

Office of Environmental Management – Grand Junction



Records Management Program Plan

June 2007



U.S. Department
of Energy

Office of Environmental Management

DOE-EM/GJ1462

Copy No. _____

Moab UMTRA Project

Records Management Program Plan

Work Performed by S.M. Stoller Corporation under DOE Contract No. DE-AC01-02GJ79491
for the U.S. Department of Energy Office of Environmental Management,
Grand Junction, Colorado

Signature Page

Approval

signature on original

Mr. Jeffrey G. Tack
Stoller Team—Moab Records Manager

Date

signature on original

Mr. Terry Stromire
Stoller Team—Moab Business Manager

Date

signature on original

Mr. Ken Karp
Stoller Team—Moab UMTRA Project Manager

Date

Concurrence

signature on original

Mr. Don Metzler
Moab Federal Project Director
U.S. Department of Energy Grand Junction
2597 B³/₄ Road, Grand Junction, CO 81503
(970) 248-7612

Date

End of current text

Contents

	Rev. Date	Rev. No.
Signature Page	06/08/07	0
Purpose of the Plan	06/08/07	0
1.0 Eventual Transfer of Moab Site Records to the DOE Office of Legacy Management	06/08/07	0
2.0 Moab, Utah, UMTRA Project Records	06/08/07	0
3.0 History	06/08/07	0
3.1 Site Description		
4.0 Records Program Background	06/08/07	0
5.0 Summary of Responsibilities	06/08/07	0
5.1 The Current Contractor		
5.2 DOE-EM		
6.0 Specific Records Management Topics	06/08/07	0
6.1 Architectural and Cartographic Records		
6.2 Audiovisual Records		
6.3 Contract Close-Out Plan		
6.4 Disposition and Destruction of Records		
6.5 DOE-EM Moab Federal Project Director Role		
6.6 Dose Records		
6.7 Electronic Records		
6.8 Employee Medical X-Rays		
6.9 Epidemiological Records		
6.10 File Plans		
6.11 Litigation		
6.12 Project Records		
6.13 Vital Records		
7.0 Moab Records Storage Facilities	06/08/07	0
7.1 National Archives and Records Administration (NARA)		
7.2 Federal Records Center, Denver, Colorado		
8.0 Records Program Transition and Continuity Tasks	06/08/07	0
9.0 References	06/08/07	0

Appendixes

- Appendix A Moab, Utah, UMTRA Project Site Records Ownership and Transition Requirements Matrix
- Appendix B EM Moab (MOA) Site File Plan

End of current text

Purpose of the Plan

This Records Management Program Plan is a comprehensive resource for the management of Moab, Utah, Uranium Mill Tailings Remedial Action Project site records (Moab site records). The plan establishes the U.S. Department of Energy (DOE), the National Archives and Records Administration, and the DOE Office of Environmental Management (EM) requirements for the creation, use, maintenance, and disposition of Moab site records.

This plan also proposes roles and responsibilities for records management transition tasks, including post-transition records management activities. The plan also establishes an approach to transfer custody of specific Moab site records maintained by the current contractor to a new contractor, as required, and is designed to facilitate all participants' understanding of what actions must be completed. DOE-EM will work with the contractors to ensure that all records transfer activities are accomplished.

End of current text

1.0 Eventual Transfer of Moab Site Records to the DOE Office of Legacy Management

All Moab site records will eventually transfer to the U.S. Department of Energy (DOE) Office of Legacy Management (LM). The transfer is tentatively planned for 2025. This recently formed office is responsible for closed or completed DOE sites. The mission of DOE-LM is to manage the Department's post-transition responsibilities and ensure the future protection of human health and the environment once the DOE Office of Environmental Management (EM) has completed its on-site cleanup activities. DOE-LM will actively support the transition of responsibilities from DOE-EM during the final years of site closure. DOE-LM will work with DOE-EM and the project staff prior to site transition to enable the efficient transfer of records. DOE-LM will only accept custody of records that meet National Archive and Records Administration (NARA) requirements.

Those records in the custody of the EM Consolidated Business Center (CBC) (e.g., Remedial Assistance Contractor/Technical Assistance Contractor contract review and award records) will be retained by this entity until no longer needed. Once DOE-EM no longer has a need for such records, they will be transferred to a NARA Federal Records Center (FRC) or DOE-LM.

