REQUEST FOR RECORD DISPOSITION AUTHORITY

(See Instructions on reverse)

TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR)
WASHINGTON, DC 20408

LEAVE BLANK (NARA use only)
JOB NUMBER N1-434-98-1
DATE RECEIVED 10/7/97

1. FROM (Agency or establishment)
U.S. Department of Energy

2. MAJOR SUBDIVISION
Albuquerque Operations Office (ALO)

3. MINOR SUBDIVISION
Uranium Mill Tailings Remedial Action (UMTRA) Project

4. NAME OF PERSON WITH WHOM TO CONFER
Margarita Y. Sexson, RMG
Records Management Officer, ALO

5. TELEPHONE
505-845-4826

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.

DATE 1-11-00
ARCHIVIST OF THE UNITED STATES

6. AGENCY CERTIFICATION

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached 24 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

[X] is not required; [ ] is attached; or [ ] has been requested.

DATE 9/25/97
SIGNATURE OF AGENCY REPRESENTATIVE Mary Ann Wallace
TITLE Departmental Records Officer: Group Leader, Info., Records & Resource Mgt. Group

7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1.	Uranium Mill Tailings Remedial Action (UMTRA) Project and Program Records Schedule (see Attachment)		

115-109 NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE STANDARD FORM 115 (REV 3-9 Prescribed by NAR 36 CFR 12

RECOMMENDATION TO THE ARCHIVIST ON RECORDS DISPOSITION REQUEST	Job No. N1-434-98-1 Item Count: 52

SUMMARY

The Department of Energy (DOE) submits this job to request disposition authority for the records created in the implementation of the Uranium Mill Tailings Remedial Action (UMTRA) Project. The project, authorized by Public Law 95-604, the Uranium Mill Tailings Radiation Control Act, passed in November 1978, was due for close out in September 1998. The UMTRA records document DOE's compliance with the UMTRA mission of stabilizing and controlling tailings in a safe environmentally sound manner and to minimize or eliminate potential radiation health hazards to the public.

Mark Ferguson (NRG) conducted the appraisal of the UMTRA records in Albuquerque. DOE has agreed to all changes suggested by Mark's appraisal and NARA internal reviewers. Richard MacKay, NARA appraisal archivist for DOE in 1998, agreed with Mark Ferguson's appraisal.

This job proposes internal and external audit, mission critical correspondence, minutes of meetings and certain other primary program records for permanent retention. Medical, training, and other personnel related records that document individual exposure to radiation will be retained for 75 years prior to destruction.

Upon publication in the *Federal Register,* Peter Allan requested this job but returned no comments. I recommend approval of this job as amended.

RECOMMENDATION

- [x] 1 APPROVED FOR DISPOSAL The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research or other value to warrant their continued preservation by the Government
- [x] 2 APPROVED FOR PERMANENT RETENTION. The records described under the following item or items have been appraised by the National Archives and Records Administration (NARA) and are determined to have sufficient historical or other value to warrant their continued preservation by the United States Government The agency will transfer these records to the National Archives as specified **Items 4a, 4b, 4d, 5a,7a, 13a, 17a, 19a, 22, 23, 25a, 25b, 26**
- [ ] 3 DISPOSITION NOT APPROVED The records described under the following item or items are not approved for disposition
- [ ] 4 WITHDRAWN The records described under the following item or items have been withdrawn at the request of the agency and/or NARA

FEDERAL REGISTER NOTICE

- [ ] Not required.
- [ ] Required — Publication Date March 2, 1998
  Copies Requested 1
  Comments Received 0

SIGNATURES	TITLE	SIGNATURE	DATE
Appraisal	Appraiser	Susan G. Elter	January 4, 2000
	NWML	[illegible]	1/8/2000
CONCURRENCES	NWM	[illegible]	1/5/00
	NR	David Wilson	1/5/00
	NW	Michael J. Kurtz	1-7-00

UMTRA Project Records Schedule

In November 1978, the U.S. Congress enacted the Uranium Mill Tailings Radiation Control Act (UMTRCA), Public Law 95–604, to stabilize and control tailings in a safe environmentally sound manner and to minimize or eliminate potential radiation health hazards to the public.

The act identified 24 millsite locations nationwide and authorized the U.S. Department of Energy (DOE) to enter into cooperative agreements with the affected States and Indian Tribes to conduct an assessment of the problem and to initiate a remedial action program. The cost of the program was to be shared as 90 percent Federal funds and 10 percent State funds; except when the site was located on Indian lands, the Federal Government was required to pay the entire cost.

The act also authorized the U.S. Environmental Protection Agency (EPA) to promulgate general standards to be applied to cleanup work conducted under the auspices of the Uranium Mill Tailings Remedial Action (UMTRA) Project. In March 1983, EPA published "Standards for Remedial Action at Inactive Uranium Process Sites" (Title 40 *U.S. Code of Federal Regulations* Part 192). These standards established guidelines for control of the tailings piles and the cleanup of buildings and open lands.

