UMTRA PROJECT DOCUMENT CONTROL SYSTEM MANUAL

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**UMTRA PROJECT
DOCUMENT CONTROL SYSTEM
MANUAL**

September 1994

**U.S. Department of Energy
Uranium Mill Tailings Remedial Action (UMTRA)
Project Office
Albuquerque Operations Office
Albuquerque, New Mexico 87108**

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LIST OF ACRONYMS AND ABBREVIATIONS

<u>Acronym</u>	<u>Definition</u>
ANSI	American National Standards Institute
DOE	U.S. Department of Energy
NARA	National Archives and Records Administration
NMA	National Micrographics Association
OSTI	Office of Scientific and Technical Information
PDCC	Project Document Control Center
PDCS	Project Document Control System
TAC	Technical Assistance Contractor
UMTRA	Uranium Mill Tailings Remedial Action
UPAFC	UMTRA Project Administrative Files Collection

1.0 PURPOSE

This manual defines the Project Document Control System (PDCS) operated by the U.S. Department of Energy (DOE) Uranium Mill Tailings Remedial Action (UMTRA) Project Office. The purpose of the PDCS is to provide an active and continuing program for acquiring, controlling, retaining, retrieving, retiring, and disposing of all UMTRA Project documents. The PDCS also provides guidance and coordination in transferring documents by various UMTRA Project document control centers to a central location.

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2.0 SCOPE

The UMTRA PDCS shall encompass all centers maintained by Project participants that contain documents gathered and received as part of the effort to support the UMTRA Project. The Project Document Control Center (PDCC) maintained by the UMTRA Project Office in Albuquerque, New Mexico, shall be the principal document control center, providing administrative and procedural guidance to the various centers within the system, and shall coordinate the handling and disposition of all UMTRA Project documents among all Project participants. The system shall exclude company-specific accounting, procurement, contractual, personnel, or legal documents, or other personal correspondence.

A separate records collection, the UMTRA Project Administrative Files Collection (UPAFC), will be maintained by the UMTRA Project Office. Records held in this collection will include those dealing with internal DOE matters such as contracts, personnel, budgeting, funding, and any other documents that are either of a sensitive nature or are not appropriate for handling by contract personnel.

Document control centers maintained by the states and tribes in conjunction with the UMTRA Project shall not be governed by this manual; however, states and tribes are encouraged to use the UMTRA PDCS manual as guidance while establishing, maintaining, and safeguarding UMTRA Project documents. Finally, to remain current with Project direction and requirements, the contents herein shall be reviewed and updated annually, or as significant changes warrant.

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3.0 DEFINITIONS

The following definitions and related acronyms will be used throughout this document.

3.1 ACTIVE STORAGE

Active storage is the disposition of documents in current use for reference and action. Active storage locations are usually those in the immediate proximity of the various Project participants.

3.2 CERTIFICATION DOCUMENTS

Certification documents certify that a site meets U.S. Environmental Protection Agency standards before a license is issued by the Nuclear Regulatory Commission.

3.3 CONTROLLED PROJECT DOCUMENT

A controlled UMTRA Project document is usually one subject to frequent revision and controlled through the use of a limited release system. The document is issued using unique identifiers assigned to specific individuals. As revisions are made, holders of the document are notified of and provided with the revisions. Upon receiving a controlled document, the holder shall sign a receipt acknowledgment form and return the form to the organization responsible for the control of the document. Holders are also notified when the document becomes obsolete.

3.4 CORRESPONDENCE

Correspondence includes general and site-related letters, memoranda, and similar documentation concerned with the administration and operation of the UMTRA Project.

3.5 CORRESPONDENCE CONTROL NUMBER

A correspondence control number is used by the UMTRA PDCC to identify and locate active correspondence materials.

3.6 DRAWINGS AND SPECIFICATIONS

Documents that graphically portray the details of engineering, design, and construction of Project remedial action are referred to as drawings. Descriptive narrative that explains drawings and related details is called a specification.

3.7 FIELD DATA

Field data include calculations, logs, test results, drilling records, and other documents.

3.8 MAPS

Maps can be topographic, boundary survey, geologic, city, or any other maps used for engineering design, field work, site reconnaissance, and similar work.

3.9 MICROFILM PROGRAM

The microfilm program is performed by the UMTRA PDCCs to convert inactive records to microforms and transfer the corresponding paper records to records holding areas.

3.10 NONRECORDS

Nonrecords are library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents not included in the definition of records.

3.11 OFFICIAL RECORDS

See Section 3.12, Records.

3.12 PERMANENT RECORDS

Permanent records are appraised by the National Archives and Records Administration (NARA) as having sufficient historical or other value to warrant continued preservation by the federal government beyond the time they are needed for administrative, legal, or fiscal purposes. They are sometimes called archival records.

3.13 PERSONAL PAPERS

Personal papers are documentary materials belonging to an individual that are not used to conduct Project business. They are related solely to an individual's own affairs or used exclusively for that individual's convenience. Personal papers must be clearly designated as such and kept separate from the Project records.

3.14 PHOTOGRAPHS

Photographs are aerial and land-based photographs, other than informal snapshots, used for reference and documentation requirements of sites and vicinity properties.

3.15 PRESENTATION DOCUMENTS

Presentation documents are copies of papers, speeches, and verbal presentations dealing with subjects pertinent to the UMTRA Project that are given at symposia, meetings, and briefings.