End of current text

2.0 Moab, Utah, UMTRA Project Records

Moab records currently reside in a number of physical locations. These locations include offices of the DOE Technical Assistance Contractor in Grand Junction, Colorado; offices at the Moab and Crescent Junction sites; the DOE-EM office also in Grand Junction and the DOE-EM CBC in Cincinnati, Ohio.

Moab site records that have been identified include but are not limited to:

- Site characterization
- Environmental remediation
- Ground water
- Site monitoring and verification
- Regulatory interface (e.g., U.S. Nuclear Regulatory Commission [NRC], Utah Department of Health)
- Vicinity properties

Note: Records are in paper, photographic, and electronic media.

Some Moab site records may never transfer to a new contractor; these include employee records (e.g., medical/health records, personnel files) that the current contractor currently has in its possession. DOE-EM has initiated dialogue with the contractor to establish if either the original records or copies of employee records will be provided to the follow-on contractor. Access to these records may be required and granted in response to various types of records requests.

DOE-EM established a policy to preserve official agency records and to provide the public with access to critical documents. Public access has been accomplished through maintaining reading rooms placed close to the Moab site, Grand County Library, Thompson Springs Fire Station, and the DOE office in Grand Junction. An additional means of continuing with DOE's "openness initiative" is posting of information to the Moab Uranium Mill Tailings Remedial Action (UMTRA) Project website <http://gj.em.doe.gov/moab/>.

In accordance with DOE-EM policy, the Moab Federal Project Director will execute the necessary agreements with other offices, agencies, or contractor entities to establish the responsibility, funding, and authority for the management and transfer of site records. Final transfer of records custody will occur when site transition is declared complete. Records custodianship includes the responsibility for responding to records requests, including Freedom of Information Act (FOIA) and Privacy Act requests and/or Energy Employees Occupational Illness Compensation Program Act (EEOICPA) claims, and any other records requests from other Department elements, other agencies, regulators, and stakeholders.

End of current text

3.0 History

Uranium ore was mined in significant quantities in the United States for more than 40 years. Initially, the ore was mined and milled by private companies for use in national defense programs by the federal government and as fuel for nuclear power plants. These milling operations created process-related wastes and tailings, a sandy product that contains radioactive materials and other contaminants. Over time, seepage from the tailings pile resulted in contaminated ground water beneath the uranium-ore processing site. Scientists, community leaders, and public officials became more aware of the potential health risks associated with long-term exposure to uranium mill tailings during the 1970s.

Public concern about potential human health and environmental effects of uranium mill tailings led the U.S. Congress to pass the Uranium Mill Tailings Radiation Control Act (UMTRCA) in 1978 (Public Law 95–604), which required the cleanup of inactive uranium-ore processing sites. In 1983, the U.S. Environmental Protection Agency (EPA) developed regulations (Title 40 *Code of Federal Regulations* [CFR] Part 192) to protect the public and the environment from potential radiological and nonradiological hazards at inactive uranium-ore processing sites.

DOE is responsible for surface remediation of the Moab site and for bringing ground water contamination into compliance with EPA standards (Subpart B of 40 CFR 192).

3.1 Site Description

The DOE Moab UMTRA Project Site is located approximately 3 miles northwest of the city of Moab in Grand County, Utah, and includes the former Atlas Minerals Corporation (Atlas) uranium-ore processing facility. The site is situated on the west bank of the Colorado River at the confluence with Moab Wash. The site encompasses 439 acres, of which approximately 130 acres are covered by a uranium mill tailings pile.

The Moab mill was constructed in 1956 by the Uranium Reduction Company, which operated the mill until 1962 when the assets were sold to Atlas. Uranium concentrate, the milling product, was sold to the U.S. Atomic Energy Commission through December 1970. During its years of operation, the mill processed an average of approximately 1,400 tons of ore per day. Atlas operated the site until 1984 under a license and regulatory authority provided by NRC. When the processing operations ceased in 1984, an estimated 16 million tons of uranium mill tailings and tailings-contaminated soil were present in an unlined impoundment located in the western portion of the property. Atlas placed an interim cover over the tailings pile in 1995 as part of ongoing decommissioning activities conducted between 1988 and 1995. Atlas proposed to reclaim the tailings pile for permanent disposal in its current location but declared bankruptcy in 1998 and, in doing so, relinquished its license and forfeited its reclamation bond. Because NRC could not legally possess a site it regulated, NRC appointed PricewaterhouseCoopers as the trustee of the Moab Mill Reclamation Trust and the licensee for the site. The trustee used the forfeited reclamation bond funds to initiate site reclamation, conduct ground water studies, and perform site maintenance activities.