The act further requires that the selection and the performance of all remedial actions undertaken by DOE are to be with the full participation of the affected States and Indian Tribes and with the full concurrence of the U.S. Nuclear Regulatory Commission (NRC). NRC is responsible for concurrence in the selection of each disposal site and participates in the engineering design, construction monitoring, certification, and long-term surveillance and monitoring plan for each site. After remedial action has been completed, each repository will be licensed by NRC.

This records schedule applies to the disposition of all documents and information materials created by the UMTRA Project and the individual UMTRA (contractor) Programs that conducted or are conducting remedial activities, monitoring, and surveillance and maintenance at the 24 millsites and associated vicinity properties. The following definitions will be used to implement this records schedule.

UMTRA Project—For the purposes of this schedule, the UMTRA Project is defined as the implementing authority as specified in UMTRCA. Funding for the UMTRA Project, which is established by the U.S. Congress, is tentatively scheduled to end September 30, 1998. Therefore, the retention period established by this schedule for the UMTRA Project is for a specified time period beyond termination of funding. For example, if the destruction date for a particular record is 1 year after completion of the project (September 30, 1998), that date will be October 1, 1999.

UMTRA Program—For the purposes of this schedule, an UMTRA Program is defined as one of the unique elements within the UMTRA Project (e.g., millsite [surface] remedial actions, vicinity

property remedial actions, ground-water assessment monitoring, and long-term surveillance and maintenance) managed by a contractor to DOE. Retention of data for each UMTRA Program is based on the completion date for that individual program.

This document identifies record series, types of records, and retention schedules and specifies the appropriate disposition of all UMTRA Project and UMTRA Program records. The record series are listed in three categories: (1) General, Administrative, and Management Records; (2) Technical Records: and (3) Other Records and Materials. Records within these categories shall be dispositioned in accordance with the guidance set forth by this schedule, the DOE Records Schedule (DOERS), and the National Archives and Records Administration (NARA) General Records Schedule (GRS). *All records shall be retained and protected until final disposition by DOE.*

General, Administrative, and Management Records

Record Type	Disposition
1.0 Administrative Management Records	
1a. Records related to the administrative functions of the UMTRA Project. These records include, but are not limited to, accounting, budgeting, payroll, planning, and scheduling records. Other records include memorandums, reports, and records related to task assignments, progress, organization, staffing levels, and facility services (e.g., data processing, duplicating, and word processing services); scopes of work; liaison with DOE and other government agencies; chronological reading files; cost-reduction initiatives; and general office administrative documents.	*Destroy 2 years after completion of the UMTRA Project.* ~~*Basis for Appraisal: This series provides only short-term administrative value and does not provide evidential, historical, or financial value.*~~ Note: Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.
1b. This category also includes general administrative records that document routine business and office activities. These types of records include correspondence, memorandums, reports, forms, and other documents created or maintained by the contractor organizations.	*Destroy when 2 years old or at completion of UMTRA Program, whichever occurs first.*
These documents generally include (1) copies of documents for which the record copy exists elsewhere and (2) routine office, housekeeping, and administrative management documentation (e.g., weekly and monthly administrative reports and employee absence requests).	*Destroy when 2 years old or at completion of UMTRA Program, whichever occurs first.* ~~*Basis for Appraisal: This series provides only for short-term administrative value and does not provide evidential, historical, or financial value.*~~ Note: Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.

General, Administrative, and Management Records (continued)

Record Type	Disposition
2.0 Administrative Training Records	
This category specifically ~~excludes~~ EXCLUDES (CAO) employee training records that are required to be retained by the responsible contractor for 75 years after completion of the UMTRA Project (NARA N1-434-89-12, Item 9). (See Category 8.0, "Employee Qualification Training Records," for description.)	
2a. Memorandums, training authorizations, requests for information, requirement reviews, plans, charts, and objectives related to the operation of the contractor's training program.	*Destroy when ~~3~~ 5 years old or at completion of UMTRA Project, whichever occurs first.* ~~*Basis for Appraisal: This type of record provides only administrative value through completion of the contractor's UMTRA training program.*~~
2b. Records relating to the availability of training, course aids, and lesson plans that *do not* establish personnel job qualifications or address administrative topics. General materials accumulated within the contractor organizations to document employee attendance in training classes, courses, conferences, and symposiums.	*Destroy when ~~3~~ 5 years old or at completion of UMTRA Project, whichever occurs first.* ~~*Basis for Appraisal: This type of record provides only administrative value through the completion of the contractor's UMTRA training program.*~~
2c. Reference copies of pamphlets, notices, catalogs, and other records that provide information on courses or programs offered by the UMTRA Program, DOE, or other nongovernment organizations.	*Nonrecord; destroy when superseded or obsolete.* ~~*Basis for Appraisal: This series provides only for short-term administrative value and does not provide evidential, historical, or financial value that would warrant a longer retention.*~~