3.16 PROJECT DOCUMENT

An UMTRA Project document is one concerning the activities performed by the UMTRA Project Office and all Project participants. UMTRA Project documents describe, direct, guide, or instruct on matters regarding Project administration, general management, and technology. The documents may be written, oral, or pictorial and may be produced on various media (paper, video tape, audio tape, film, computer disc or tape, etc.).

3.17 PROJECT DOCUMENT CONTROL CENTERS

PDCCs are facilities operated by various UMTRA Project participants responsible for administering, maintaining, and controlling Project documents.

3.18 PROJECT DOCUMENT CONTROL SYSTEM

The PDCS organizes the acquisition, control, retention, retrieval, retirement, and disposition of all relevant information (as identified in Section 2.0, Scope) generated or obtained during the course of UMTRA Project work.

3.19 PROJECT DOCUMENT INDEX NUMBER

A Project document index number is used by the UMTRA PDCC to integrate correspondence documents into the PDCS files.

3.20 PROJECT PARTICIPANTS

Project participants include the DOE UMTRA Project Offices in Albuquerque, New Mexico, and Grand Junction, Colorado, prime contractors, selected subcontractors, and other entities employed by the UMTRA Project to provide information. Project participants will be issued a unique Project participant identifier for use with UMTRA PDCC procedures (see Section 3.0 of Appendix B, Correspondence Control).

3.21 RECORDS

Records are books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States government under federal law or in connection with the transaction of public business. They are preserved or appropriated for preservation by an agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of data in them.

3.22 RECORDS HOLDING AREAS

Records holding areas are used solely to store noncurrent records that are not suitable for transfer to a records center or archives for economic, high security, routine maintenance, retrieval for reference, or other reasons.

3.23 REFERENCE DOCUMENTS

Reference documents are resource materials, other than correspondence, UMTRA Project reports, maps, drawings, and photographs, used for research and reference.

3.24 REFERENCE LOCATION NUMBER

A reference location number is used by a PDCC to identify and locate active reference materials.

3.25 REGULATORY COMPLIANCE DOCUMENTS

Regulatory compliance documents include correspondence, reference material, maps, presentation materials, drawings, specifications, photographs, and microfilm concerning site licensing, certifications, and surveillance and maintenance.

3.26 REPORTS

Reports are divided into three categories:

Contract deliverables/Technical Assistance Contractor

Reports generated for the UMTRA Project by the Technical Assistance Contractor (TAC) numbered with the prefix UMTRA-DOE/AL for 1984-1992 reports and with the prefix DOE/AL/62350 for reports published since 1992.

Contract deliverables/other contractors/subcontractors

Reports generated for the UMTRA Project as contract deliverables by all contractors and subcontractors other than the TAC. These reports carry numbers assigned by the issuing contractor/subcontractor.

All other reports

Yearly, monthly, weekly status/progress reports, travel and telephone reports, white papers, etc., which may or may not be numbered.

3.27 SURVEILLANCE AND MAINTENANCE DOCUMENTS

Surveillance and maintenance documents are records needed to monitor and control UMTRA Project sites after construction is completed, both before and

after certification and licensing. Such documents include, but are not limited to, environmental impact statements, remedial action plans; water, air and soil sampling records; specifications; as-built drawings; completion reports; deeds; licenses; insurance policies; photographs; repair reports; and all related correspondence.

3.28 UMTRA PROJECT DOCUMENT CONTROL CENTER

The UMTRA PDCC is the principal document control center in Albuquerque, New Mexico, staffed by employees of the TAC and reporting jointly to the TAC Project Manager and the UMTRA Project Manager or their designated representatives.

3.29 VICINITY PROPERTY

A vicinity property can be commercial, industrial, residential, or open land that has been contaminated with residual radioactive materials. The materials may have been used in construction or they may have been spread by wind or water from the processing site.

3.30 VICINITY PROPERTY DOCUMENTS

All the documentation pertaining to vicinity property certification is contained in case files. Case files are defined as packages of information concerned with transactions that have a definite beginning and ending point in time; such files are maintained for each vicinity property.

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4.0 ORGANIZATION

The UMTRA PDCS functions under the authority of the DOE and is subject to all DOE orders and government regulations pursuant to records management (see Section 13.0).

The UMTRA PDCS comprises three functional categories: Project Participant Document Control Centers, the UMTRA PDCC, and a designated permanent archives center. The UMTRA PDCC shall serve as the primary control for the system, assimilating and integrating all documents received from Project participants and ensuring their proper disposition. Figure 4.1 illustrates the relationships among the system components and identifies each stage in acquiring, classifying, transferring, and retiring Project documents.

The UPDCC reports through channels to the head of the DOE Records Management Division in Washington, D.C. (Figure 4.2).

FIGURE 4.1
UMTRA PROJECT DOCUMENT CONTROL SYSTEM FLOW PROCESS

FIGURE 4.2
UPDCC ORGANIZATIONAL RELATIONSHIPS

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5.0 RESPONSIBILITIES

The responsibilities for managing, maintaining, and coordinating the activities associated with the PDCS are divided among the UMTRA Project Office, TAC, and other UMTRA Project participants as described below.

5.1 UMTRA PROJECT OFFICE

The UMTRA Project Manager, or a designated representative, shall review and approve all procedures and policies governing the UMTRA PDCS and ensure that the necessary interface among Project participants is established and maintained. The UMTRA Project Manager shall delegate the authority for administering the UMTRA PDCS and the responsibility for providing guidance to the PDCCs to the TAC and its authorized personnel.