In October 2000, Congress and the President approved the Floyd D. Spence National Defense Authorization Act for Fiscal Year 2001, Public Law 106–398 (the act). The act stipulated that the license issued by NRC for the materials at the Moab site be terminated and that the title and

responsibility for cleanup be transferred to DOE. The title of the site was transferred to DOE on October 25, 2001. Specifically, the DOE office in Grand Junction now has primary responsibility for the Moab site. The act further designated that the Moab site undergo remediation in accordance with Title I of UMTRCA.

The DOE Moab Project Office can be contacted at:

Mr. Don Metzler
Moab Federal Project Director
U.S. Department of Energy Grand Junction
2597 B³/₄ Road, Grand Junction, CO 81503
(970) 248-7612

4.0 Records Program Background

The Federal Records Act of 1950 (Title 44 *United States Code* [U.S.C.] Chapter 33) has required agencies to prepare and preserve records that adequately document their organizations, functions, policies, decisions, procedures, and essential transactions. To comply with this act, agencies must establish and maintain programs that control the life cycle of their records, which consists of record creation, maintenance, use, disposal, and preservation. NARA assists federal agencies in complying with the requirements of the act by

- Setting standards and recommending efficient procedures to control the life cycle of records;
- Providing training on effective records management techniques;
- Inspecting records management practices of the agencies; and
- Recommending ways for agencies to improve their programs.

DOE-EM may also create and manage important scientific and technical information that provides essential information about remediation of the Moab site. These records are currently maintained by the contractor, and when no longer needed, will be transferred by DOE-EM to the appropriate FRC or other approved records storage facility.

End of current text

5.0 Summary of Responsibilities

5.1 The Current Contractor

The current contractor maintains the majority of the project records and will be responsible for their continued use, maintenance, and disposition. The contractor is responsible for the custody transfer of all Moab site records to a new contractor as required. DOE-EM will work with the contractors to ensure that all records requirements are adhered to during any records transfer or change in custody. Appendix A, “Moab, Utah, UMTRA Project Site Records Ownership and Transition Requirements Matrix,” provides additional guidance.

The current contractor has the following roles and responsibilities:

- Contractor employees who have continuing responsibilities for creating and managing active records will work with the Records Management staff to reach the necessary agreements and establish target dates to disposition their records or their transfer of records to a new contractor.
- The contractor will, as requested in support of contract transition, provide DOE-EM with all finding aids used by the contractor to create, retrieve, or store project records.
- The contractor is responsible for retaining employee personnel records. A copy with the employee’s approval will be provided to any follow-on contractors.
- The contractor is responsible for including a printout from the training database into employees’ personnel files upon any terminations.
- The contractor will ensure that adequate resources are staffed to execute the work identified by this plan. This includes provisions to support the timely response for records requested by FOIA, the Privacy Act, and other external entities (e.g., other agencies, congressional and stakeholder inquiries, and litigation).

5.2 DOE-EM

For the purposes of this plan, the following responsibilities are those of the Moab Federal Project Director for DOE-EM in Grand Junction.

- DOE-EM is responsible for all records created for the Moab Project in accordance with established federal regulatory requirements and DOE-published policy, procedures, and guidance.
- Until cleanup activities are completed and all contractual obligations are met and closed out, DOE-EM is responsible for the active use, retention, and disposition of all records associated with these activities.
- DOE-EM is responsible for responding to all requests for access to or copies of records consistent with appropriate and approved DOE practices. These include but are not limited to:
 - FOIA requests 5 U.S.C. 552, as amended 5 Public Law 93-23,
 - Privacy Act requests (5 U.S.C. Section 552a), and

— Other external requests for records.

DOE-EM will post initial FOIA/Privacy Act contact information and provide documents of stakeholder interest on the Moab Project website as appropriate.

- DOE-EM is responsible for employee dose and medical records. This includes the NRC Form 5, “Occupational Dose Record for a Monitoring Period,” which contains individual employees’ dose information. The information on the completed form includes the NRC licensee’s identification, the monitored individual’s identification, the monitoring period, each radionuclide that resulted in an internal exposure, the mode(s) of intake, the amount(s) of intake, and the amount(s) of dose by types of dose.