General, Administrative, and Management Records (continued)

Record Type	Disposition
3.0 Agreements	
Agreements (Memorandums of Understanding [MOUs], Memorandums of Agreement [MOAs], Tri-Party, Interface, etc.)	
3a. Records pertaining to written agreements that establish a basic understanding of tasks and that describe the methods for performing those tasks by the UMTRA Project (DOE), contractors, and other signatory authorities. Signatory authorities include other Federal agencies and local, State, international, Tribal, and other government entities (e.g., DOE/State cooperative agreements).	*Destroy 50 years after completion of UMTRA Project.* ~~*Basis for Appraisal: This type of record provides long-term administrative value; will be used to support any future litigation and as evidence of legally enforceable rights and obligations of the Federal Government.*~~
3b. Agreements within contractor organizations that document and clarify an understanding of respective roles in providing a service or in meeting a set of requirements (usually in excess of normal levels of activity) that, if not negotiated and documented, may result in performance failure (e.g., internal Cost Plus Award Fee milestones).	*Destroy when 3 years old or at completion of UMTRA Project, whichever occurs first.* ~~*Basis for Appraisal: This type of record provides only administrative value through the completion of the UMTRA Project.*~~
4.0 Audiovisual Records	
4a. DOE, UMTRA Program, or contractor informational and educational productions intended for public dissemination; news releases and reports; documentary presentations of research and development; technology sharing; public outreach and audiovisual records which provide documentation on critical UMTRA Program (mission) studies that are unavailable in any other form.	*Permanent* IMMEDIATELY UPON TRANSFER TO NARA CLOSING OF THE UMTRA PROJECT. ~~*Basis for Appraisal: This series provides historical value, documenting the mission, functions and responsibilities of the UMTRA Project.*~~

Rev. 1

General, Administrative, and Management Records (continued)

Record Type	Disposition
Note: In most cases, an UMTRA Program Manager or a higher management level will have accumulated and maintained the previously identified type of record. Because of the diversity of the UMTRA Programs, contractor organizations may have created critical information that should be maintained until final disposition by DOE.	
4b. UMTRA Project, DOE, or contractor "official" negatives, photographs, mission-related 35-millimeter slides, film, audio and video recordings, graphic arts, posters, and related documentation identifying the UMTRA Program remedial action processes. Includes items of historical significance, such as negatives and annotated photographs (including aerials) that depict archeology, topography, geology, flora, and fauna of UMTRA Programs.	*Permanent.* TRANSFER TO NARA IMMEDIATELY UPON COMPLETION OF THE UMTRA PROJECT ~~*Basis for Appraisal: This type of record serves as a visual record to substantiate actual conditions of UMTRA Programs before, during, and after remedial action, thus providing both legal and historical value.*~~
4c. Audiovisual and graphic materials, photographs, 35-millimeter slides, and video recordings that *have not* been accurately annotated or captioned to substantiate traceability to the UMTRA Project. Includes self-developing films (Polaroids), lithographs, and slides or photographs without negatives.	*Nonrecord; destroy when superseded or obsolete.* ~~*Basis for Appraisal: This type of record was used only for reference and is of no value upon completion of the UMTRA Project.*~~
4d. Vicinity property audiovisual records and photographs that substantiate the condition of vicinity properties before, during, and after remedial action. Permanent. Transfer to NARA upon completion of the UMTRA project. change per John Davenport e-mail of 1/4/00. SyElter	~~*Destroy 1 year after completion of the UMTRA Project.*~~ ~~*Basis for Appraisal: This type of record was used only as reference during the remedial action and will not be required to substantiate performance upon formal completion of the UMTRA Program.*~~

General, Administrative, and Management Records (continued)

Record Type	Disposition
5.0 Audit Records	
5a. Audit records (internal and external) and reports of compliance with standards, regulations, procedures, and codes that prevent or mitigate the consequences of events causing unreasonable risk to the environment or the health and safety of UMTRA employees and the public.	*Permanent.* TRANSFER TO NARA 25 YEARS AFTER CUTOFF. ~~*Basis for Appraisal: These records contain evidence of legally enforceable rights and obligations of the Federal Government and are of significant historical value because they are related to long-term environmental and public health and safety issues.*~~ *Currently under a moratorium.**
5b. Records relating to audits, appraisals, surveillances, evaluations, and inspections conducted by or on behalf of the DOE Headquarters audit staff and the Government Accounting Office (GAO). Not related to UMTRA Program quality control or certification activities.	*Destroy when 12 years old.* ~~*Basis for Appraisal: This series provides administrative and legal value, documenting the UMTRA Programs compliance with Federal, State, and local laws and regulations.*~~ *Currently under a moratorium.**
5c. Records relating to audits, appraisals, surveillances, evaluations, and inspections conducted by DOE field elements or the DOE Headquarters audit staff of UMTRA Program contractors and supporting DOE organizations. Not related to UMTRA Program quality control or certification activities.	*Destroy when 12 years old.* ~~*Basis for Appraisal: This series provides administrative and legal value, documenting the UMTRA Programs compliance with Federal, State, and local laws and regulations*~~ *Currently under a moratorium.**