5.2 TECHNICAL ASSISTANCE CONTRACTOR

The TAC's Assistant Project Manager for Technical Services shall ensure the efficient operation of the UMTRA PDCC. The Assistant Project Manager for Technical Services shall also provide support and guidance to the UMTRA Project Office in the operation of the UMTRA PDCS by recommending changes, improvements, policies, and procedures.

The manager of the UMTRA PDCC shall develop and implement standard operating procedures, report on the operation of the UMTRA PDCC, train UMTRA Project staff members annually on the use of the UMTRA PDCC, and recommend improvements or changes to the PDCS. The UMTRA PDCC manager shall update the PDCS Manual annually, or as significant changes warrant.

5.3 PROJECT PARTICIPANTS

Project participants shall routinely transfer UMTRA Project documents to the UMTRA PDCC according to the provisions described herein. Project participants involved in the administration of documents will meet prior to the annual revision and issuance of the UMTRA PDCS Manual to resolve any problems with and recommend any changes or enhancements to the UMTRA PDCS.

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6.0 DOCUMENT ACQUISITION AND TRANSMITTAL

Staff members of all UMTRA Project participants shall transmit all Project-related documents in accordance with the following provisions.

6.1 CORRESPONDENCE

All UMTRA Project correspondence received through the mail or by hand delivery shall be directed to the responsible PDCC for processing before being delivered to the addressee.

6.2 REFERENCE DOCUMENTS

Reference materials obtained for research and reference purposes, especially those cited in contractor reports substantiating decisions and designs, shall be made available to the responsible PDCC for processing.

One copy of all reference documents cited in a document generated by an UMTRA Project participant shall be forwarded to the UMTRA PDCC, unless such materials are already resident within the center, or unless such materials are clearly cited in the document as being available at another location. A complete citation, including precise information on where a document can be obtained for use, shall be submitted to the PDCC if the document is unavailable. (See "Style and Format Guidelines for Technical Assistance Contractor UMTRA Project Documents" for guidance on preparing citations.)

6.3 PRESENTATION DOCUMENTS

Presentation materials shall be forwarded to the responsible PDCC immediately following use.

6.4 MAPS

Maps acquired for research and reference, especially those cited in reports substantiating decisions and designs, shall be made available to the responsible PDCC.

6.5 DRAWINGS AND SPECIFICATIONS

Drawings and specifications generated by UMTRA Project participants shall be submitted to the responsible PDCC prior to release for review or approval. These documents shall be separated from other Project documents for individual processing.

6.6 PHOTOGRAPHS

Photographs produced by UMTRA Project participants shall be provided to the responsible PDCC. All photographs shall be separated from other Project documents for individual processing.

6.7 REGULATORY COMPLIANCE DOCUMENTS

At the time a site is licensed, all regulatory compliance documents (site licensing, certification, and surveillance and maintenance documents), which may include correspondence, reference documents, maps, presentation materials, drawings and specifications, photographs, and microfilm, shall be transferred to the UMTRA PDCC.

7.0 DOCUMENT CLASSIFICATION, INDEXING, AND LOGGING

All documents generated or acquired by UMTRA Project participants shall be classified and uniquely identified by the UMTRA PDCC according to the appropriate procedure as specified for each document category.

7.1 CORRESPONDENCE

Correspondence documents received by each UMTRA Project participant, including certification and surveillance and maintenance documents, shall be stamped to indicate the date received. The documents will be identified as personal papers, reference materials, or official UMTRA Project records (see Section 3.0, Definitions). Routing slips and transmittal letters (nonrecords) that add no information to the transmitted materials will be removed and destroyed. Each document received by the UMTRA PDCC that is determined to be an official UMTRA Project record shall be assigned a unique correspondence control number (if the sender has not already done so) according to the convention described in Appendix B, Correspondence Control, and an UMTRA Project document index number to be used in filing the document by subject. Correspondence control numbers and index numbers will be placed on the first page of each document. In addition, a correspondence control log shall be maintained as described in Appendix B.

Vicinity property documents shall be assembled as case files. Each file folder shall be marked with the official property number. Documents received by the responsible PDCC regarding vicinity properties shall otherwise be processed in the same manner as correspondence.

7.2 REFERENCE DOCUMENTS

Upon receiving a reference document, the PDCC shall prepare an index card recording information about the document and assign a reference location number for filing and retrieval by category, as described in Appendix C, Reference Document Control.

Index cards shall be filed alphabetically by title in card files. Additional index cards may be prepared for cross-referencing by author, report number, and other pertinent information. The UMTRA PDCC shall maintain a reference document control log as described in Appendix C.

A library check-out card shall be prepared by the UMTRA PDCC for each reference document. The card shall contain the title, author, and reference location number. A pocket to hold the library card shall be affixed to the reference document along with a label placed on the exterior of the document noting the reference location number.

7.3 PRESENTATION DOCUMENTS

PDCCs shall maintain a file of all formal papers given by UMTRA Project staff members. Audiovisual materials used with such papers will not be stored or maintained by PDCCs and will be the sole responsibility of the staff members presenting the paper.

7.4 DRAWINGS AND SPECIFICATIONS

Project participants shall include on each drawing or specification, at a minimum, the following information:

- Title of drawing.
- Drawing/specification number.
- Project or site.
- Date of preparation.
- Revision number.
- Vicinity property number (if applicable).
- Vicinity property address (if applicable).
- Prepared by: _____.