When necessary, DOE-EM will use established methods and ensure protection of an employee’s privacy for any sensitive records being retrieved, used, or provided to a requestor.

- DOE-EM will retain contract records until each contractor has met all DOE contractual requirements and the contracts have been closed. DOE-EM will disposition the contract award and close-out records to the Denver FRC, and copies of the transfer documents will be provided to DOE-LM.
- DOE-EM will retain all records involving litigation. Once the litigation has been settled, the records will be transferred to the FRC, and copies of the transfer documents will be provided to DOE-LM.
- DOE-EM does not have custody of any classified records (if any still remain on site). If any documents are found, they will be given to the responsible security group.
- DOE-EM assumes custody and responsibility for the cost associated with any FRC records storage, retrieval, and other services related to the Moab site records.
- DOE-EM will review and concur with this Records Management Program Plan.
- DOE-EM will provide all finding aids (electronic and paper) to LM as the project reaches completion. EM will at that time notify the DOE Office of the Chief Information Officer to change custody of any records to LM. The letter will indicate that, as the new records custodian, LM is responsible for the FRC-related costs.

6.0 Specific Records Management Topics

6.1 Architectural and Cartographic Records

Cartographic and architectural records include documents such as maps, charts, aerial photographs, architectural drawings, patents, and plans. The Moab Project engineering drawing collection is currently limited and will be turned over to DOE-EM as part of contract obligations. At project completion, DOE-EM will disposition the engineering drawings to the FRC.

6.2 Audiovisual Records

During remediation of the Moab site, DOE-EM will create and manage digital images and photographs. The DOE-EM Moab Federal Project Director or designee will review any site photos or audiovisual materials created to determine if they have significant value as project records. Any images and photographs identified as permanent records will be produced in physical print and scheduled for permanent disposition to NARA.

6.3 Contract Close-Out Plan

An inventory (Hummingbird report) identifying all Moab Project records created will be provided to DOE-EM and the follow-on contractor. A copy of any NARA SF-135 and SF-258 forms will also be included to represent the record collections that are changing custody. A walkthrough with the follow-on contractor of the active file area will also be completed and documented. The final records transfer will be formally documented and approved.

6.4 Disposition and Destruction of Records

As remediation of the site progresses, more records will have reached the end of their retention period. Federal regulations that govern the destruction of records are codified at 36 CFR 1228, "Disposition of Federal Records."

DOE-EM is responsible for determining if any records have reached their retention period and for approving their destruction prior to transfer to off-site storage or the FRC.

6.5 DOE-EM Moab Federal Project Director Role

The DOE-EM Moab Federal Project Director will process and evaluate all requests to destroy records. The requests should include identification of the records to be destroyed; a description of the records series, date, and media type; and disposition schedule authorization.

Note: NARA destroys temporary records stored at the FRC when the retention period expires. NARA will notify DOE-EM that these records are eligible for destruction 90 days before the end of the retention period. Once the approval has been received, the FRC must ensure that the records are appropriately destroyed.

- **Scheduled Records:** The DOE-EM Moab Federal Project Director will ensure that NARA-approved schedules are used to schedule and preserve all project records. Permanent records will be transferred at the appropriate time to NARA.

- The Moab records management program ensures that DOE’s official records are maintained and protected throughout the life cycle of the record. Project records retention schedules and disposition of records are accomplished in accordance with the requirements of 36 CFR 1220, Subchapter B, “Records Management,” which is in alignment with current DOE practices and NARA guidance.
- **Unscheduled Records:** The contractor must schedule and disposition all records appropriately. If records exist without an applicable schedule, an SF 115 must be prepared and approved. At this time, DOE-EM does not believe that any Moab Project records will not be covered by a NARA-approved records retention schedule.
- Sharing of information with the public, as well as local, state, and other federal government entities, will be accomplished to the fullest extent possible unless the information is exempt from mandatory public disclosure pursuant to one or more of the exemptions of the FOIA or other applicable statutes.

6.6 Dose Records

Contain the occupational radiation dose records of the Moab employees being monitored for internal and external radiation exposure. The records include exposure information to extremities (head, arms, legs), whole body, radon progen (lungs), and internal doses from other radioisotopes. Dose records for this project are maintained by the Idaho National Laboratory Dosimetry and Radiological Engineering Services Department (Radiation Dosimetry and Records).

