

EOTA – Business Form

	Document Title: Records Register
	Document Number: REG-003 Rev. 11_0722
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Parent Document: P-003 Control of Records	Notify of Changes: EOTA Employees
Referenced Documents: N/A	

Note: the "Term of Contract" referenced in this document is identified as the term of March 2007 through February 2011 (inclusive), these dates reflect the term of the contract between Systematic Management Services (SMS) and the DOE during which SMS is responsible for management of the EOTA.

The term "Term of course activity" indicates the time between course activation and course archival.

Records disposition determinations will be reviewed/changed pending direction from DOE Records Management authority and contract requirements.

Revision History:

Rev.	Description of Change
A	Initial Release.
07_1214	Updated to reflect new processes and/or forms
08_0221	Updated to reflect new processes and/or forms and location (Storage Retrieval)
08_0411	Updated to reflect new processes and/or forms, Location (Storage Retrieval), and Disposition
09_0106	Updated to reflect new processes and/or forms, Location (Storage Retrieval), and Disposition. Document will be managed off-line.
09_0325	Updated to reflect new processes and/or forms, Location (Storage Retrieval), and Disposition.
09_0916	Updated to reflect new processes and/or forms, Location (Storage Retrieval), and Disposition.
10_0928	Updated document to reflect changes with TPP implementation.
11_0308	Deleted obsolete documents, added new documents and updated documents with name changes.
11_0427	Validated location of all documents; updated as necessary.
11_0722	Validated location of all documents; updated as necessary.

Records Location

j: - Item is located on the WG "EOTA Domain Controller (E18s01)" drive. The j:\ will be followed by the path to the actual record/document folder.

Q-Pulse Document Module - Item is located in the Q-Pulse Document Control Program under the Document Module tab. A back-up of this item is also located electronically at j:\EOTA QMS (ISO 9001)\Current Required Folders\Docs\Active.

Room/Office Number - Item is located in the designated room/office number and/or with the individual listed.

Individual CHF - Item is located with the ISD listed as the Course Manager or filed in Room 6.

Note: Some records may be available in both hardcopy and electronic format. Both locations will be listed.

Records Disposition Numbers

1 - DOE Records Management

2 - Record retained by EOTA for use by subsequent contractor - Prime contractor may retain copies should they be required for internal company recordkeeping.

3 - Retained by EOTA with Course History File

Note:

Dispositions listed indicate final disposition of original records that are maintained by prime contractor. Prime contractor may retain copies should they be required for internal company recordkeeping.

Process	Record Name (Record Identification)	Location (Storage Retrieval)	Protection Method	Retention Time (at least)	Area of ISO Standard (if app.)	Disposition
MGTP-002	MGTF-002 Skill Set Model	(Active document) Q-Pulse Document Module, (Historical record)J:\EOTA QMS (ISO 9001)\Current Required Folders\Docs\Active	Back-up, secure server	Term of contract	6.2.2	2
MGTP-002	MGTF-003 Training Review Record	J:\EOTA QMS (ISO 9001)\New or Departing Employees Files	Secure storage	Term of contract	6.2.2	2
MGTP-002	MGTF-004 New/Transfer Employee Checklist	J:\EOTA QMS (ISO 9001)\New or Departing Employees Files	Secure storage	Term of contract	6.2.1, 6.2.2	2
MGTP-002	MGTF-005 Departing Employee Checklist	J:\EOTA QMS (ISO 9001)\New or Departing Employees Files	Secure storage	Term of contract	6.2.1, 6.2.2	2
MGTP-003	Report of Survey	EOTA Offices, Room 3	Secure storage	Term of contract	7.5.4	2
MGTP-003	Copy of law enforcement reports associated with the theft of Customer Supplied Property	EOTA Offices, Room 3	Secure storage	Term of contract	7.5.4	2
MGTP-003	MGTF-007 Equipment Check-Out Form	Filed in EOTA Front Desk area Room 18	Secure storage	Term of contract	7.5.4	2
MGTP-003	MGTF-010 Equipment Check-Out Form (In-House)	Filed in EOTA Front Desk area Room 18 (Active MGTF-010 attached to equipment cabinet in Room 6)	Secure storage	Term of contract	7.5.4	2
MGTP-001	Copy of Parent Company Specific Employee Performance Appraisal	SMS Offices DC	Secure storage	Term of contract	6.2.2	2
MGTP-002	Employee Resume	SMS Offices DC	Secure storage	Term of contract	6.2.2	2
Obsolete MGTP-004	MGTF-009 Employee Satisfaction Survey	Obsolete Process - Archival copies located in Rm. 20	Secure storage	Term of contract	6.1, 6.2.2, 6.4	2
	MGTF-011 EOTA Instructor Certificate Memo					2
MGTP-005	EOTA Inventory Control Database	J:\projects\property\database (permission only folder)	Back-up, secure server	Term of contract	7.5.4	2
MGTP-006	MGTF-012 Key Checkout Form	Filed in EOTA Front Desk area Room 18 (Active MGTF-010 attached to equipment cabinet in Room 6)	Secure storage	Term of contract	7.5.4	2

