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**UMTRA PROJECT OFFICE RECORDS
MANAGEMENT PLAN**

June 1993

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LIST OF ACRONYMS

<u>Acronym</u>	<u>Definition</u>
AL	Albuquerque Operations Office
CFR	Code of Federal Regulations
DOE	U.S. Department of Energy
MSD	Management Support Division
NARA	National Archives and Records Administration
RMP	Records Management Plan
TAC	Technical Assistance Contractor
UMTRA	Uranium Mill Tailings Remedial Action
UPAFC	UMTRA Project Administrative Files Collection
UPDCC	UMTRA Project Document Control Center
QA	quality assurance

CHANGE HISTORY

Document version	Date	Pages/comments
Ver. 1	6/4/93	Initial version.
Ver. 2	6/8/93	Extensively revised.

UMTRA PROJECT OFFICE RECORDS MANAGEMENT PLAN

PHASE I

INTRODUCTION

The Uranium Mill Tailings Remedial Action (UMTRA) Project Office maintains two distinct records handling areas. One of the areas is maintained by a Technical Assistance Contractor (TAC), and is referred to as the UMTRA Project Document Control Center (UPDCC). The UPDCC manages all UMTRA records except those dealing with contracts, personnel, budgeting, finance, and any other documents which are of a purely administrative nature. The second area, the UMTRA Project Administrative Files Collection (UPAFC), contains all those records listed above that are not managed by the UPDCC.

This Records Management Plan (RMP) for the UPAFC will be the framework for identifying the elements and activities that relate to the management and operational aspects involved in the handling of UPAFC. Guidelines for the program will be obtained from U. S. Department of Energy (DOE) Orders. DOE Orders implement the guidelines issued by the National Archives and Records Administration (NARA), the final authority for records management. The RMP will address the life cycle of records, including their creation, maintenance, use, and disposition.

ELEMENT 1 - POLICIES AND PROCEDURES

OVERVIEW

The UMTRA Project staff is dedicated to meeting the requirements stated in all records-related DOE Orders, and the U.S. Code of Federal Regulations (CFR) during operation of the UPAFC. To this end, procedures will be developed to ensure consistency and continuity of operations and to provide standard instructions for performing each records management task.

SIGNIFICANT COMPONENTS

- Policies and procedures.

Procedures should implement established policies, standardize all records management operations, define authorities and responsibilities, and assist in training and communication. Standard operating procedures for the UPAFC have not been developed.

Activity to correct deficiency: In order to implement the records management regulations and policies of the DOE, the DOE/UMTRA Project Office will develop policies and procedures that will address, at a minimum, the following elements of a viable records program:

- Records creation and characterization.
- Records maintenance and use.
- Records dissemination and disposition.

The policies and procedures of the UPAFC RMP will be incorporated into a records management manual, which will be designed not only to fix responsibility for performing assigned duties, but also to identify procedures for discharging such responsibilities. Additionally, the manual will contain other pertinent information, such as:

- The filing index and methodology.
- List of applicable DOE Orders and Federal Regulations.
- Copies of the General Records Schedule and the DOE Records Schedule.

Milestone: December 1994

ELEMENT II - TRAINING AND AWARENESS

OVERVIEW

The DOE/UMTRA Project Office is aware of the importance of training both the staff and users of the UPAFC. Continual reinforcement, through training, of the value and importance of DOE documentation is necessary to ensure a constant awareness of the goals and objectives of government records centers.

SIGNIFICANT COMPONENTS

- Although annual training of users is an important ingredient in an overall training program, it is also important to provide immediate orientation to new employees. The DOE/UMTRA Project Office does not have an established formal records management training program at the present.

Activity to correct deficiency: The UMTRA Project's TAC will be providing records management training to all UMTRA Project personnel (including DOE staff) beginning in February 1994. The training program will consist of:

- Annual training sessions, to be held in February of every year, with mandatory attendance by all DOE staff.
- Orientation training sessions for new hires, which must be conducted no later than 5 working days after employment commences. The orientation will include receipt of a comprehensive desk guide to records management procedures, a walk-through of the UPAFC, and an explanation of the importance of DOE records and each employee's responsibilities regarding DOE records.

Milestone: February 1994

- The DOE and the NARA provide several opportunities every year for staff training. An annual meeting of records professionals is sponsored by the DOE to keep records management officers informed of the goals and objectives of the DOE and the NARA and to cover new rules and regulations or changes to established procedures.

