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Data Access and Interview Procedures	Page 1 of 14
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RECORD OF ISSUE/REVISIONS

ISSUE AUTHORIZATION DATE	EFFECTIVE DATE	REV. NO.	DESCRIPTION
1/23/2009	1/23/2009	0	Initial version of procedure describing the coordination and submission of data requests to the Department of Energy

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 in support of Dose Reconstruction (42 C.F.R. pt. 82) and Special Exposure Cohort Evaluations (42 C.F.R. pt. 83) under the energy Employees Occupational Illness Compensation Program Act (EEOICPA) of 2000.

Additionally, interviews with current and former workers are sometimes necessary to understand work practices and radiation monitoring in support of the Dose Reconstruction and Special Exposure Cohort evaluations. This procedure also outlines the steps to conduct these interviews and ensure the review of information in a manner that protects sensitive information. The steps outlined in this procedure are required for all data requests at all DOE and AWE sites.

2.0 SCOPE

This procedure applies to all NIOSH personnel, including special government employees (i.e. the Advisory Board on Radiation and Worker Health (ABRWH)) and all NIOSH contractors (including subcontractors working on behalf of the ABRWH), who are working on the EEOICPA project.

3.0 REFERENCES

- 3.1.** 42 C.F.R. pt. 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
- 3.2.** 42 C.F.R. pt. 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 28, 2004; SRDB Ref ID: 22001
- 3.3.** 10 C.F.R. pt. 1017 *Identification and Protection of Unclassified Controlled Nuclear Information*

4.0 GENERAL

This procedure must be used by all NIOSH personnel including special government employees (i.e. the Advisory Board on Radiation and Worker Health (ABRWH)) and all NIOSH contractors and subcontractors (including those working on behalf of the ABRWH), who work under the EEOICPA project. Specific responsibilities for key personnel are outlined below.

NIOSH Site Point of Contact (POC) or (designee)

The NIOSH Site Point of Contact is responsible for the overall implementation of this procedure. The NIOSH Site POC receives, coordinates, and submits all data requests to DOE, and ensures that the information captured is properly protected and uploaded to the Site Research Database (SRDB). The NIOSH Site POC is also responsible for coordinating any sensitive interviews with current or former workers to be conducted with the site. The NIOSH Site POC may designate in writing an authorized representative to act in their place for all responsibilities outlined below including submittal of requests and coordination with the DOE Site POC.

DOE Site Point of Contact

The DOE Site Point of Contact is responsible for coordinating with the NIOSH Site POC to provide site access for data review, coordinate onsite classification reviews, and submit reviewed and requested information to NIOSH. The DOE Site POC may also designate an authorized representative to act in their place for all responsibilities outlined below, including coordination of all aspects with the NIOSH Site POC.

DOE Headquarters Point of Contact

The DOE Headquarters Point of Contact is responsible for coordinating and providing funding to the DOE Site to support NIOSH requests for information. The DOE Headquarters Point of Contact is responsible for coordinating the transmittal of appropriate clearance information to enable NIOSH and their contractor's access to sensitive information. The DOE Headquarters Point of Contact is responsible for confirming NIOSH's "need to know" as established by EEOICPA and should provide the DOE Site POCs with the "confirmation" that NIOSH has an established "need to know" with the DOE Site POCs.

NIOSH Contractor Site Point of Contact

The NIOSH Contractor Site Point of Contact is responsible for coordinating their team's data requests including the conduct of sensitive interviews. All requests for information and sensitive interviews are to be submitted through the NIOSH Site Point of Contact.

5.0 PROCEDURE

5.1. Requesting Information

During Site Profile development and/or review in support of Dose Reconstruction, Special Exposure Cohort petition evaluations, or for other reasons, additional information from the Department of Energy is generally necessary to address scientific issues related to the estimation of worker radiation dose. In these instances, it becomes necessary for NIOSH to formally request the additional information from the Department of Energy.

Before any request is submitted, the NIOSH Site POC is responsible for checking the Site Research Database to ensure the information has not already been obtained from the site or is publicly available from other DOE resources such as the Office of Science, Technology and Information (OSTI) OpenNet / Information Bridge. Once the NIOSH site POC has determined that this information is not in any NIOSH records holdings, a formal request can be made.