Note: See Legend tab for Disposition descriptions

Process	Record Name (Record Identification)	Location (Storage Retrieval)	Protection Method	Retention Time (at least)	Area of ISO Standard (if app.)	Disposition
ADMP-001	ADMF-001 Purchase Authorization	J:\Finacial\Purchase Authorization Log\2011 PAs	Secure storage	Term of contract	7.4.2, 7.4.3	2
ADMP-001	Procurement Process	Q-Pulse Document Module	Secure storage	Term of contract	7.4.1, 7.4.2, 7.4.3	2
ADMP-001	Purchase Order (Copy)	Filed with OLSS in Room 12	Secure storage	Term of contract	7.4.1, 7.4.2, 7.4.3	2
ADMP-001	ADMF-002 Government Purchase Transaction Worksheet	Filed with OLSS in Room 12	Secure storage	Term of contract	7.4.1, 7.4.2, 7.4.3	1
ADMP-001	ADMF-004 Purchase Authorization Log	J:\Finacial\Purchase Authorization Log	Back-up, secure server	Term of contract	7.4.1, 7.4.2, 7.4.3	2
ADMP-003	ADMF-005 Expense Payment Log	Filed with OLSS in Room 12	Secure storage	Term of contract	7.4.3	2
ADMP-001	ADMF-003 Purchase Order Log	Filed with OLSS in Room 12	Secure storage	Term of contract		2
ADMP-004	ADMF-007 EOTA Pre-Travel Authorization Form	Filed with OLSS in Room 12	Secure storage	Term of contract	4.2.1	2
ADMP-004	ADMF-017 Post Travel Summary	J:\EOTA QMS (ISO 9001)\Post Travel Summary	Secure storage	Term of contract	4.2.1	2
ADMP-004	ADMF-008 EOTA Post Travel Expense	Filed with OLSS in Room 12	Secure storage	Term of contract	4.2.1	2
ADMP-002N	ADMF-009 Vendor Audit Schedule	J:\EOTA QMS (ISO 9001)\Vendor Review Team (VRT)	Back-up, secure server	Term of contract	7.4.1, 8.4d	2
ADMP-002	ADMF-010 Vendor Audit Checklist	J:\EOTA QMS (ISO 9001)\Vendor Review Team (VRT)	Back-up, secure server	Term of contract	7.4.1, 8.4d	2
ADMP-002	ADMF-011 Vendor Audit Report	J:\EOTA QMS (ISO 9001)\Vendor Review Team (VRT)	Back-up, secure server	Term of contract	7.4.1, 8.4d	2
ADMP-003	ADMF-012 Equipment Log OBSOLETE	J:\tech\ (Specific folder TBD)	Back-up, secure server	Term of contract	7.5.4	2
ISDP-002	ADMF-014 Shipping Log	Filed with OLSS in Room 12 (FED EX Log)	Secure storage	Term of contract	7.1b, 7.2.2c	2
ADMP-002	ADMF-015 Vendor Evaluation Record	J:\EOTA QMS (ISO 9001)\Vendor Review Team (VRT)	Back-up, secure server	Term of contract	7.4.1, 8.4d	2
ADMP-001	ADMF-016 EOTA Vendor List	Filed in EOTA Administrative area 18 and electronically at J:\Administrative\Vendor list	Secure storage	Term of contract	7.4.1, 8.4d	2
ADMP-002	1) Sole Source Justification (narrative justifying use of vendor as sole source)	Filed with FMT in Room 2	Secure storage	Permanent Record		1
	2) Sole Source Justification (narrative justifying use of vendor as sole source)	Copy is to be filed with OLSS in Room 12	Secure storage	Term of contract		2
P-009	Meeting Minutes	J:\Staff Mtg. Minutes	Back-up, secure server	Term of contract	5.5.3	1