6.7 Electronic Records

DOE-EM will ensure that any electronic tools developed for the Moab Project will meet all electronic initiatives established by the federal government (E-Gov) and that PDF images identified as records meet NARA archival format requirements. To date, no electronic records other than medical x-rays (see Section 6.8) have been identified and none are anticipated.

6.8 Employee Medical X-Rays

During the course of site remediation, medical x-rays may be taken of employees. The x-rays are electronic and kept in the employee’s record at Primary Care Partners. The Wellness Connection at the DOE-EM office in Grand Junction maintains a paper copy of the x-ray report in the employee’s medical file. If copies are ever required, DOE-EM is the primary source for obtaining copies of these records, which will only be transferred to the employee or survivor. Any costs incurred to retrieve and reproduce these records will be the responsibility of the contractor. By contract, the costs are reimbursable by DOE-EM.

6.9 Epidemiological Records

At the present time, the contractor maintains responsibility for the health-related information contained in epidemiological records aimed at discovering relationships among the various factors determining the frequency and distribution of diseases, if any, related to occupational or environmental hazards. Epidemiological records will be scheduled as appropriate.

Under the provisions of the Moab contract, DOE-EM has no responsibilities for worker benefits and pensions.

6.10 File Plans

A file plan will be developed and maintained for the Moab Project and, as needed, will be managed in an electronic records management system.

6.11 Litigation

The DOE-EM Moab Federal Project Director is responsible for identifying records that are being used in any ongoing litigation.

6.12 Project Records

Since project inception and through remedy completion the majority of Moab project records have been and will continue to be created in paper.

Finding aids to the collections will consist of:

- The Hummingbird Records Management System (Moab Project records are currently managed in this electronic records management application).
- Moab Site File Plan (for active records this provides file parameters and meta-data attributes such as file number, location, retention and disposition criteria). Please refer to Appendix B for an example.
- A hard-copy index in each box of records transferred to the FRC or other storage area that identifies the contents of each box.
- SF-135 and SF-258 forms for paper records that identify the locations of records that have been dispositioned to NARA and the FRC.
- Destruction certificates, if any.

Finding aids will be turned over to DOE-EM. DOE-EM will transfer these finding aids to DOE-LM custody at project completion.

6.13 Vital Records

To date, no vital records have been identified and none are anticipated.

End of current text

7.0 Moab Records Storage Facilities

7.1 National Archives and Records Administration (NARA)

NARA is a federal agency that preserves the nation's history and oversees the management of all federal records. NARA enables individuals to inspect government records, allows officials and agencies to review their actions, and helps citizens hold the agencies and officials accountable for those actions. NARA ensures continuing access to essential evidence that documents the rights of United States citizens and the actions of federal agencies. Only permanent records are held by NARA. The DOE-EM Moab Federal Project Director is the point of contact for the records stored at any NARA facilities. Permanent records for the Moab Project will be maintained by NARA at:

National Archives and Records Administration
Rocky Mountain Region
Bldg 48, Federal Records Center
Denver, CO 80225

Hours are 7:30 am to 4:00 pm Monday through Friday (closed weekends and federal holidays).

7.2 Federal Records Center, Denver, Colorado

The NARA Rocky Mountain Region Federal Records Center is also located in Denver, Colorado. The facility serves as a Records Center, storing records from federal agencies. Their records are still in the custody of the federal agency, and the records access, retrieval, storage costs, and activity charges are still the responsibility of the transferring agency. The Denver FRC also has accommodations to properly house microfilm and audiovisual records. The address and hours are shown in Section 7.1.

End of current text

8.0 Records Program Transition and Continuity Tasks

During contract transition, DOE-EM will continue to process any FOIA and Privacy Act requests that are in progress. When the contractor accepts custody of all Moab Project records, DOE-EM will provide the contractor with the following: (1) the status of any ongoing FOIA and Privacy Act actions, (2) the status of any litigation requests received in the previous 12 months with estimated response times, (3) estimated volumes of records at turnover, and (4) any backlog of active records in process.

DOE-EM and the contractor will prepare this plan and will specify the records ownership requirements for their disposition or transfer to the new custodians, records storage locations, resources to be provided, and resources needs for follow-on records management responsibilities.