Activity to correct deficiency: The DOE records management officers will attend each annual DOE Records Management Conference and at least one NARA training session per year.

Milestone: October 1993

ELEMENT III - RECORDS CREATION

OVERVIEW

The UMTRA Project Office is aware that the creation of records represents almost 75 percent of the cost of a document (Ricks *et al.*, 1992). Records are created internally from handwritten drafts, data, or word processors. Externally, they originate from computer output, telecommunication systems, or mail.

SIGNIFICANT COMPONENTS

- Identification, development, issuance, and review of recordkeeping requirements.

Activity to correct deficiency: Recordkeeping requirements will be identified by the UMTRA Project Office during the development of policies and procedures (Element I of the RMP). These requirements will be incorporated into the records management manual, and a procedure for auditing this component will be established. See Element I of this plan.

Milestone: See Element I.

- Identification and segregation of record and non-record materials.

Activity to correct deficiency: The UMTRA Project Office will make definite distinctions between record and non-record materials and segregate these documents to ensure non-record materials do not encumber the filing system.

The difference between record and non-record materials will be documented and incorporated in the records management manual, and a method for segregating these documents will be established.

Milestone: March 1994.

- Identification of temporary and permanent records.

Activity to correct deficiency: The UMTRA Project Office has already identified its temporary and permanent records during an inventory of its records holdings in April 1992. A copy of this inventory was forwarded to the Policy and Appraisal Branch, Information Management Division, DOE Albuquerque Operations Office (AL). No further corrective activity is required.

- Identification and application of maintenance requirements to vital, quality assurance, and epidemiological records.

Activity to correct deficiency: This task was accomplished during the inventory and scheduling of the UPAFC. See Element V of this plan for an expanded discussion of this item. No further corrective activity is required.

- Identification of working files that must be maintained as record material.

Files or documents that are routinely kept in staff offices as opposed to the UPAFC central file room must be identified, and appropriate filing, finding, and protection guidelines must be set forth to ensure these records are handled with the same care as all other records.

Activity to correct deficiency: Identify all working files that must be maintained as records. Include each segment in the filing index, and prepare a procedure for handling documents not contained in the central files.

Milestone: March 1994.

- Identification and segregation of personal papers.

Personal, private, and non-official papers should be identified during document classification, indexing, and logging to ensure these documents are not included in the records system files.

Activity to correct deficiency: Develop a procedure to identify all personal, private, and non-official papers. Establish methods for ensuring these documents are not included in the UPAFC.

Milestone: March 1994.

- Development of program and Project standards for adequate and proper documentation.

Activity to correct deficiency: This item is addressed in detail in Element I of this plan.

- Development of administrative and physical controls to ensure Federal records are not lost or removed from departmental custody.

Administrative and physical controls should be developed and documented to ensure the physical protection of records and to describe the methods that should be used to legitimately access the UPAFC facility and equipment.

Activity to correct deficiency: Records security controls will be established and communicated to staff through the records management manual and during the training to be developed as part of Element II of the RMP.

Milestone: December 1993.

ELEMENT IV - RECORDS MAINTENANCE

OVERVIEW

Records maintenance is a vital consideration in the storage and retrieval function of a records management program. Records must be housed for safety and preservation but must also be available for quick retrieval when needed for reference. Records not secured in a vital records protection area, but requiring similar protection, should be housed in equipment that offers both fire protection and access limitation. Locks, insulation, and restricted areas may be required to safeguard records in everyday use.

SIGNIFICANT COMPONENTS

- Standardized system of coding/indexing.

Although the UMTRA Project Office has developed an indexing system for its records, the index has areas of redundancy that must be eliminated.

Activity to correct deficiency: Identify all redundant index categories and issue a files index that contains a complete list of all recognized document categories.

Milestone: December 1993.

- Development of local filing procedures.

Activity to correct deficiency: The UPAFC will be managed following classic records management protocol. Duplicate copies of correspondence will only be filed when cross-filing is required; all file folders will be clearly labeled with the index number and corresponding subject title pertaining to the documents contained within; each document will be labeled with the index number assigned to it; and documents will be kept in chronological order within each index category.

