review

The Advisory Board Facility POC shall submit the documents to the DOE Facility POC for classification review.

5.6.2 Copying Unmarked Documents

Upon classification clearance of unmarked documentation from an interviewee, the Advisory Board Facility POC shall have the original documents *copied* (not scanned), thus creating a second hardcopy of the originals. Upon copying, the original documents shall be returned to the interviewee. *(The goal for copying*

^h **Explanation:** *What this means is that if any changes to the actual content of the interview is made by the interviewee, this revised draft notes will be resubmitted to DOE.*

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and not scanning the documents is to prevent the inadvertent inclusion of unmarked documentation into the SRDB).

5.6.3 Review of Unmarked Documents

The DOE Facility POC shall coordinate the classification review and ensure that all of the documents are appropriately marked (OUO, UCNI, ECI, Unclassified: Approved for Public Release, etc.). The DOE Facility POC shall provide the marked hardcopy documents to the Advisory Board Facility POC for inclusion into the SRDB, who shall follow requirements provided in OCAS-PR-010 for submittal to the SRDB.

If the documents are determined to contain sensitive information, the documents will be kept in secure storage by the DOE Facility POC or by the DOE HQ EEOICPA POC.

APPENDIX A: OCAS-FORM-004 – DOCUMENT REVIEW REQUEST FORM

DOCUMENT REVIEW REQUEST FORM	OCAS-FORM-004 REV 0
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The attached document may contain Privacy Act data. This information is protected by the Privacy Act, 5 U.S.C. §552a; disclosure to any third party without written consent of the individual to whom the information pertains is strictly prohibited.

Complete all information that applies to the data/document being submitted for uploading to the Site Research Database (SRDB), attach this form to the front of the document

Requestor and Reviewer	
1. Data Requestor:	
2. Reviewer Name (if different from Requestor):	
3. Target Data:	
4. Date Collected:	
Source Information	Captured Database Information
5. Site of Capture:	10. Database Name:
6. Site Box Number:	11. Software/Hardware Requirements:
7. Accession Number:	
8. Location (if not located in box):	
9. Folder Title:	
Data/Document	
12. Document Date:	16. Document Type (check all that apply):
13. Document Number:	<input type="checkbox"/> Facilities/Process (i.e., source terms, contamination surveys, general area/breathing-zone air sampling, area radiation surveys, radon/thoron monitoring, fixed location dosimeters, missed dose information, radiological control limits, radiation work permits, incidents/accidents)
14. Reviewer Description (if needed) (e.g., keywords, document comments, date ranges):	<input type="checkbox"/> Medical Monitoring (i.e., X-rays, occupational medical exams, exam frequencies, equipment performance characteristics)
15. Sites to Which Document Applies (check all that apply):	<input type="checkbox"/> Environmental Monitoring (i.e., ambient radiation, onsite releases, onsite radionuclide concentrations)
<input type="checkbox"/> DOE Sites Names:	<input type="checkbox"/> Internal Dosimetry (i.e., urinalysis, fecal, <i>in vivo</i> , breath sampling, radon/thoron, nasal smears, analytical methods, sample frequency, detection limits, recordkeeping practices, codes, performance characteristics)
<input type="checkbox"/> AWE Sites Names:	<input type="checkbox"/> External Dosimetry (i.e., thermoluminescent dosimeters, film badges, pocket ion chambers, analytical methods, exchange frequency, detection limits, recordkeeping practices, codes, performance characteristics)
<input type="checkbox"/> General Information	<input type="checkbox"/> Individual/Group Data (i.e., individual or group data)
To Be Completed By Records Management	
17. File Name (if electronic):	
18. Project Document Number:	