*DOE issued a department memorandum March 26, 1990, that placed a moratorium on the destruction of epidemiological records. [redacted]

General, Administrative, and Management Records (continued)

Record Type	Disposition
5d. Records relating to audits (internal and external), appraisals (including operational readiness reviews), surveillances, evaluations, and inspections performed by contractor audit staffs. Includes pertinent reports and revisions to those reports. Not related to UMTRA Program quality control or certification activities.	*Destroy when 7 years old.* ~~*Basis for Appraisal: This series provides only short-term administrative value after project completion and does not provide evidential, historical, or financial value.*~~ *Currently under a moratorium.*[*]
6.0 Communication Records	
Records documenting internal administration and operation of UMTRA Project communication functions including telecommunications service and operational records, telephone reports, postal records, mail control documents, and documents relating to commercial delivery service (e.g., FedEx, United Parcel Service).	*Destroy when 3 years old or at completion of UMTRA Project, whichever occurs first.* ~~*Basis for Appraisal: This series provides only short-term administrative value and does not provide evidential, historical, or financial value.*~~ Note: Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.

[*]DOE issued a department memorandum March 26, 1990, that placed a moratorium on the destruction of epidemiological records. [redacted]

General, Administrative, and Management Records (continued)

Record Type	Disposition
7.0 Correspondence (mission critical and general)	
7a. Mission critical correspondence is related directly to the primary functions of the UMTRA Program. This material documents the development of plans and policies pertaining to the mission or functions for which the UMTRA Program has primary responsibility; the correspondence contains opinions and decisions of an important nature or those that set precedent. This material includes all correspondence with the individual States, Tribes, and regulators (e.g., EPA, U.S. Army Corps of Engineers); evidence of contractual direction between DOE and the contractor; and internal contractor correspondence that implements DOE directives.	*Permanent.* TRANSFER TO NARA 25 YEARS AFTER CUTOFF. ~~*Basis for Appraisal: This series provides historical value, documenting the mission, functions, and responsibilities of the UMTRA Project.*~~
7b. General correspondence normally consists of forms, letters, memorandums, reports, and other types of records that are general in nature and encompass a wide variety of subjects. This type of record material is normally arranged and filed by general information or subject. Correspondence documenting routine business and administrative activities.	~~*(See Category 1.0 "Administrative Management Records," Section 1b, for disposition guidance.)*~~ DESTROY 2 YEARS AFTER THE COMPLETION OF THE UMTRA PROJECT

Note: This record series does not include correspondence covered elsewhere in the GRS or DOERS.

General, Administrative, and Management Records (continued)

Record Type	Disposition
8.0 Employee Qualification Training Records	
Records of training courses or sessions relating to hazardous, toxic, or radioactive materials (including uranium mill tailings), radiation safety or critical safety, or where chronic or hazardous exposure may have had an effect on employees. Records such as on-the-job training, including written examinations used to qualify, certify, or re-certify employees; simulation and operational evaluation records; employee indoctrination or orientation checklists; records of training exemptions, recertification records; documentation of qualification for one-time-only special tests and operations; results of medical examinations required as a training prerequisite; qualification lesson plans, including written examinations; attendance rosters; documentation of required performance items; course lesson plans; and visitor files.	*Destroy 75 years after completion of UMTRA Project.* *Currently under a moratorium.** (NI-434-89-12, item 9) ~~*Basis for Appraisal: This series provides significant long-term value because it documents the administration of the employee qualification program and provides the basis for evidential value showing that employees were adequately trained and protected during the performance of the UMTRA Project.*~~
9.0 Freedom of Information Act Requests File	
9a. Records created in response to requests for UMTRA-related information under the Freedom of Information Act (FOIA); these records consist of the original request, a copy of the reply, and all related supporting files that granted access to the requested records. Includes requests for nonexistent records in which the requests were not appealed.	*Destroy 4 years after date of reply.* ~~*Basis for Appraisal: This type of record documents the dissemination of information to the general public and may be used to substantiate the release of data for litigation.*~~

*DOE issued a department memorandum March 26, 1990, that placed a moratorium on the destruction of epidemiological records. [redacted]

General, Administrative, and Management Records (continued)