The UMTRA Project Office will ensure that all Project documents are filed in storage containers suitable for the size, retrieval requirements, and security of each document. Adequate space for records storage will be provided to preclude defacement, tearing, or damage to documents. The Project Office will store its documents in facilities protected from dirt, dust, fire, water, weather damage, and theft to the extent practicable. Security will be based on access to documents only when authorized personnel are present. The records center will be securely locked at all other times. Procedures will be written that will require employees to return all sensitive documents in their safekeeping before leaving the Project.

A procedure will be created that outlines all appropriate filing procedures to ensure the system employs responsible records management protocol and complies with DOE Order 1324.8, Rights and Interests Records Protection Program, and the Privacy Act of 1974.

Milestone: See Element I.

- Maintenance procedures for specialty records.

Activity to correct deficiency: The UPAFC does not contain any specialty documents other than non-record copies of photographs and design drawings. Record copies of these documents are retained by Project Document Control centers. No corrective activity is required.

ELEMENT V - RECORDS DISPOSITION

OVERVIEW

The UMTRA Project Office completed an inventory of its records and submitted the inventory and a Records Inventory and Disposition Schedule to the DOE/AL in April 1993. Ongoing plans to ensure that the UPAFC remains in compliance with all regulations relating to records disposition are included in the significant components of this RMP.

SIGNIFICANT COMPONENTS

- Inventory.

Activity to correct deficiency: A systematic plan for inventorying DOE/UMTRA records is recognized as a vital tool for identifying all record series held in a record collection. Although this task was performed as recently as two months ago (April 1993), plans to formalize the process to the extent that annual reviews are conducted are in process. A records inventory plan and schedule will be developed, documented, and incorporated into the records management manual for implementation on an annual basis.

Milestone: See Element I.

- Appraisal and scheduling.

Activity to correct deficiency: The proper evaluation of a record series to determine if it has permanent or temporary value and, if temporary, how long it should be retained is dependent on the expertise of several disciplinary elements within the DOE/UMTRA Project staff. To date, all records in the UPAFC that have been scheduled for disposition have fallen within schedules already determined either by the General Records Schedule or the DOE Records Schedule. Records that require schedules that are not available in these two guidelines will be appraised by the task manager responsible for generating or causing the generation of a filing series, the UMTRA Project records coordinator, the quality assurance manager, and the UMTRA Project Manager. When the DOE/UMTRA Project records disposition procedure is being prepared (see Element I), narrative that addresses records appraisal will be included.

Milestone: See Element I.

- **Transfer.**

Activity to correct deficiency: Because the UMTRA Project came into existence in 1978, its records will not fall under the 30-year NARA rule until the year 2008. The UMTRA Project Office is aware of Announcement Management Support Division (MSD) No. 22, dated May 6, 1993, which deals with the recent establishment of a standard operating procedure for the process of transferring, retrieving, and disposing of records to and from the AL Records Center. This procedure will be used to transfer any record series that is permanent or that must be retained for longer than 5 years. The applicable procedures required to comply with Announcement MSD No. 22 will be incorporated into the records disposition procedure.

Milestone: See Element I.

- **Current storage.**

Activity to correct deficiency: The UMTRA Project Office will establish procedures to ensure that record copies of documents with retention periods shorter than 5 years will be routinely destroyed according to authorized disposition schedules. Record copies of documents that must be held longer than 5 years will be transferred to the AL Records Center within 5 years of their origination. Adherence to these procedures will qualify the UPAFC as a "records staging area," which does not require compliance with 36 CFR 1228.222. The action required to ensure record copies of documents are not held in the UPAFC longer than 5 years will be incorporated in the records disposition procedure.

Milestone: See Element I.

ELEMENT VI - ELECTRONIC RECORDS

OVERVIEW

The UPAFC does not contain any record copies of electronic records.

ELEMENT VII - MICROGRAPHICS

OVERVIEW

The UMTRA Project Office does not generate or receive documents in microfilm form, nor does the UPAFC contain any micrographic materials.

ELEMENT VIII - AUDIOVISUAL RECORDS

OVERVIEW

The UMTRA Project Office does not generate or store any audiovisual records.

ELEMENT IX - VITAL RECORDS AND DISASTER RECOVERY

OVERVIEW

Although UMTRA Project records do not affect the nation's security, the UMTRA Project Office is the office of record for documents whose loss or destruction would necessitate costly restitution.