Drawings and specifications shall be logged by the originating UMTRA Project participant so that they can be retrieved by title, drawing number, site, vicinity property number, and address (if applicable).

7.5 PHOTOGRAPHS

All photographs produced by UMTRA Project contractors shall be marked by the individual responsible for the photography with the subject, site, vicinity property number (if applicable), date, and other pertinent facts.

7.6 VIDEOTAPES

Videotapes shall be identified with a unique number and, if more than one copy is available, a copy number. Each tape will have a title and a date. A brief description of the contents of each videotape will appear on the front cover of the video holder.

8.0 DOCUMENT FILING AND STORAGE

Documents shall be filed in storage containers suitable for the size, retrieval requirements, and security of each document. Adequate space shall be allotted for storage to ensure that documents are not defaced, torn, or damaged.

8.1 CORRESPONDENCE

Correspondence, including vicinity property case files, certification documents, and surveillance and maintenance documents, shall be filed chronologically according to subject, in either a general or site-specific file. A document involving more than one subject or site shall be reproduced and placed in each file for which index numbers are assigned.

8.2 REFERENCE DOCUMENTS

Reference documents shall be filed or shelved by discipline, then by sequential number (see Appendix C, Reference Document Control).

8.3 PRESENTATION DOCUMENTS

Presentation documents shall be filed in a separate file maintained specifically for these types of documents.

8.4 MAPS

U.S. Geological Survey topographic maps shall be filed by site, then alphabetically by title (usually place or area), in containers suitable for the size, retrieval requirements, and security of each map.

8.5 DRAWINGS AND SPECIFICATIONS

Drawings and specifications shall be filed by site, then by the method (such as title, drawing number, etc.) by which they are most commonly accessed.

8.6 PHOTOGRAPHS

Site or vicinity property photographs shall be filed by site and subject in storage facilities suitable for the size, retrieval requirements, and security of each document.

8.7 REGULATORY COMPLIANCE DOCUMENTS

At the time a site is licensed, all regulatory compliance documents residing in the UMTRA PDCC shall be removed, integrated with similar material received from outside PDCCs and UMTRA Project participants, and filed and stored in containers separate from other Project documents.

8.8 MICROFILM

Microfilm shall be filed in a location separate from all other documents. Original camera film shall be stored in accordance with American National Standards Institute (ANSI) 1.43-1981, "Practice for Storage of Processed Safety Photographic Film." Duplicate copies of microfilms shall be available in the PDCC. Microfilmed documents shall be filed in microfilm cabinets by subject index number.

8.9 DOSIMETRY RECORDS

Personnel exposure dose records concerning or documenting radiation or exposure dose to UMTRA Project individuals due to alpha, beta, gamma, or neutron radiation monitors or by estimates based on other radiation dose instruments shall be treated as confidential records and housed in a file cabinet that is locked at all times when records are not in use. These records will be maintained in the PDCC.

8.10 VIDEOTAPES

Videotapes shall be placed in standard 8-inch x 4-3/4-inch plastic containers and filed as they are received in numerical sequence on shelving especially provided for such media.

8.11 NONRECORDS

UMTRA PDCCs are not required to maintain inventories of extra copies of UMTRA Project documents that have been transmitted to the DOE's Office of Scientific and Technical Information (OSTI) in accordance with DOE Order 1430.2B. Documents produced in quantity to respond to a heightened public interest issue or to respond to staff requests more rapidly will be delivered to the responsible PDCC for storage and dissemination. The PDCC will inventory bulk quantities of documents and monitor supplies on hand for reordering purposes.

9.0 DOCUMENT INTEGRITY AND SECURITY

The following procedures apply to ensure the integrity and security of UMTRA Project documents, yet permit controlled access to the documents.

9.1 AUTHORITY

Access to documents in each PDCC shall be controlled through personnel staffing the center.

9.2 DOCUMENT NUMBERING

- Project document control numbers shall appear in the upper right corner of all UMTRA Project-related documents or in an otherwise prominent area on documents of unusual dimensions or format.
- Project document control numbers shall be assigned before a document is duplicated to ensure that the number appears on all copies.

9.3 DOCUMENT LOGGING

The UMTRA PDCC shall record assigned PDC numbers on a logging sheet that supplies certain information about the document bearing the number (see Appendix B, Section 1.0). Logging systems may be computerized.

9.4 BORROWING DOCUMENTS FROM PROJECT DOCUMENT CONTROL CENTERS

- Documents shall not be removed from PDCCs without the knowledge and approval of PDCC personnel.
- Only duplicate copies of a document shall be removed from a PDCC, unless otherwise authorized by PDCC personnel.
- Documents on loan from a PDCC shall not be transferred between individuals without notifying the PDCC of the exchange.
- Documents on loan from a PDCC shall be logged on an outcard that is filed in the document's location. The borrower's name, document title, location code, date of the document, and the date on which the document is loaned shall also be logged in a computerized data base. Documents borrowed for 2 months will be recalled and replaced in the files.

9.5 SECURITY

- All documents shall be stored in facilities protected from dirt, dust, fire, water, weather damage, and theft to the extent practicable.

- File cabinets or rooms housing UMTRA Project documents shall be securely locked at all times when PDCC personnel are not present.
- A file category will be present in the UMTRA Project document index titled "Controlled Documents." This file will contain current listings of departments and/or individuals who have been issued controlled documents.