5.1.1. Initial Contact

NIOSH Site POC shall contact the DOE Headquarters Point of Contact to open dialog regarding the nature of the information needed and whether the request is singular or will be part of a larger ongoing request such as an SEC evaluation, Site Profile development, or Site Profile review. The purpose of this initial contact is to provide advanced notice to DOE-Headquarters so that they can provide some basic support for the site especially for large requests where the site may require additional funds.

5.1.2. Submittal of Formal Request

The NIOSH site POC prepares and submits a formal written request for information (letter) to the DOE Site POC. This request should describe in as much detail as possible the information needed and the purpose for which the information is being requested (i.e. Site Profile development, Site Profile review, or SEC petition evaluation).

There are basically two methods by which DOE may respond to the request for information. The first, following the submittal of a formal request from the NIOSH Site POC to the DOE Site POC, is for DOE to provide the information with no additional involvement from NIOSH or its contractors. In this instance, the Department of Energy ensures that all of the documents have been reviewed for sensitive information, are clearly marked, and then formally transmitted to NIOSH.

The second method, while far more complicated, is often the most efficient use of both NIOSH and DOE resources. This method involves extensive coordination between the NIOSH Site POC and the DOE Site POC. For very large requests, that involve DOE retrieving records from onsite repositories or from Federal Records Centers (FRC), it is often beneficial for NIOSH or its contractors to review the information before data capture to ensure the information is useful and pertinent to the Site Profile development, review, or the SEC Petition evaluation. In most instances this review requires an onsite visit, typically by Q-cleared individuals. DOE site access, the conduct of the data review, and the data capture steps are outlined in sections 5.1.3 through 5.1.5 below.

5.1.3. Site Access for NIOSH Personnel and NIOSH Contractors

In this section the typical steps and responsibilities to enable NIOSH and its contractor's access to the site are described.

5.1.3.1. Establishing Date of Visit to Site

The NIOSH Site POC will coordinate with the DOE Site POC to arrange an agreed upon date that NIOSH or its contractors can visit the site to conduct the review.

5.1.3.2. Participating Individuals

The NIOSH Site POC will submit a list of individuals that will be participating in the data review to the DOE Site POC. When necessary, the NIOSH Site POC will provide completed "Request for Visit or Access Approval" forms (DOE Form 5631.20) to the DOE Headquarters POC for all NIOSH personnel or contractors requesting DOE site access. The NIOSH Site POC (or designee) will coordinate with the DOE Site POC site access for all NIOSH contractors, subcontractors, the ABRWH, and the ABRWH contractors. The NIOSH Site POC is also responsible for transferring special access requests to the DOE Headquarters POC.

5.1.3.3. Site Badging and Training

The DOE Site POC will coordinate with the DOE Headquarters POC and with the site security personnel to ensure appropriate badging (including sigmas if necessary, to enable site access. In addition, the DOE Site POC is responsible for determining if an additional training is required to facilitate and complete access.

Note if any onsite training is required, the DOE Site POC will coordinate with the NIOSH Site POC to ensure adequate time is allowed for the training before the data review is conducted.

5.1.4. Data Review

In this section, the actual conduct of the review is discussed including the identification of records to be captured and necessary data logging information.

5.1.4.1. Site Classification Overview and Introduction

NIOSH staff and contract reviewers will meet with NNSA/DOE site classification office for brief overview of site sensitivities. This introduction will serve to familiarize the NIOSH Site POC with subject area and keyword indicators that may contain restricted data or other controlled information.

5.1.4.2. Retrieval of Information

The DOE Site POC will coordinate with site personnel to retrieve the information requested in step 5.1.2 and provide a space/location for NIOSH and/or its contractors to conduct their review.

5.1.4.3. Communication of Information

The NIOSH Site POC (or designee) will coordinate and communicate with the data capture team the information (data / records) to be technically reviewed, and will coordinate the conduct of the technical review.

5.1.4.4. Documentation of the Review

During the technical review of information, each reviewer should fill out OCAS-FORM-003, "Data Tracking Log Sheet" (Appendix A), identifying the information reviewed. This is not a requirement, but is a good records review practice.

5.1.4.5. 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" (Appendix B) describing the information, where it was found and for which purpose it was originally being requested. Each NIOSH contractor may develop their own form that complies with the intent of OCAS-FORM-004, as long as all of the pertinent information is recorded such that the information can be entered into the Site Research Database (SRDB).

5.1.4.6. Classification Review of Identified Information

Once the information to be captured has been identified, the DOE Site POC will coordinate with the site classification officer to review the information and provide the appropriate security markings (*e.g.* UCNI, OOU, or Unclassified: Approved for Public Release) as necessary on each document or data set before it is captured.