Record Type	Disposition
9b. Records created in response to requests for UMTRA-related information under FOIA that denied access to all or part of the UMTRA records requested.	*Destroy 6 years after date of reply or 6 years after the specified time period during which the requester could file suit, whichever is later.* ~~*Basis for Appraisal: This type of record documents the dissemination of information to the general public and may be used to substantiate the release of data for litigation.*~~
10.0 Industrial Hygiene Records	
Records pertaining to hazards other than radiologic at UMTRA Programs. Records include, but are not limited to, surveying, sampling, respiratory protection, exposure and monitoring reports (including logs) on asbestos; industrial noise and dust; nonionizing radiation; chemical carcinogens; sampling protocols; monitoring reports; Hazard Communication Program records; air quality management records; and all other industrial hygiene program, research, and technology development records.	*Destroy when 75 years old.* ~~*Basis for Appraisal: This series provides significant long-term value because it documents the nonradiologic hazards that employees may have been subjected to and the protective measures applied during the performance of the UMTRA Project.*~~ *Currently under a moratorium.**

*DOE issued a department memorandum March 26, 1990, that placed a moratorium on the destruction of epidemiological records. [redacted]

General, Administrative, and Management Records (continued)

Record Type	Disposition
11.0 Legal	
This category specifically excludes records documenting performance negotiations with vicinity property owners; DOE must retain these records for 75 years after completion of the UMTRA Program. (See Category 20.0, "Subcontract Records and Files," for reference.)	
These records include investigative reports, analyses, recommendations, Community Resolutions, Legal Opinions, Legal Petitions and copies of contractual records related to legal proceedings executed by the UMTRA Program. Includes supporting documents created by the UMTRA Project contractors in providing legal services for DOE.	*Destroy 25 years after completion of UMTRA Project.* * ~~*Basis for Appraisal: This series provides evidential value and evidence of legal actions or obligations of the UMTRA Project and the Federal Government.*~~
12.0 Medical Health Files (employees)	
a. Records documenting employees' health, drug screening, exposure, and psychological histories (as applicable) during the performance of UMTRA Program duties.	*Destroy 75 years after completion of UMTRA Project. Currently under a moratorium.** * (NI-434-89-1, item 4A)

*DOE issued a department memorandum March 26, 1990, that placed a moratorium on the destruction of epidemiological records. [redacted]

General, Administrative, and Management Records (continued)

Record Type	Disposition
b. Occupational Medical Program (OMP) employee drug files include, but are not limited to, printouts of random selections of employees for drug screening, drug urinalysis results and notifications, release and notification forms, initial employment drug screens, supervisor notification forms, DOE correspondence, and test request form regarding biotrace.	Note: The recommended disposition is the same for each type of record identified in the Medical Health Files (employees) series.
	~~*Basis for Appraisal: This type of record provides long-term value; this record file, in most cases, contains the performing subcontractor's employee background medical data substantiating assignment condition prior to and potential exposure during tailings removal and transport.*~~
OMP medical files include, but are not limited to, respiratory questionnaires, history and physical examinations, physicians' visual rating system record forms, blood test results, office laboratory urine test forms, radiology reports, pulmonary function tests, EKGs, audiometric results, ergonomic evaluations, flu shot consent forms, heavy-metals urine test forms, respiratory fit records, pregnancy notification forms, worker's compensation data (including treatment room visits), visits to doctors, copies of accident/incident reports, claim forms, physicians' recommendations to return to work, doctor referrals, and doctor evaluations.	
OMP Exposure History—Employee exposure files include, but are not limited to, OMP employee information, audiological records, heavy-metal exposure histories, heavy-metal screen personnel lists, bioassay results, asbestos questionnaires (initial and periodic), ergonomic evaluations, and annual dose summaries.	

General, Administrative, and Management Records (continued)

Record Type	Disposition
OMP employee psychological files include, but are not limited to, initial evaluation (OMP staff assessments); licensed mental health counselors' diagnoses, symptoms, and treatments; Employee Assistance Program correspondence; employee evaluations for return to work; and counselor statements that allow employees to return to work.	
13.0 Meeting Reports and Minutes of Meetings	
13a. UMTRA-related correspondence that documents meeting transactions and describes a specific course of action or a decision that resulted from a meeting. Documents containing verification of oral direction and/or guidance imparted at a meeting (e.g., bottom-up meetings, State or Tribal interface), typically attended by DOE, contractors, and stakeholders.	*Permanent.* TRANSFER to NARA 25 YEARS AFTER CUTOFF. ~~*Basis for Appraisal: This series provides historical value; it documents the direction of the mission, changes in program direction, and provides background data for significant policy decisions implemented by the UMTRA Project.*~~
13b. UMTRA-related correspondence which documents meeting transactions that are not within Section 13a (e.g., internal contractor staff meetings and DOE/contractor meetings that establish status of a project).	*Destroy when 2 years old or at completion of UMTRA Program, whichever occurs first.* ~~*Basis for Appraisal: These records do not contain any information needed for verification of policies, decisions, actions, or plans related to the UMTRA Project.*~~

General, Administrative, and Management Records (continued)