10.0 DOCUMENT RETRIEVAL

The following procedures apply in retrieving and removing documents from a PDCC:

- UMTRA Project participants requiring a document from a PDCC may retrieve material in one of two ways:
 - By placing a request for a specific document with PDCC personnel, who shall retrieve the material.
 - By browsing through file materials to locate needed information.

Documents removed from the files for use within the PDCC will be replaced by PDCC personnel only. Individuals wishing to remove documents from the PDCC for short durations will be assisted by PDCC personnel in completing check-out cards.

- Project participants shall return borrowed correspondence documents within 2 months of initial check-out. Documents used for prolonged periods will require duplicate copies to be made. TAC staff should refer to Jacobs Engineering Group *Albuquerque Operations Manual*, standard operating procedure 6.2.5, for more detailed procedures for borrowing documents.
- Access by non-Project participants to any or all documents within the UMTRA PDCS shall be governed by the Freedom of Information and Privacy Acts, which will be administered by the UMTRA Project Manager.
- Project participants shall return photographic materials no later than 2 weeks after initial check-out.
- Vicinity property files may be accessed by vicinity property staff members without the assistance of PDCC personnel. Vicinity property staff members will not place any materials in vicinity property case files until they have been logged onto the UMTRA PDCS correspondence data base. Special outcards for use only by vicinity property staff members will be used to denote the removal of vicinity property materials by these individuals, who will be responsible for maintaining and protecting borrowed materials in a peripheral location in accordance with procedures specified in the PDCS Manual.

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11.0 DOCUMENT MICROFILMING

The UMTRA PDCC shall arrange and monitor the microfilming of all pertinent documents received and generated by the UMTRA Project, according to the process described in Appendix D, Microfilming Specifications. All documents transmitted to the UMTRA PDCC shall be reviewed to integrate them into the files, eliminate duplicates, and determine a microfilming schedule.

12.0 DOCUMENT RETIREMENT

The UMTRA PDCC shall inventory and develop a document disposition schedule in conformance with DOE Order 1324.2A for all UMTRA Project documents, assigning retention periods and retirement instructions for long-term disposition. Inventories and schedules will be reviewed annually to ensure that all records in the collection are covered by disposition schedules. UMTRA PDCC staff will attend scheduling and disposition training classes sponsored by NARA at least once a year to ensure that disposition schedules are in conformance with the most recent policies and regulations.

Throughout the life of the UMTRA Project, inactive paper records may be microfilmed and the paper documents held in records holding areas to keep space requirements for active records at a minimum. Original microfilm will be stored in an environmentally controlled storage facility separate from the PDCCs. Duplicate copies of microfilm shall be kept in each contractor's document control center for active reference. Documents shall be reviewed for disposition scheduling at the time they are microfilmed and before they are retired to records holding areas. Paper documents shall be moved to records holding areas based on destruction date schedules; that is, all documents with destruction dates that are exactly the same shall be boxed together. Each box shall have a unique number that shall appear on the outside of the carton.

13.0 REFERENCES

The references provided below were used as guidelines in the preparation of this manual and shall be referred to, or complied with, as necessary, in the implementation of the UMTRA PDCS.

13.1 DEPARTMENT OF ENERGY ORDERS

ORDER 1324.2A	<i>Records Disposition.</i>
ORDER 1324.3	<i>Files Management.</i>
ORDER 1324.4	<i>Micrographics Management.</i>
ORDER 1324.5	<i>Records Management Program.</i>
ORDER 1324.8	<i>Rights & Interests Records Protection Program.</i>
ORDER 1430.2A	<i>Scientific and Technical Information Program.</i>
ORDER 1700.1	<i>Freedom of Information Program.</i>
ORDER 5500.7B	<i>Emergency Operating Records Protection Program.</i>

13.2 AMERICAN NATIONAL STANDARDS INSTITUTE/NATIONAL MICROGRAPHICS ASSOCIATION STANDARDS

ANSI/AIIM MS19-1987	<i>Recommended Practice for Identification of Microforms.</i>
ANSI/AIIM MS23-1983	<i>Practice for Operational Procedures/Inspection and Quality Control of First Generation, Silver-Gelatin Microfilm of Documents.</i>
ANSI PH1.43-1985	<i>Photography (film)--Processed Safety Film--Storage.</i>
ANSI/PH1.25-1984	<i>Safety Photographic Film, Specification for.</i>
ANSI IT9.1-1989	<i>Imaging Media - Silver Gelatin Type - Specifications for Stability.</i>
ANSI IT9.2-1988	<i>Imaging Media - Filing Enclosures and Storage.</i>
ANSI/PH4.8-1985	<i>Methylene Blue Method for Measuring Thiosulfate and Silver Densitometric Method for Measuring Residual Chemicals in Films, Plates, and Papers.</i>
ANSI/MS14-1988	<i>Specifications for 16- and 35-mm Microfilms in Roll Form.</i>
ANSI/PH1.53-1986	<i>Processed Films, Plates, and Papers--Filing Enclosures and Containers for Storage.</i>
ANSI IT9.5-1988	<i>Imaging Media - Diazo Films.</i>

13.3 UMTRA PROJECT GUIDANCE DOCUMENTS

Guidance for UMTRA Project Surveillance and Maintenance, UMTRA-DOE/AL-350124.0000, U.S. Department of Energy, UMTRA Project Office, Albuquerque Operations Office, Albuquerque, New Mexico.

