



Department of Energy

Richland Operations Office
P.O. Box 550
Richland, Washington 99352

88-AMC-49

FEB 19 1988

Those on Attached List

Ladies and Gentlemen:

SUBMITTAL OF BASALT WASTE ISOLATION RECORDS

The attached BWIP Project Directive, 88-005, has been issued in order to define the responsibilities, processes, and guidelines necessary for dispositioning BWIP records. This directive also specifies which records must be forwarded to the BWIP Records Center and provides the necessary transmittal form (including instructions) for accomplishing this activity. You are requested to follow this directive in submitting any BWIP records for final retention. Please note that these directives require the submittal of only "Records Material." As further clarification, Records Material also includes those technical records/reports (including electronic records) which are, or were to be provided, as stipulated by the applicable grants/contracts.

If you have electronic records to submit that meet the definition of "Records Material," or if clarification is required, please contact E. W. Higgins of my staff on (509) 376-2536 for further direction.

Sincerely,

John H. Anttonen, Assistant Manager
for Commercial Nuclear Waste

AMC:EWH

Attachment

Addresses - Letter Dated FEB 19 1988

Mr. John J. Linehan, Acting Chief
Operations Branch
Division of High-Level Waste Management
U. S. Nuclear Regulatory Commission
Washington, DC 20555

Mr. Terry Husseman, Program Director
High-Level Nuclear Waste
Management Office
Washington State Dept. of Ecology
MS PV-11
Olympia, WA 98504

Mr. Don Provost
Washington State Dept. of Ecology
MS PV-11
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Ms. Mary Lou Blazek
Hanford Program Coordinator
Siting and Regulation Division
Oregon Department of Energy
625 Marion Street NE
Salem, OR 97310

Mr. Ronald T. Halfmoon, Manager
Nuclear Waste Policy Act Program
Nez Perce Indian Tribe
P. O. Box 305
Lapwai, ID 83540

Mr. Russell Jim, Manager
Nuclear Waste Program
Yakima Indian Nation
P. O. Box 151
Toppenish, WA 98948

Mr. William H. Burke, Director
Nuclear Waste Study Program
Confederated Tribes of the
Umatilla Indian Reservation
P. O. Box 638
Pendleton, OR 97801

Mr. F. R. Cook, On-Site Representative
U. S. Nuclear Regulatory Commission
1955 Jadwin
Richland, WA 99352

Dr. Abdul Alkezweeny
Tribal On-Site Representative
1933 Jadwin, Suite 135
Richland, WA 99352

Mr. Dan Silver
Washington State Institute for
Public Policy
Science and Technology Project
The Evergreen State College
3164 Seminar Bldg.
Olympia, WA 98505

Mr. Ron Kelso
General Accounting Office
Federal Building
Room 176

Stephen H. Kale, Associate Director
Office of Geologic Repositories
Office of Civilian Radioactive
Waste Management, RW-20

James P. Knight, Director
Siting, Licensing and Quality
Assurance Division, RW-24

Ralph Stein, Director
Engineering and Geotechnology
Division, RW-23

PROJECT DIRECTIVE FOR DISPOSITION OF BWIP RECORDS

INTRODUCTION

The Congressional decision to discontinue site characterization at Hanford requires Basalt Waste Isolation Project (BWIP) personnel to closeout project activities in a cost effective and timely manner. This Project Directive specifically addresses the requirements for the collection and disposition of BWIP records material. Applicable regulations include U. S. Department of Energy (DOE) Order 1324.2, "Records Disposition," and General Services Administration, "National Archives and Records Service Records Management Handbook."

PURPOSE

To define responsibilities, processes, and guidelines necessary for the collection and disposition of BWIP records. This includes records generated by or for the Integrating Contractor, DOE-RL, Major Program Participants, and other affected parties, either directly or through contract. This Project Directive supersedes Project Management Procedures Manual (PMPM) 8-113 and 8-121. Both types of records material, information and raw data, are applicable to this directive.

DEFINITIONS

Record Material

For the purpose of this directive, a record is any documentation and any other material, *including electronic records*, that by procedure, customer direction, or as the result of a contract, would have been sent to the *Basalt Records Management Center (BRMC)*.

Incomplete Record Material

For the purpose of this directive, an incomplete record is any documentation that by procedure, customer direction or contractual obligation was designated to become a record, yet was not concluded either by completion of the test, activity, etc., or was not reviewed and validated in accordance with applicable requirements. Incomplete records should also be transmitted to the BRMC.