Note: See Legend tab for Disposition descriptions
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Process	Record Name (Record Identification)	Location (Storage Retrieval)	Protection Method	Retention Time (at least)	Area of ISO Standard (if app.)	Disposition
ITTP-011	ITTF-015 Student Support Log Living document-referenced for retrieval purposes only	J:\tech\ITlogs\Student Support Log	Back-up, secure server	Term of contract		2
ITTP-018	ITTF-013 Media Requests (EOTA Records)	Filed in EOTA Administrative area Room 18 and J:\tech\ITlogs	Secure storage	Term of contract		2
ITTP-015	ITTF-016 Website Development-Maintenance Log Living document-referenced for retrieval purposes only	J:\tech\ITlogs	Back-up, secure server	Term of contract	7.5.3	2
ITTP-012	ITTF-017 Graphic Design Log Living document-referenced for retrieval purposes only	J:\tech\ITlogs	Back-up, secure server	Term of contract	7.5.3	2
ITTP-013	ITTF-018 Desktop Support Log Living document-referenced for retrieval purposes only	J:\tech\ITlogs	Back-up, secure server	Term of contract		2
ITTP-014	ITTF-019 Network Support Log Living document-referenced for retrieval purposes only OBSOLETE	J:\tech\ITlogs	Back-up, secure server	Term of contract	7.5.3	2
ITTP-017	Application Design Template (Programming format utilized to develop narrative prior to completing ITTF- 020) OBSOLETE	Filed in individual application folder and by programmer Room 21	Back-up, secure storage	Term of application use activity	7.5.3	2
ITTP-017	ITTF-020 Application Programming Log Living document-referenced for retrieval purposes only	J:\tech\ITlogs	Back-up, secure server	Term of contract	7.5.3	2
ITTP-016	ITTF-021 WBT Programming Request Log	J:\tech\ITlogs, filed in individual course CHF Room 6	Back-up, secure storage	Term of course activity	7.5.3	3
ITTP-015	1) ITTF-014 Publication Review and Approval Form (Course Announcement)	Filed in individual course CHF Room 6	secure storage	Term of course activity		3
	2) ITTF-014 Publication Review and Approval Form (EOTA website news item)	Filed with OLSS in Room 12	secure storage	Term of course activity		3

Note: See Legend tab for Disposition descriptions

Process	Record Name (Record Identification)	Location (Storage Retrieval)	Protection Method	Retention Time (at least)	Area of ISO Standard (if app.)	Disposition
ISDP-001	ISDF-001 Technical Direction	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.2.1, 7.2.2, 7.3.2	3
ISDP-001	ISDF-004 Design Document	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.2.1, 7.2.2, 7.3.2	3
ISDP-001	ISDF-006 Script Template (WBT)	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.3.3	3
ISDP-001	ISDF-007 Lesson Plan Template (ILT)	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.3.3	3
ISDP-001	ISDF-012 ISD History File Checklist	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.3.3	3
ISDP-002	ISDF-017 Track Change Sheet	Filed electronically in individual course CHF (Hard copy may be printed and filed in EOTA Office, Room 6)	secure storage	Term of course activity	7.3.7	3
ISDP-002	ISDF-008 ILT Student Feedback Survey	Filed in individual course CHF (EOTA Offices, Room 6) Electronically stored in EOTA database (admin access required)	secure storage	Term of course activity	8.4a	3
ISDP-002	ISDF-005 WBT Student Feedback Survey	Filed as monthly report. Electronically stored in EOTA database (admin access required)	secure storage	Term of course activity	8.4a	3
ISDP-002	ISDF-009 Design/Development Review Checklist	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1d, 7.2.2, 7.3.4, 7.3.5, 7.3.6	3
ISDP-002	ISDF-010 After-Action Report	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1d, 7.2.2, 7.3.7	3
ISDP-002	ISDF-011 ISD History File Acceptance	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1d, 8.2.1	3
ISDP-002	ISD History File	For accepted /active courses this document is filed in individual ISDHf (EOTA Offices, Room 6) For courses in-production, this document is maintained in the office of the ISD staff member developing the course; electronic copy (compiled documents) in J:\Courses	secure storage, Secure server, Back-up	Term of course activity	7.1 through 7.5.5 inclusive	1
ISDP-002	ISDF-012 ISD History File Checklist	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-014 Course Announcement	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-015 ILT/Ex Course Support Checklist	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-018 Course Roster	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	Training Production Process	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-030 Test Matrix	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-035 Analysis Feasibility Assessment	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-040 Course Verification (Signatures Page)	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-041 Materials Production Checklist	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-042 Validation and Acceptance	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-044 Course Feasibility Assessment	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-045 Analysis Project Plan	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	ISDF-046 Training Design/Development Summary	Filed in individual course CHF (EOTA Offices, Room 6)	secure storage	Term of course activity	7.1 through 7.5.5 inclusive	3
ISDP-002	F-015 Nonconformance Report	J:\EOTA QMS (ISO 9001)\Current Required Folders\NCR	secure storage	Term of course activity	8.3	3