Technical Assistance Contractor Document Numbering System, DOE/AL/62350-1D, March 1993, U.S. Department of Energy, UMTRA Project Office, Albuquerque Operations Office, Albuquerque, New Mexico.

Style and Format Guidelines for Technical Assistance Contractor UMTRA Project Documents, DOE/AL/62350-12D, draft, January 1994, U.S. Department of Energy, UMTRA Project Office, Albuquerque Operations Office, Albuquerque, New Mexico.

Project Licensing Plan for UMTRA Sites, UMTRA-DOE/AL-150524.0000, U.S. Department of Energy, UMTRA Project Office, Albuquerque Operations Office, Albuquerque, New Mexico.

Vicinity Properties Management and Implementation Manual, UMTRA-DOE/AL-050601.0000, U.S. Department of Energy, UMTRA Project Office, Albuquerque Operations Office, Albuquerque, New Mexico.

Albuquerque Operations Manual, no date. Standard operating procedures, U.S. Department of Energy, UMTRA Project Office, Albuquerque Operations Office, Albuquerque, New Mexico.

13.4 FEDERAL GOVERNMENT GUIDANCE DOCUMENTS

36 CFR Parts 1220-1238, *Records Management*.

National Fire Protection Association Publication NFPA 232, *Protection of Records*.

Federal Standard No. 125D, *Film, Photographic and Film, Photographic Processed (for permanent records use)*.

APPENDIX A

DOCUMENT TRANSMITTAL AND RECEIPT

DOCUMENT TRANSMITTAL AND RECEIPT FORM

The Document Transmittal and Receipt Form (Figure A.1) contains the following categories to be completed in accordance with the following specifications:

TRANSMITTAL

NUMBER:	Correspondence Control Number (defined in Appendix B, Correspondence Control).
DATE:	Original date of completing the form for approval.
SITE:	Name of the official UMTRA Project site.
REASON FOR TRANSMITTAL:	Brief explanation of why documents are being transferred; i.e., contract completion, properties involved have been certified, documents no longer required in contractor's office, and the like.
TO:	Full name and address of recipient corporation.
FROM:	Full name and address of sending corporation.
RECEIVED BY:	Signature and title of the responsible recipient.
DATE RECEIVED:	Date of signature and title of the responsible sender.
TRANSMITTED BY:	Signature and title of the responsible sender.
DATE TRANSMITTED:	Date of signature and receipt of documents.
BOX NUMBER:	Sequential numbering of the boxes sent in each transmittal.
FILE NUMBER:	Original file number(s) from the sender's file index.
FILE TITLE:	UMTRA Project Document Control System title from the filing index.
RECEIPT ACKNOWLEDGED:	Signature of the responsible recipient acknowledging that the documents were inventoried and verified to exist as listed.
UPDCC DISPOSITION:	Location where UMTRA Project Document Control Center places documents after their inventory and official receipt is acknowledged (not to be used by transmitting corporation).

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DOCUMENT TRANSMITTAL AND RECEIPT

Page 1 of ____

Transmittal No.: _____ Date: _____ Site: _____

Reason for Transmittal: _____

To:

From:

Received By: _____

Transmitted By: _____

Date Received: _____

Date Transmitted: _____

Box Number	File Number	File Title	Receipt Acknowledged	UPDCC Disposition

FIGURE A.1 DOCUMENT TRANSMITTAL AND RECEIPT FORM

APPENDIX B
CORRESPONDENCE CONTROL

1.0 CORRESPONDENCE CONTROL NUMBER

The correspondence control number is composed of four elements according to the format, definition, and example as follows:

ORIGINATOR/RECIPIENT/MONTH AND CALENDAR YEAR-SEQUENTIAL NUMBER

Format: CCC/CCC/MMYY-NNNN

where C = CHARACTER
M = MONTH
Y = YEAR
N = NUMBER

ORIGINATOR:	Three-character codes designating the originating corporation. Section 3.0 of this appendix contains a list of codes to be used.
RECIPIENT:	Three-character codes designating the recipient corporation. Section 3.0 of this appendix contains a list of codes to be used.
MONTH OF YEAR:	Two-digit number designating the month; i.e., 09 = September.
SEQUENTIAL NUMBER:	Four-digit numbers beginning with 0001 and uniquely designating each correspondence per combination of originator, recipient, and calendar year.
Example:	UMT/BEN/0186-0001, which indicates the first correspondence sent in January of calendar year 1986, to Bendix Field Engineering Corporation from the DOE UMTRA Project Office.

2.0 CORRESPONDENCE CONTROL LOG

The correspondence control log shall contain the following information:

ORIGINATOR/ CORPORATION:	Corporation sending a document.
ORIGINATOR/ INDIVIDUAL:	Last name and initials of the person within the corporation transmitting the document.
RECIPIENT/ CORPORATION:	Corporation receiving a document.
RECIPIENT/ INDIVIDUAL:	Last name and initials of the person to whom a document is addressed.
DATE/RECEIVED:	Date shown on the date stamp.
DATE/ORIGINATED:	Actual date assigned to a document for transmission.
SUBJECT/TITLE:	Accurate description of the primary subject matter of the document. Avoid broad characterizations.
KEY WORDS:	Five key words can be associated with a document at a maximum. Only primary subjects of each document should be used.
LOCATION:	An index number selected from the Project Document Index, and assigned to a document noting the location of that document in the files. Five location numbers can be given to a document at a maximum.
CORRESPONDENCE CONTROL NUMBER:	A unique number assigned to each correspondence in accordance with Section 1.0 of this appendix.