Points of Contact

<p>S.M. Stoller Moab Project Manager Name: Ken Karp</p> <p>E-mail: Ken.Karp@doe.gjo.gov Phone: 970-248-6564</p>	<p>Subject Matter Expert—Records Management Lead Name: Jeffrey G. Tack</p> <p>E-mail: Jeffrey.Tack@doe.gjo.gov Phone: 970-248-7714</p>
<p>Moab Records Specialist Name: Gordon Weaver</p> <p>E-mail: Gordon.Weaver@gjo.doe.gov Phone: 970-248-6680</p>	<p>Active Moab Records Coordinator Name: Diana Osbourne</p> <p>E-mail: Diana.Osbourne@doe.gjo.gov Phone: 970-248-6377</p>
<p>EM CBC Subject Matter Expert (FOIA/Privacy Act) Name: Marian Wilcox</p> <p>E-mail: Marion.Wilcox@emcbc.doe.gov Phone: 513-246-0582</p>	<p>EM CBC Subject Matter Expert Name: Pete Yerace</p> <p>E-mail: Pete.Yerace@emcbc.doe.gov Phone: 513-246-0598</p>

End of current text

9.0 References

36 CFR 1200–1299. U.S. Department of Energy, “National Archives and Records Administration,” *Code of Federal Regulations*.

40 CFR 192. U.S. Environmental Protection Agency, “Health and Environmental Protection Standards for Uranium and Thorium Mill Tailings,” *Code of Federal Regulations*.

40 CFR 300.800 and CERCLA Section 113(k). U.S. Department of Energy, “Protection of Environment,” *Code of Federal Regulations*.

5 USC Section 552 as amended (Public Law 93-23, as amended), “Freedom of Information Act,” *United States Code*.

5 USC Section 552a as amended, “Privacy Act,” *United States Code*.

44 USC Chapter 31, “Records Management by Federal Agencies,” *United States Code*.

44 USC Chapter 33 as amended, “Federal Records Act of 1950,” *United States Code*.

DOE O243.1, “Records Management Program.”

End of current text

Appendix A

Moab, Utah, UMTRA Project Site Records Ownership and Transition Requirements Matrix

Table A-1. Records to be Retained by the U.S. Department of Energy Grand Junction Environmental Management Office

Record Series	Record Series Description and Status	Volume	Location	Disposition Instructions	Final Disposition Authority
Analytical Chemistry Records	Analytical Chemistry Records: the results of chemical analyses are maintained electronically in Hummingbird. The record copy is no longer in paper form; includes sample management/data validation procedures and instructions.	4 cubic feet of inactive paper records.	Paper records are currently stored in DOE-EM inactive records storage located in Grand Junction, Colorado Building 12, vault 4.	Moab Project analytical results will continue to be maintained in and dispositioned electronically by Hummingbird. Sample management and data validation procedures and instructions will remain in the custody of the Laboratory Coordinator until no longer needed. They will then be transferred to EM inactive records storage.	DOE-EM
Dose Records	Dose Records: Contain the occupational radiation dose records of all Moab employees being monitored for internal and external radiation exposure. The records include exposure information to extremities (head, arms, legs), whole body, radon progeny (lungs), and internal doses from other radioisotopes. Dose records for this project are maintained by the Idaho National Laboratory Dosimetry and Radiological Engineering Services Department (Radiation Dosimetry and Records).	Electronic media-equivalent paper volume less than 1 cubic foot.	Idaho National Lab	Records will be maintained and dispositioned by Idaho Nation Lab	DOE-EM
Environmental Compliance	Environmental Compliance Records: Air emission permits and supporting documents (includes opacity data), audit and assessment records, drum-tracking records, procedures, standards, instructions, plans and reports, environmental permits, applications, waivers, waste-stream identification records, environmental management and compliance files, hazardous waste inventory, and disposal and storage records.	12 cubic feet of active records.	Active records are maintained in Building 938, room 237.	At contract termination, the Environmental Compliance records needed by the follow-on contractor will be identified and retained in the active collection.	DOE-EM
Facility Operations and Management (Site Legacy Collections)	Building and equipment operation, maintenance, and general site administration files. Includes millsite design, fabrication, and testing, shipping documents (hazardous and nonhazardous), and space-planning and use documentation. From 2001 through 2006 the contractor Records Management group applied dedicated resources to the collection, appraisal, and disposition of all government records created during the maintenance and operation of the Moab site and those records inherited by DOE-EM during site litigation and NRC custody.	65 cubic feet of inactive paper records.	Records currently stored in DOE-EM inactive records storage located in Grand Junction, Colorado Building 12, vault 5.	The contractor will maintain all inactive Moab site legacy records in their present location until otherwise directed by DOE-EM. As required, the contractor will transfer records no longer needed on site to the Federal Records Center, Denver, Colorado.	DOE-EM