SIGNIFICANT COMPONENTS

- Identification of vital records. The UMTRA Project Office has determined that any UMTRA Project document of record that supports, proves, and documents compliance with the Project's stated goals (Public Law 95-604) is considered vital (insofar as no other document or documents provide the exact information). To date, no formal procedure exists to identify what specific documents might fall into this category other than certification letters, which currently are duplicated and kept in vault storage in a remote location.

Activity to correct deficiency: Establish policy and procedures for identifying vital records and rights and interests records and incorporate into the records management manual.

Milestone: See Element I.

- Disaster recovery.

Currently, no formal system exists that provides for duplicate copies of vital records to be maintained and stored in separate locations.

Activity to correct deficiency: Establish a vital records program that contains policies and procedures providing for adequate protection of records from natural disasters.

Milestone: July 1994.

ELEMENT X - EVALUATION

OVERVIEW

Evaluation of the UPAFC includes two elements: 1) independent assessments [quality assurance (QA) audits] and 2) self-assessments. The objectives of this evaluation are to focus on improving activities and processes by emphasizing the organization's achievement of quality and to identify compliance with regulatory guidance or areas requiring improvement.

SIGNIFICANT COMPONENTS

- Independent assessments (QA audits).

Activity to correct deficiency: Independent assessments are conducted periodically to determine the degree of compliance to regulatory and UMTRA Project requirements. The documented results provide the UPAFC an independent technical and/or programmatic evaluation of UPAFC activities for information and action, as appropriate. No further corrective activity required. Procedures are already in place.

- Self-assessments.

Activity to correct deficiency: The DOE UMTRA Project self-assessment program is currently under development. Managers of the UPAFC will be required to conduct self-assessments to determine the degree of compliance with Project plans and procedures as well as to determine the degree of compliance to Federal laws and regulations.

Milestone: December 1994.

STAFFING AND FUNDING

STAFFING

The staffing figures presented below are based on the assumption that 160 hours of working time are available per month and presume that normal records management activities consume approximately three hours of each working day.

FUNDING

There has been no funding allocated to support the records management activities addressed in this plan. Budgeting for the implementation and maintenance of the records management program will be presented to the UMTRA Project's Change Control Board in July 1993.

Staffing for implementation phase

Element	Description	Total Hours	7/93	8/93	9/93	10/93	11/93	12/93	1/94	2/94
Ia	Develop procedures	225	40	30	30	30	30	25	20	20
Ib	Write records manual	155	10	10	20	30	30	25	20	10
Ilb	Attend training	70					30	40		
IIla	Identify requirements	50							30	20
IIlb	Identify records/ non-records	20								20
IIlc	Identify working files	20								20
IIId	Identify personal papers	20							10	10
IIle	Security controls	80		20	20	20	10	10		
IVa	Indexing/files maintenance	160	50	40	30	20			20	
Total		800	100	100	100	100	100	100	100	100

Staffing requirements for yearly maintenance

Element	Description	Total hours	3/94	4/94	5/95	6/94	7/94	8/94	9/94	10/94	11/94	12/94	1/95
Ia	Maintain procedures	80	10	10	10	10	5	5	5	5	5	5	5
Ib	Update records manual	80	5	5	5	5	5	5	5	5	10	10	10
Ilb	Attend training	80				40				40			
IIlb	On-going records identification	80					10	10	10	10	10	10	10
IIlc	On-going working files ID	80	5	10	10	10	5	5	10	5	5	5	5
IIId	On-going ID of personal papers	80		8	8	8	8	8	8	8	8	8	8
IIle	Security controls	120	10	10	10	10	10	10	10	10	10	10	10
IVa	Monitor index	160	20	20	10	10	10	20	10	10	10	10	20
IVb	Monitor filing procedures	160	10	10	20	10	20		20	10	20	20	10
Va	Conduct semiannual inventory	80	40					40					
Vb	Appraise and schedule records	160		30	30			30			10		30
IXa	Develop vital records program	40					20					20	
Grand total		1200	100	103	103	103	93	103	103	103	93	98	98
													100

REFERENCES

Ricks *et al.* (B. R. Ricks, A. J. Swafford, and K. F. Gow), 1992. *Information and Image Management*, 3rd Edition, South-Western Publishing Co., Cincinnati, Ohio, p. 453.

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