NOTE: The correspondence control log may be generated and maintained manually or electronically (computerized).

3.0 PROJECT PARTICIPANTS AND CORPORATIONS

The following codes are used as part of the correspondence control number as described in Section 1.0 of this appendix. The list will be expanded by the UMTRA Project Document Control Center as additional Project participants or corporations are identified.

ARZ	Arizona, State of
BEN	Bendix Field Engineering Corporation
COL	Colorado, State of
ALO	Department of Energy, Albuquerque Operation Office (Kirtland AFB)
ARX	ARIX - Contractor to UNC
* GJO	Department of Energy, Grand Junction Office
IOO	Department of Energy, Idaho Operations Office
* UMT	Department of Energy, UMTRA Project Office
DOE	Department of Energy, all offices other than those above
EPA	Environmental Protection Agency
HOP	Hopi Tribe
IDA	Idaho, State of
* JEG	Jacobs Engineering Group Inc., Albuquerque Operations Office
MIS	Miscellaneous (use for all other addressees)
MKC	M-K Ferguson/Cleveland (VP Design)
MKE	Morrison-Knudsen Engineers, Inc. (San Francisco Office)
* MKO	M-K Ferguson Company (Albuquerque Office)
MOU	Monsanto Research Corporation/Mound
NAV	Navajo Nation
NDK	North Dakota, State of
NEW	New Mexico, State of
NRC	Nuclear Regulatory Commission
ORE	Oregon, State of
* ORN	Oak Ridge National Laboratory
PEN	Pennsylvania, State of
PNL	Pacific Northwest Laboratory
RAE	Rogers & Associates Engineering Corporation
* RST	RUST Geotech
SDK	South Dakota, State of
TEX	Texas, State of
UTA	Utah, State of
WYO	Wyoming, State of

*Principal UMTRA Project participants.

APPENDIX C
REFERENCE DOCUMENT CONTROL

1.0 REFERENCE LOCATION NUMBER

The reference location number is composed of two elements according to the format, definition, and example as follows:

DISCIPLINE-SEQUENTIAL NUMBER

Format: CC-NNNN

Where C = CHARACTER
N = NUMBER

DISCIPLINE: Two-character codes designating the reference document category. Section 4.0 of this appendix contains a list of codes to be used.

SEQUENTIAL NUMBER: Four-digit numbers beginning with 0001 and uniquely designating each reference document within each discipline.

Example: EN-0218, which indicates the 218th reference document in the Engineering Category.

2.0 REFERENCE INDEX CARD FORMAT

Reference index cards shall contain the following information:

- TITLE:** Complete title of the reference, omitting initial "A's" and "The's."
- PERSONAL AUTHOR:** Last name and initials of the author. If more than one author is listed, use the first author named, followed by "et al."
- CORPORATE AUTHOR:** Corporation responsible for preparing the reference.
- REPORT NUMBER:** Official number assigned to the document by the corporate author. When no number exists, an arbitrary sequential number shall be assigned, preceded by the characters "NFN" (No Formal Number).
- DOCUMENT DATE:** Actual date assigned to a reference by the publisher.
- REFERENCE LOCATION NUMBER:** Defined in Section 1.0 of this appendix.

3.0 REFERENCE DOCUMENT CONTROL LOG

The reference document control log shall contain the following information:

- TITLE:** Complete title of the reference, omitting initial "A's" and "The's."
- LOG DATE:** Date entered into the log.
- PERSONAL AUTHOR:** Last name and initials of the author. If more than one author is listed, use the first author named, followed by "et al."
- CORPORATE AUTHOR:** Corporation responsible for preparing the reference.
- REPORT NUMBER:** Official number assigned to the document by the corporate author. When no number exists, an arbitrary sequential number will be assigned, preceded by the characters "NFN" (No Formal Number).
- DOCUMENT DATE:** Actual date assigned to a reference document by the publisher.
- REFERENCE LOCATION NUMBER:** Defined in Section 1.0 of this appendix.
- KEY WORDS:** Five key words associated with a document at a maximum. Only primary subjects of each reference should be used.

4.0 CODES FOR UMTRA PROJECT REFERENCE DOCUMENT CATEGORIES

The following codes are used as part of the reference location number as described in Section 1.0 of this appendix. The list will be expanded by the UMTRA Project Document Control Center as additional reference document categories are identified.

BG	Bibliographies
BZ	Biology/Zoology
CO	Cover Systems and Designs
DP	Data Processing
DD	Decontamination/Decommissioning
EN	Engineering
EV	Environment
GR	General Reference
HG	Hydrology/Geology/Geotechnical Engineering
HP	Health Physics
LG	Legislation
LN	Liners
ME	Measurements
PM	Project Management
RG	Regulations
SE	Socioeconomics
ST	Stabilization
TR	Transportation
UR	Uranium
WM	Waste Management

APPENDIX D
MICROFILMING SPECIFICATIONS

1.0 INTRODUCTION

This appendix describes the standards and techniques for producing microfilm copies of UMTRA Project documents.

1.1 GENERAL

Documents shall be prepared for microfilming by removing all staples, paper clips, and bindings; inserting informative targets that assist in retrieving records on microfilm; repairing (or creating improved) originals when necessary; and organizing paper documents into packages that are comparable to microform packages.