Table A-1 (continued). Records to be Retained by the U.S. Department of Energy Grand Junction Environmental Management Office

Record Series	Record Series Description and Status	Volume	Location	Disposition Instructions	Final Disposition Authority
Health, Safety, and Security (HS&S)	Health, Safety, and Security Records: Includes but is not limited to, access logs, emergency planning, operations case files, employee health statistical reports, job-specific health and safety (H&S) plans, instrument calibration (radiation detection and other), investigation (reportable and nonreportable), logbooks, material safety data sheets, occupational injury and illness, personnel exposure files (chronic and radiation), radiation survey, safety analysis reports, safety incentives and awards, safety inspections, and meeting files.	4 cubic feet active; 3 cubic feet inactive. The inactive paper records reside with the Moab legacy collection.	Paper records are currently stored in DOE-EM inactive records storage located in Grand Junction, Colorado, Building 12, vault 5. The active records are maintained in Building 938, room 237.	At contract termination HS&S records needed by the follow-on contractor will be identified and retained in the active collection.	DOE-EM
Medical Records (Moab Project employee medical case files)	Medical Records: Files contain forms, correspondence, and other records relating to an employee's medical history, physical examinations, and other records documenting treatment received at on-site occupational health center; includes employee assistance and chronic exposure records.	2 cubic feet of active records.	Building 12, room 6.	At contract termination, the medical files for S.M. Stoller employees retained by the follow-on contractor will be copied and retained by the EM contracted on-site occupational health center.	DOE-EM
	This record series is protected by the Privacy Act and the DOE Headquarters Epidemiological freeze prohibiting their destruction. This record series will be stored at the Rocky Mountain Region of NARA for 75 years after the employee's separation. The Wellness Connection (medical services subcontractor) currently maintains the active employee medical case files; employees requesting access to or copies of these records will have to obtain them under the provisions of the Privacy Act.			The inactive medical records will be sent to EM inactive storage where they will be retained for a period of one (1) year and then transferred to the Rocky Mountain Region of NARA, Federal Records Center.	

Table A-2. Records to be Retained by the Contractor

Record Series	Record Series Description and Status	Volume	Location	Disposition Instructions	Final Disposition Authority
Financial (Accounting and Payroll)	Financial Records: Accounting: Administrative records (including correspondence), audit files (internal and external), general ledger, accounts payable and receivable, cancelled checks, bank reconciliations, employee reimbursement, travel authorizations, expense reports, relocation files, time cards, payroll tax reports, pay registers, and wage/salary information.	17 cubic feet of active records.	Those records created from the inception of the S.M. Stoller contract are maintained at the EM Office in Grand Junction, Colorado.	The records identified in this series are the property of the contractor, and at contract termination they will be transferred to the contractor's corporate office and destroyed when no longer needed.	Contractor
Legal (includes all forms of litigation)	Legal Records: Consist of records compiled as case files created during any contractor legal actions; all forms of litigation impending but not limited to workers compensation cases for which DOE-EM had no obligation or liability after contract completion, employee terminations, labor disputes, and other forms of negotiations.	Less than 1 cubic feet of active records.	Contractor's corporate office.	The contractor will destroy the records when the records are no longer needed.	Contractor
Personnel Records	Personnel Records: Files include EEO Affirmative Action Plans and compliance reports, employment applications and resumes; job descriptions, pension and savings plan administration records, and contractor employee personnel files. Records are compiled into case files by employee name and will be transferred to the contractor's corporate office.	1-2 cubic feet of active records.	Contractor's Human Resource office in Grand Junction, Colorado.	Records will be destroyed when no longer needed.	Contractor
Procurement	Procurement Records: Files include cancelled solicitations, correspondence, procurement (purchase order) case files, and unsuccessful bidder files.	11 cubic feet of active records.	Contractor's Procurement group in Grand Junction, Colorado.	Records will be destroyed when no longer needed.	Contractor
Project Remediation Records					