Note: See Legend tab for Disposition descriptions

Process	Record Name (Record Identification)	Location (Storage Retrieval)	Protection Method	Retention Time (at least)	Area of ISO Standard (if app.)	Disposition
QAMP-002	QMAF-001 Project Matrix Form OBSOLETE	J:\EOTA QMS (ISO 9001)\ISO Management Rep\QAM Reports	Back-up, secure server	Term of Contract	5.3c	2
QAMP-002	QAMF-002 Course Registry Review Schedule (Living document-referenced for retrieval purposes only)	J:\EOTA QMS (ISO 9001)\Current Required Folders\Docs\Active	Back-up, secure server	Term of Contract		1
QAMP-001	Test Item Analysis	J:\MONTHLY REPORTS FY11\QAM	Back-up, secure server	Term of course activity		2
QAMP-001	Monthly/Quarterly Status Report	J:\MONTHLY REPORTS FY11\QAM	Back-up, secure server	Term of Contract	8.4b	2
QAMP-001	Student Survey Report	J:\MONTHLY REPORTS FY11\QAM	Back-up, secure server	Term of Contract	8.4a	2

Note: See Legend tab for Disposition descriptions

Process	Record Name (Record Identification)	Location (Storage Retrieval)	Protection Method	Retention Time (at least)	Area of ISO Standard (if app.)	Disposition
P-002	REG-002 External Document Register	Q-Pulse Document Module	Back-up, secure server	Term of Contract	4.2.3	1
P-003	REG-003 Records Register	Q-Pulse Document Module	Back-up, secure server	Term of Contract	4.2.4	1
P-004	Business System Management Review (Includes metric Summary in section 5)	J:\EOTA QMS (ISO 9001)\ MGT Review	Back-up, secure server	Term of Contract	5.6.1	2
P-004	BSMR Metrics	J:\MONTHLY REPORTS FY11\METRICS	Back-up, secure server	Term of Contract	5.6.1	2
P-005	WBT/ILT/EX Surveys	J:\MONTHLY REPORTS FY11\QAM	Back-up, secure server	Term of Contract	5.6.1	2
P-006	BSMR Metrics	J:\MONTHLY REPORTS FY11\QAM	Back-up, secure server	Term of Contract	5.6.1	2
P-007	F-011 Internal Audit Report	J:\EOTA QMS (ISO 9001)\Current Required Folders\Audits\Internal Audit Activity\Audit Documentation\2011 Audits	Back-up, secure server	Term of Contract	8.2.2, 8.2.4	2
P-007	F-008 Internal Audit Schedule Notification	J:\EOTA QMS (ISO 9001)\Internal Audit Activity\J:\EOTA QMS (ISO 9001)\Current Required Folders\Audits\Internal Audit Activity\EOTA Audit Calendar\2011 Audit Documentation (by FY)	Back-up, secure server	Term of Contract	5.5.2	2
P-007	F-019 Audit Action Item Log	J:\EOTA QMS (ISO 9001)\Current Required Folders\Audits\Internal Audit Activity\Audit Documentation\2011 Audits	Back-up, secure server	Term of Contract	5.5.2	2
P-010	F-013 Process Deviation Record	J:\EOTA QMS (ISO 9001)\ Current required Folders\Process Deviation, Room 20	Back-up, secure server, secure storage	Term of Contract	8.2.4	2
P-010	F-014 Process Deviation Log	J:\EOTA QMS (ISO 9001)\Current Required Folders\Process Deviation	Back-up, secure server, secure storage	Term of Contract	7.2.2a-b, 7.2.2c+++, 7.3.4b, 7.3.7, 8.3a-c	2
P-011	F-015 Nonconformance Report	J:\EOTA QMS (ISO 9001)\Current Required Folders\NCR	Back-up, secure server	Term of Contract	8.3	2
P-011	NCR Log (No form number required)	J:\EOTA QMS (ISO 9001)\Current Required Folders\NCR	Back-up, secure server	Term of Contract	8.3	2
P-007	REG-005 EOTA Internal Audit Calendar	J:\EOTA QMS (ISO 9001)\Current Required Folders\Audits\Internal Audit Activity\EOTA Audit Calendar\2011	Back-up, secure server	Term of Contract	8.2.2	2
P-008	CAR/PAR Summary	J:\EOTA QMS (ISO 9001)\ MGT Review\J:\EOTA QMS (ISO 9001)\BMR MGT Review\BMR Docs\2011	Back-up, secure server	Term of Contract	5.6.1, 8.5.2, 8.5.3	2
P-008	CAR/PAR/IO	Q-Pulse Document Module	Back-up, secure server	Term of Contract	8.5.2, 8.5.3	2

Note: See Legend tab for Disposition descriptions