Record Type	Disposition
14.0 Permits and Access Control Records	
Records requesting, granting, or disallowing access to land, roads, and wells. Records monitoring the presence of contractor and subcontractor employees and visitors to UMTRA Program sites. These records include release surveys, access control logs, and any records identifying workers who accessed areas with airborne radioactivity, heavy metals, or other industrial hygiene hazards.	*Destroy 75 years after completion of UMTRA Project.* *Currently under a moratorium.** ~~*Basis for Appraisal: This series provides long-term administrative and legal value; it documents potential employee exposure and provides background data in support of future litigation.*~~
15.0 Project Control Files	
15a. Documents which provide project level planning and performance. These include such documents as the budget submissions, progress reports (such as the Project Manager's Progress Reports), and independent estimates and validations (e.g. Independent Cost Estimates).	*Destroy 3 years after the budget period.* ~~*Basis for Appraisal: The budget cycle is 3 years. The relevant information for future use will be included in the Project Close-Out Report (Final Close-out Cost Report section).*~~
15b. Documents which provide contractor-level planning and performance. These include the contractor bases of cost estimates and schedule planning which are used to develop the execution planning and progress reporting; approved baseline changes and logs; cost reduction initiatives, validations of contractor systems and data; and progress reporting.	*Destroy 1 year after completion of project.* ~~*Basis for Appraisal: The information is captured in the project-level report, and will be incorporated into the Project Close-Out Plan.*~~

*DOE issued a department memorandum March 26, 1990, that placed a moratorium on the destruction of epidemiological records. [redacted]

General, Administrative, and Management Records (continued)

Record Type	Disposition
16.0 Procurement Records	
These records document the initiation and administration of procurement transactions for remedial action and other services. These records include, but are not limited to, bid/proposal packages, notifications of awards, contracts, requisitions, purchase orders, specifications, leases, interagency and inter-DOE agreements and orders, bond and surety records, and correspondence and related papers pertaining to the expediting, receipt, inspections, and payment for the materials purchased or the services rendered. (See Revision - Next page)	*Destroy 6 years after UMTRA Project completion.* ~~*Basis for Appraisal: This series will provide the necessary data to the Inspector General for the DCAA audit that will be completed within 6 years of completion of the UMTRA Project. This extension beyond the normal retention period is the result of the nature of the remedial actions and the unique auditing demands.*~~
17.0 Public (community) Relations Files	
17a. Records of historical value regarding formal public or community relations informational releases and publications to the various news media. Includes copies of press releases, press conference transcripts, news clippings, fact sheets, and background information.	*Permanent.* ~~A~~ TRANSFER to NARA 25 YEARS AFTER CUTOFF. ~~*Basis for Appraisal: This series provides historical value, documenting the mission, functions, and responsibilities of the UMTRA Project and is related to events that arouse public interest and controversy.*~~
17b. Papers, presentations, and reports created to promote the UMTRA Project and to delineate work status or progress of the UMTRA Programs, including planning, design construction, and completions; news releases; briefing materials for the public and press; and ground-breaking activities. Materials include overheads, pamphlets, leaflets, manuals, and other processed documents.	*Destroy 2 years after completion of the UMTRA Project.* ~~*Basis for Appraisal: This series provides only short-term administrative value and does not provide evidential, historical, or financial value.*~~

Suggested modification to UMTRA Schedule item 16.0:

16.0 Procurement Records

These records document the initiation and administration of procurement transactions for remedial actions and other services. These records include, but are not limited to, bid/proposal packages, notification of awards, contracts, requisitions, purchase orders, specifications, leases, interagency and inter-DOE agreements and orders, bond and surety records, and correspondence and related papers pertaining to the expediting, receipt, inspections, and payment for materials purchased or the services rendered.

16a. Procurement or purchase organization copy, and related papers; transactions of more than $25,000 and all construction contracts exceeding $2,000.

Destroy 6 years and 3 months after final payment.

16b. Procurement or purchase organization copy, and related papers; transactions of less than $25,000 and all construction contracts under $2,000.

Destroy 3 years after final payment.

General, Administrative, and Management Records (continued)

Record Type	Disposition
18.0 Real Property Files	
Note: In most cases the records identified in this series have been accumulated and maintained and will be dispositioned by the DOE Albuquerque Operations Office Facilities Management Division. Because of the diversity of the UMTRA Project, contractor organizations may have compiled pertinent information that requires identification.	Destroy 10 years after unconditional sale or release by the government of conditions, restrictions, mortages, or other liens. ("Contingency" records retirement exception from NARA is required before the records can be accessioned to a regional NARA facility. [DOE 1324.2A Sched. 9, item 2.]
Records pertaining to UMTRA Program land acquisitions; right-of-way easements; land withdrawal; title documentation; deeds; appraisals; mining and mineral claims; appraisals and leases; disclaimers, settlements, and annotations; and use agreements.	~~*Destroy 10 years after completion of UMTRA Project.*~~ *Currently under a moratorium.** ~~*Basis for Appraisal: This series provides administrative and legal value, documenting the functions, interfaces, and responsibilities of the UMTRA Project in support of property acquisition or access (conditional or unconditional).*~~
19.0 Records Management Files	
19a. Document-finding aids and reports that relate to the long-term retrieval of UMTRA Program records.	*Permanent.* TRANSFER TO NARA 25 YEARS AFTER CUTOFF ~~*Basis for Appraisal: This series provides historical value for the long-term retrieval of permanent records accessioned to NARA.*~~