5.1.5. Data Capture

For the data capture, some coordination between the NIOSH Site POC and the DOE Site POC is necessary. As with the initial request, there are two basic methods for which the reviewed data can be captured. The first is that DOE provides either a hardcopy of the appropriately marked information and NIOSH and/or its contractors scans/captures the information. The second is that Site Personnel scan the requested and security marked information and provide an electronic copy to the NIOSH Site POC.

5.1.5.1. NIOSH or its Contractors Conduct Scanning

When NIOSH or its contractors conduct the scanning, the DOE Site 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.

5.1.5.2. DOE Conducts Scanning

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

5.2. Interviews

In support of Site Profile development and review or in support of Special Exposure Cohort Evaluations, interviews with current or former workers are often beneficial to understanding site operations and radiation monitoring practices. These interviews differ from the Computer Assisted Telephone Interview (CATI) in that the interview is non-claimant specific. The material discussed during these interviews generally involves more process information as well as site radiological 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 NIOSH Site POC must coordinate with the DOE site POC to establish a time and location for the interview to be conducted such that the interviewee is not penalized for his/her participation. 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.

5.2.1. Interviews with Workers

When conducting interviews with workers at any DOE or AWE sites 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. At the initiation of the interview, the following text shall be read to the interviewee.

“This interview is being conducted as part of the (Site Profile development / Site Profile Review / SEC Petition Evaluation) for the _____ site. You have been selected as an individual with intimate knowledge of the (operations / radiation monitoring practices) at ____ (site). Please note this interview and your responses are not a formal affidavit, or legal document, but a tool to assist NIOSH and/or its contractors in understanding the (sites operations / radiation monitoring practices). Since this site was part of the DOE Nuclear Weapons complex there are certain restrictions as to what can be discussed here today in an uncontrolled area. We ask that you not disclose any sensitive or potentially sensitive information with us today. If you believe this type of information is necessary to our understanding of the (site operations / radiation monitoring practices) we will be happy to arrange a follow-up interview with you at a secure federal facility where you will be allowed to discuss sensitive information. Do you have any questions? Do you wish to continue or do you request we conduct this interview in a secure Federal facility?”

5.2.1.1. Concurrence Not to Disclose Sensitive Information

If the interviewee agrees to continue, the interview may be conducted.

5.2.1.2. Request for Interview in Secure Federal Facility

If the interviewee wishes to conduct the interview in a secure federal facility, the NIOSH Site POC will coordinate with the DOE Site POC to schedule an interview in an approved secure location. In addition, the DOE site POC will provide a written disclosure letter to the interviewee authorizing them to be interviewed by the appropriately cleared NIOSH personnel and / or their contractors and to authorize the disclosure of sensitive or controlled information.

5.2.2. Documentation of the Interview

Upon completion of the interview, a transcript of the questions and responses will be documented using OCAS-FORM-005, “Documented Communication” (Appendix C) for entry into the Site Research Database (SRDB). Before entry into the SRDB, a classification review must be conducted by the DOE Site Classification Officer.

5.2.2.1. Classification Review for Non-Secure Facility Interview

For interviews conducted in non-secure locations, OCAS-FORM-005 and the typed notes will be submitted to the DOE Site 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 NIOSH Site POC will maintain documentation of the submittal date, subject matter, and will be responsible for tracking requests for DOE review.

5.2.2.2. Classification Review from Secure Federal Facility Interview

If the interview is conducted on the DOE site of interest or at a secure federal facility, the OCAS-FORM-005 and 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. *(Note: care must be taken either during or following the interview to explicitly record the exact language that will appear in a final version before the notes are submitted to the DOE Classification Officer for review. Any changes to the interview transcripts after a classification review has been completed will require another classification review.)*

5.2.2.3. Final Documentation

Once the interview notes are reviewed, marked unclassified, and obtained from the DOE Classification Officer, the interview notes should be provided to the interviewee to ensure concurrence with the statements within the interview. *(Note: this is not an opportunity to elicit additional information especially from interviews conducted in secure federal facilities, but to give the interviewee a chance to review and ensure that the information as recorded is accurate and factual. If additional information is volunteered, another interview should be scheduled in a secure facility, and the procedures described in 5.2.2.2. followed.)*

5.2.2.4. Submittal to the SRDB

Unclassified interview notes, which contain neither Unclassified Controlled Nuclear Information (UCNI) nor Export Controlled Information (ECI), will then be submitted, along with Form OCAS-5, 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 C.F.R. 1017. A Form OCAS-5 can be submitted to the SRDB as a placeholder for the full document.