The majority of the documents (measuring 8 1/2 x 11 inches) shall be microfilmed on 16-millimeter (mm) silver halide film at a reduction ratio of 26:1 and shall be jacketed in chronological order in standard, five-chamber Bell & Howell color-striped jackets (see Figure D.1). Larger documents will be filmed at 32:1. Documents that are too large to fit in the image area of 16-mm film at a reduction of 32:1 will be filmed on 35-mm film and inserted in jackets that accommodate 35-mm film.

Documents shall be filmed on rotary or planetary cameras at variable reduction ratios as specified for each task or job order. All documents shall be filmed in comic mode when possible and shall be right-reading (see Figure D.2).

All microfilm shall be developed using conventional processing methods that ensure that film is adequately fixed and washed so as to meet archival standards set forth by the Association for Information and Image Management (also known as National Micrographics Association (NMI)) and the American National Standards Institute (ANSI).

Microfilm shall be mounted in jackets, aperture cards, cartridges, and reels as required by document size constraints and retrieval requirements.

1.2 TECHNICAL REQUIREMENTS FOR JACKETING WORK

Documents to be jacketed shall be filmed on planetary cameras (Bell & Howell Filemasters or equivalent) using dual camera heads so that two duplicate rolls of camera original film are produced. One of the rolls of film shall be used for archival storage and the other for jacketing. Only camera original film (silver halide) shall be loaded in jackets.

Jacket formatting shall be as follows:

- All film shall be left-justified in the jacket; i.e., the first image of a subject jacket shall be placed in Row A, Column 1 (see Figure D.1). All images appearing after the first image shall be placed to the immediate right of each image in a film channel until no space is available to the right of existing images in the channel. When no space is available to the right of an image appearing in Row A, additional frames shall be placed in Row B, Column 1, again extending to the right until the channel is completely full, and then in Row C, Column 1, and so on until the jacket is full.

1. FORMAT - 12 Columns x 5 Rows = 60 Frames.
2. Effective Reduction 20X.
3. Dimensions in millimeters.

FIGURE D.1 JACKET FORMAT

Examples of Right Reading

Examples of Reverse Reading

FIGURE D.2 EXAMPLES OF READING FORMATS

Jacket loading techniques shall be as follows:

- Separate (cut) lengths of film in the same channel shall always abut. The margin between the trailing edge of the left-hand frame and the leading edge of the right-hand frame shall approximate the margin between the adjacent frames on an uncut length of film. There shall be no overlap of lengths of film in the same channel.
- Film images shall not extend beyond either the left or right openings of each channel and shall be at least 5.0 mm from the edge of the left and right sides of the jacket.
- Jackets shall be "packed," but documents shall not be split at the end of a jacket. If a document of less than 60 images cannot appear in its entirety in one jacket, it shall be placed at the beginning of a new jacket. Documents consisting of more than 60 images shall also be placed at the beginning of a new jacket, and a target placed in the E12 frame informing the reader that the document is continued on the next consecutive jacket.

Jacket titling shall be as follows:

- Titling, by any method or machine, shall be legible, typographically correct, and reproducible. All characters in the heading shall be upright and right-reading. All entries shall be readable without magnification.
- The document identification number shall be in the left-most portion of the heading area.
- The minimum area to be used for heading information is shown in Figure D.1. The heading area shall be used for heading and identification purposes on all jackets and shall not be used for any other purpose.
- Jacket titles shall be at least 5.0 mm from the edge of both the left and right sides of the jacket, 1.0 mm from the top edge of the jacket, and above the registration holes that appear in the titling area.

1.3 TECHNICAL REQUIREMENTS FOR PRODUCTION OF CAMERA ORIGINAL ROLL FILM

A certificate of authenticity shall appear on each roll of camera original film, as specified in ANSI/NMA Standard MS 19-1978, Part A of *Recommended Practice for Identification of Microforms*.

If the quality of one or more pages of an original document is deemed insufficient to yield microimages that could conform to the specified requirements, a statement to this effect shall be placed in the frame where the document image should appear.

Each roll of camera original microfilm shall contain a test target, placed at the beginning of the roll. The camera test card shall be an assembly of five ISO test charts No. 2 or NBS as detailed in ANSI/NMA MS 23-1983. The camera test chart shall be photographed at the reduction of the first recorded document image. An accurate, graduated metric scale at least 100 mm long, and a numerical indication of the reduction, shall be included in the

frame containing the NBS chart. The test on the NBS chart shall be upright and right-reading.

1.4 QUALITY CONTROL REQUIREMENTS

A background density of the camera negative film shall fall within the range of 0.9 to 1.2, and resolution of camera negative film shall not fall below 90 line pairs for rotary cameras, nor below 150 line pairs for planetary cameras.

Resolution testing of distribution microfilm using a microscope at an approximate magnification of 50X shall permit a resolution of not less than 90 lines/mm. A pattern shall be considered resolved when the direction of both sets of lines in the pattern, and in all coarser (lower-numbered) patterns, is discernible by visual examination under the microscope.

Image-by-image inspection of the developed film shall be performed to certify that all documents that are filmed are readable and are positioned correctly on the film surface, and that the film contains no defects such as covered in ANSI/NMA MS-23-1983. Skewed images shall not be acceptable and shall render rolls or microform carriers (and duplicates thereof) defective. Such defects will necessitate refilming of the original material.

Contrast and density of all microimages shall be adequate and of sufficient uniformity so that all information on a roll of film or in a microform carrier may be reproduced with such fidelity that its use will not be impaired.