*DOE issued a department memorandum March 26, 1990, that placed a moratorium on the destruction of epidemiological records. [redacted]

General, Administrative, and Management Records (continued)

Record Type	Disposition
19b. General documentation including, but not limited to, descriptive inventories, record disposal authorizations, records schedules, and reports. Policies, plans, and objectives related to the operation of the contractors' records management and document control programs.	*Destroy 3 years after completion of the UMTRA Project.* ~~*Basis for Appraisal: This series provides only short-term administrative value and does not provide evidential, historical, or financial value.*~~ Note: Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference.
20.0 Subcontract Records and Files	
20a. Records pertaining to subcontracts and related solicitations. Records include, but are not limited to, the requisition, engineering estimates, solicitation documents, bid and award documents, subcontract specifications, schedules, payment applications, and supplemental agreements. Davis-Bacon payrolls,employee time records are also included. (1) For transactions of more than $25,000 and all construction contracts exceeding $2,000: Destroy 6 years and 3 months after final payment (2) For transactions of less than $25,000, and construction contracts under $2,000: Destroy 3 years after final payment.	~~*Destroy 6 years after completion of the UMTRA Program.*~~ ~~*Basis for Appraisal: This series will also provide the necessary data for the Inspector General and DCAA audit that will be completed within 6 years of completion of the UMTRA Project. This extension beyond the normal retention period is the result of the nature of the program remedial actions and the unique auditing demands imposed by DOE.*~~

General, Administrative, and Management Records (continued)

Record Type	Disposition
Note: The following type of record within this series provides long-term administrative value. These records may be included in the subcontract file or with formal submittals provided by the performing subcontractor. These records substantiate subcontractor employee history and potential access to hazardous materials. They are required to be retained by the responsible contractor for 75 years after completion of the UMTRA Program, NARA N1-434-89-12, Item 9.	
20b Subcontract records that provide long-term administrative value include, but are not limited to, ~~Davis-Bacon payrolls~~, ~~subcontractor employee time records~~, access logs, subcontractor health and safety training rosters, and incident and safety reports/logs.	*Destroy 75 years after completion of the UMTRA Program.* ~~*Basis for Appraisal: This type of record provides background data to substantiate assignment of subcontract personnel, duties while assigned to the UMTRA Program, and possible employee exposure.*~~

21.0 Travel and Transportation Records

Records pertaining to tailings transport; vehicular access (haul roads) to processing and disposal sites; and monitoring, inspection, and control of transport vehicles. Documents such as trade-off/economic feasibility studies regarding the use of trains, trucks, and slurry transport; transportation routes; highway modifications; access-to-site road information; and any documents related to project transportation issues that pertain to safety and training. Records such as U.S. Department of ~~Transportation certifications, ratings, exemptions; tailgate inspections;~~ repository haul records; and research and technology records. (see ATTACHED Revision.)	*Destroy 75 years after completion of the UMTRA Project.* ~~*Basis for Appraisal: This type of record provides long-term administrative and legal value; this record file, in most cases, contains the performing subcontractor's employee background data substantiating assignment, duties, and potential exposure during tailings transport. In addition, it provides the basis for any exposure that may have occurred to the public along the haul routes.*~~

Suggested modification to UMTRA Schedule item 21.0:

21.0 Travel and Transportation Records

21a. Summary accountability reports, studies and other data that fully documents transport of tailings. Including maps and descriptions of haul roads to processing and disposal sites, equipment and transportation feasibility studies, safety and training records, summary repository haul registers and reports, and research and technology records.

Destroy 75 years after completion of the UMTRA project.

21b. Transportation accountability supporting data such as transportation certifications, ratings, and exemptions, tailgate inspections, and other voluminous materials used to produce the summary information described in item 21a.

Destroy 25 years after completion of the UMTRA project.