Dual Records will be Retained by the U.S. Department of Energy Grand Junction Office and the Contractor

Record Series	Record Series Description and Status	Volume	Location	Disposition Instructions	Final Disposition Authority
Contract Records	Contract Records: Baseline management information, fiscal budget background records, budget reports (fiscal year-end and miscellaneous), and cost and variance reports.	10 cubic feet of active records. This record series includes Contract Administration (CA) file that will transfer to the contractor's corporate office.	The CA file is currently maintained in Building 810, room 177.	Once inactive, the government's record copy of this series will be maintained in EM inactive storage until final disposition.	Contractor
	Contract Administration (CA) File: Information maintained for and by the contractor to substantiate contract performance and actions taken in response to DOE-EM guidance and Moab Project contract requirements. Information includes cost and budget data, task orders and modifications, prime contract and modifications, deliverables, and related correspondence. Note: A copy of the CA file will be offered to DOE-EM at the completion of the contract.			The contractor's copy of the CA file will be transferred to the corporate office after contract completion.	
Invoices	Contract Invoices (includes all supporting documentation) to DOE-EM: Includes labor distribution reports and other costs incurred by the contractor and invoiced to the government for payment.	7 cubic feet of active records.	Those records created from the inception of the S.M. Stoller contract are maintained at the EM Office in Grand Junction, Colorado.	Once inactive, the government's record copy of this series will be maintained in EM inactive storage until final disposition.	Contractor and DOE-EM
Training	Files include individual employee training files (radiation and chronic hazard), lesson plans, rosters, course training materials (administrative, radiological, and chronic), and program management and administration documentation. The government's record copy of this series will be maintained in EM inactive storage until final disposition.	2 cubic feet of active records.	Contractor's training organization Building 810, room.	At contract termination, a copy of critical training records will be forwarded to the contractor's Human Resource department for incorporation into employees' personnel files.	Contractor and DOE-EM

Appendix B

EM Moab (MOA) Site File Plan

Example of a Moab File Plan

EM Moab (MOA) Site File Plan						
File Number and Title	Record Custodian	File Station (Bldg/Rm)	Transfer Requirements	Retention Schedule	Disposition Authority	Annotations

MILLSITE REMEDIAL ACTIONS

MOA 30.0 LICENSING—*Reserved*

— — — —

MOA 31.0 LONG-TERM STEWARDSHIP (LTS)—*Reserved*

— — — —

MOA 31.0 thru 39.0—*Reserved*

MOA 40.0 MILLSITE GROUNDWATER REMEDIATION INITIAL ACTIONS—*See MOA 1.0 for all work plans.*

These files contain such items as conceptual, preliminary, and final designs; estimates; specifications; calculations; related technical reports; reviews; correspondence; construction; as-built documentation; operations; and maintenance.

Ground Water Remediation Interim Actions—*See MOA 41.0 for interim action documents*

40.1	Initial Action Correspondence	MPM	B938/R219	TComp	Permanent	U-98.23
40.2	Initial Action Design (includes infrastructure and hydrology)	MPM	B938/R219	TComp	Permanent	U-98.23
40.3	Initial Action Construction	MPM	B938/R219	TComp	Permanent	U-98.23
40.4	Initial Action Operations	MPM	B938/R219	TComp	Permanent	U-98.23
40.5	Initial Action Monitoring	MPM	B938/R219	TComp	Permanent	U-98.23

MOA 41.0 MILLSITE GROUNDWATER REMEDIATION INTERIM ACTIONS —*See MOA 1.0 for all work plans.*

These files contain such items as conceptual, preliminary, and final designs; estimates; specifications; calculations; related technical reports; reviews; correspondence; construction; as-built documentation; operations; and maintenance.

41.1	Interim Action Correspondence	MPM	B938/R219	TComp	Permanent	U-98.23
41.2	Interim Action Design (includes modeling, infrastructure, well field, filter packs, electrical)	MPM	B938/R219	TComp	Permanent	U-98.23
41.3	Interim Action Construction (includes drilling, evaporation pond, electrical system, treatment system)	MPM	B938/R219	TComp	Permanent	U-98.23

End of current text