Classified interview notes and documentation will be kept in secure storage for NIOSH by the DOE site POC or by the DOE Headquarters EEOICPA Point of Contact. Unclassified interview notes should be provided to NIOSH whenever possible.

5.2.3 Review of Documents Received During Interviews

Occasionally, an interviewee has possession of additional documentation useful to NIOSH. Sometimes, this documentation does not contain any classification markings (OUO, UCNI, ECI, other), thus the disposition of the documents is not actually known. Some interviewees have been and are willing to provide a hard copy of these documents upon 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.

5.2.3.1 Copying Unmarked Documents

Upon receipt of unmarked documentation from an interviewee, the NIOSH Site POC or designee shall have the original documents *copied* (not scanned) thus creating a second hard copy of the originals. Upon copying, the original documents shall be returned to the interviewee. *(The goal for copying not scanning the documents is to prevent the inadvertent inclusion of unmarked documentation into the SRDB).*

5.2.3.2 Submittal of Unmarked Documents for Classification Review

The NIOSH Site POC or designee shall submit the copied documents to the DOE Site POC for classification review.

5.2.3.3 Review of Unmarked Documents

The DOE Site POC shall coordinate the classification review and ensure that all of the documents are appropriately marked (OUO, UCNI, ECI, Unclassified: Approved for Public Release or other). The DOE Site POC shall provide the marked hard copy documents to the NIOSH Site POC for inclusion into the SRDB.

5.2.3.4 Submittal to the SRDB

Documents which do not contain Unclassified Controlled Nuclear Information (UCNI) or Export Controlled Information (ECI) will then be submitted, along with Form OCAS-4, to the custodians of the Site Research Database for entry and formal documentation. Documents 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 C.F.R. pt.1017. Form OCAS-4 can be submitted to the SRDB as a placeholder for the full document.

If the documents are determined to contain sensitive information, the documents will be kept in secure storage for NIOSH by the DOE site POC or by the DOE Headquarters EEOICPA Point of Contact.

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6.0 RECORDS

The following records are generated as applicable.

7.0 APPLICABLE DOCUMENTS

7.1. OCAS-FORM-003, “Data Tracking Log Sheet”

7.2. OCAS-FORM-004, “Document Review / Request Form”

7.3. OCAS-FORM-005, “Documented Communication”

8.0 DEFINITIONS

8.1. None

Appendix A, OCAS-FORM-003 - Data Tracking Log Sheet

Date : _____

Box Number Document Number	Requested Yes No		Document or Folder Title and description of contents	Site	Reviewer

OCAS-FORM-003 Rev 0 - 09/01/2008

Appendix B, 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)
	<input type="checkbox"/> Environmental Monitoring (i.e., ambient radiation, onsite releases, onsite radionuclide concentrations)
15. Sites to Which Document Applies (check all that apply):	<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"/> DOE 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"/> AWE Sites Names:	<input type="checkbox"/> Individual/Group Data (i.e., individual or group data)
<input type="checkbox"/> General Information	
To Be Completed By Records Management	
17. File Name (if electronic):	
18. Project Document Number:	

Appendix C, OCAS-FORM-005 Documented Communication

DOCUMENTED COMMUNICATION	OCAS-FORM-0005 Rev 0
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This form should be completed by interviewer when verbal communication needs to be documented. Send the completed form and any attachments to: The record copy will be maintained and distributed as appropriate.

Interviewer in Communication	
1. Employee Name:	
2. Phone:	
3. E-mail:	4. Task Number:
Communication With	
5. Name and Title:	
Phone:	E-mail:
Employer:	
6. Name and Title:	
Phone:	E-mail:
Employer:	
7. Name and Title:	
Phone:	E-mail:
Employer:	
8. Name and Title:	
Phone:	E-mail:
Employer:	
9. Name:	
Phone:	E-mail:
Employer:	
Description of Communication	
10. Date(s) of Communication:	
11. Method of Communication:	<input type="checkbox"/> Telephone <input type="checkbox"/> In Person
12. Attachment(s) Included:	<input type="checkbox"/> Yes <input type="checkbox"/> No

Subject	
13.	
Discussion	
14.	
15. Signature: _____	Date: _____
Interviewer	