General, Administrative, and Management Records (continued)

Record Type	Disposition
22.0 UMTRA Project Policies, Procedures, and Plans	
UMTRA Program and Project plans, formal published reports (including technology development), and record copies of contractor health and safety procedures, directives, and critical project specific procedures.	*Permanent.* TRANSFER to NARA 25 YEARS AFTER CUTOFF. ~~*Basis for Appraisal: This series provides historical value because it documents the tasks, responsibilities, and mission of the UMTRA Project and is related to events that arouse public interest and controversy.*~~

Technical Records

Record Type	Disposition
23.0 Engineering and Construction Records	
These records were created to support certifying or licensing the UMTRA Program sites. This record series generally provides evidence that the provisions of the UMTRA Remedial Action Plan or Agreement have been met. Types of records include, but are not limited to, design, assessments or characterizations (including final verification), calculations, criteria, drawings, and specifications. Other types of records include remedial action documents (including the Remedial Action Plan), technical specifications, field test results, completion reports, certification bases, and applicable quality-control reports.	*Permanent.* TRANSFER TO NARA 25 YEARS AFTER CUTOFF. *Basis for Appraisal: This series provides historical value by substantiating the chronology of the activities of UMTRA Programs and is the basis for regulatory approval by NRC, States, and Tribes.*
24.0 Engineering and Construction Records for Temporary Facilities and Noncritical Activities	
These records that pertain to engineering and construction of the UMTRA Program sites include, but are not limited to, temporary facilities such as water or waste treatment facilities decontamination pad, temporary repository protection, temporary site drainage, site production studies and histories, and off-site disposal of hazardous wastes.	*Destroy 25 years after completion of the UMTRA Project.* *Basis for Appraisal: This type of record provides administrative value; these records will be used to support litigation and as evidence to document the pre- and post-conditions of UMTRA Program sites.*

Technical Records (continued)

Record Type	Disposition
25.0 Government and Environmental Compliance Records	
25a. Records that support the UMTRA Project's, including contractor organizations, compliance with the National Environmental Policy Act (NEPA). These records include, but are not limited to, Environmental Protection Implementation Plans (EPIPs) and Annual Environmental Monitoring Reports/Environmental Monitoring Reports (AEMRs/EMRs), environmental assessments, environmental impact statements, records of decision, NEPA compliance reporting documents, action descriptions, categorical exclusions, and findings of no-significant impact.	*Permanent.* TRANSFER to NARA 25 YEARS AFTER CUTOFF. ~~*These records contain evidence of legally enforceable rights and obligations of the Federal Government and are of significant historical value because they are related to events that arouse public interest and controversy.*~~
25b. Records generated to support DOE's compliance, including the contractor organizations, with DOE, other Federal, State, county, and Tribal policies and laws (excluding NEPA). These policies and laws include, but are not limited to, policies on cultural resources; Resource Conservation and Recovery Act (RCRA); Superfund Amendments and Reauthorization Act (SARA); Clean Water Act; Clean Air Act; Toxic Substances Control Act, and Threatened and Endangered Species Act.	*Permanent.* TRANSFER TO NARA 25 YEARS AFTER CUTOFF. ~~*These records contain evidence of legally enforceable rights and obligations of the Federal Government and are of significant historical value because they are related to events that arouse public interest and controversy.*~~
25c. Administrative records (e.g., accumulated and maintained by contractor organizations to support the UMTRA Program's [DOE's] compliance with the guidance in Section 25b).	*Offer to DOE at the completion of the UMTRA Project; otherwise, destroy on completion of the UMTRA Project.*

Technical Records (continued)

Record Type	Disposition
26.0 Nonsite-Specific Vicinity Property Records	
Correspondence, reports, calculations, drawings, log books, procedures, records of review, and other documentation related to vicinity property remediation but not specific to a particular vicinity property.	*Permanent.* TRANSFER TO NARA 25 YEARS AFTER CUTOFF. *These records provide evidence that the requirements of the UMTRA Project have been addressed and fulfilled, and, as such, they may be used during litigation. They are also of significant historical value because they are related to events that arouse public interest and controversy.*
27.0 State-Owned Temporary Repository Records	
Records pertaining to stabilization, environmental, and health and safety activities performed at a State of Colorado-owned waste dumping repository. This series includes documents such as meeting/telephone conference records, correspondence, haul records, subcontracts, logs, permits, commingled waste reports, personnel breathing zone sample data sheets, chain of sample custody forms, safety meeting rosters, air monitoring reports and samples, repository contamination surveys, health and safety checklists, real-time monitoring data, requests for services and support, aerial photographs, and maps and drawings of the repository.	*Destroy 25 years after completion of the UMTRA Project.* *Basis for Appraisal: This series provides administrative value for the specified time after the project; the record copy resides at the State of Colorado repository. Because of oversight by the Grand Junction Office, this material documents a specific task within the UMTRA Program.*

Other Records and Materials

Record Type	Disposition
28.0 Legislative Records	
Reference documents concerning Superfund, NEPA, Senate and House involvement with UMTRA matters, congressional hearings, and testimony concerning UMTRA.	*Destroy 2 years after completion of the UMTRA Project.*
29.0 Library Materials	
Books, publications, pamphlets, journals, and similar materials used for reference.	*Destroy when superseded, obsolete, or no longer needed for reference. Refer items of potential value to UMTRA Project Records officer for disposition.*