Non-Record Material

Non-record material is material that does not fit the definition of record material and which may be disposed of without authorization from the Document-/Records Management organization. The following examples apply:

- o Information copies of correspondence on which no documented administrative action is taken.

Project Directive for Disposition of BWIP Records

Non-record material-continued

- o Materials documenting such fringe activities as employe welfare activities and charitable fund drives.
- o Reading file copies of correspondence (letter books).
- o Tickler followup or suspense copies of correspondence.
- o Duplicate copies of all documents maintained in the same file.
- o Extra copies of printed or processed material, official copies of which have been retained for record purposes.
- o Superseded manuals or other directives maintained outside the office that are responsible for directives management.
- o Routing slips.
- o Working papers/notes.
- o Blank forms.
- o Transcribed stenographic material.
- o Processed or published material received from other activities or offices, and which requires no action and is not required for any kind of documentation (the originating office or activity is required to maintain record copies).
- o Catalogs, trade journals, and other publications or papers that are received from Government agencies, commercial firms, or private institutions, and which require no action and are not part of a case upon which action is taken.
- o Correspondence and other records of short term value that, after action has been completed, have neither evidential nor informational value, such as requests for publications, and communications on hotel reservations.
- o Reproduction materials such as stencils and offset masters.
- o Physical exhibits, artifacts, and material lacking documentary value.

RESPONSIBILITIES

Overall responsibility for the collection and storage of project records rests within the Management System Services organization, specifically with Document/Records Management. The Document/Records Management organization provides guidance to project personnel for the collection and disposition of project records.

Project Directive for Disposition of BWIP Records

Responsibilities continued

1. Records Disposition Committee:

The Records Disposition Committee is comprised of project subject matter experts who have been tasked to review a listing of project records for either retention or disposal, and to assist in the development of project guidance for records retention or disposal.

2. Records Holder:

Records holders are those individuals with responsibility for the disposition of records material under their control. Each record holder shall review their files or work area for records that are defined by this directive for transmittal to the BRMC. If the material is determined to be a record, the records holder shall fill out a transmittal form (Attachment A), and provide the completed transmittal form to their manager for approval.

3. Manager, Records Holder:

The manager of the records holder shall review completed transmittals for compliance with this Project Directive.

4. COTR's and Technical Advisors:

This Project Directive shall be invoked by Contracting Officers' Technical Representatives (COTRs), Technical Advisors, other BWIP personnel with contract obligations, participating contractors, vendors/suppliers, and affected parties. It shall be used to assure that the collection and disposition of project records is consistent with the provisions of this directive.

5. Document/Records Management:

The Document/Records Management organization shall *log, assign a transmittal number, and process* all records received. If a problem with the records transmittal or package exists, Document/Records Management will contact the record holder/cognizant manager for clarification. *In the event the record holder/cognizant manager is no longer available, Document/Records Management will have the authority to make appropriate connections/changes to the transmittal form and, if necessary, to the accompanying document.* Records that are designated incomplete on the transmittal shall be stamped as "incomplete" during the *indexing* process.

6. DOE-DCC:

The DOE Document Control Center (DOE-DCC) shall serve as an extension of the BRMC in the collection of DOE records and records of affected parties directly dealing with DOE. The DOE-DCC shall record receipt of records, stamp incomplete records, and arrange for records transport to the BRMC.

Project Directive for Disposition of BWIP Records

PROCEDURE

Record Holder

1. Determines value of record material based upon Project Directive guidelines:
 - a) Raw data vs analyzed data
 - b) Complete vs incomplete records
2. Prepares transmittal:
 - a) Prints/types preparer's name
 - b) Signs transmittal
 - c) Dates submittal; *indicates contract or work order as applicable/or NA*
 - d) *Includes Document/Data No. - if applicable; number of sheets and revision number - if applicable*
 - e) Date of document/data
 - f) Description of document/data
 - g) Total number of pages per package
 - h) Checks if record material is incomplete
 - i) *Adds Remarks - e.g., raw data, if applicable*
3. Packages records material:
 - a) *For the Integrating Contractor, DOE-RL, and Major Project Participants, small quantities of records may be placed in an envelope with the transmittal form on top, labeled to BWIP Document Control, MS H9-17, and transmitted by Courier Services.*
 - b) *If the quantity is too large for an envelope, place the records in "banker type" boxes, put transmittal form inside lid on top of records, tape lid, mark side of box with name of preparer and general contents (laboratory strip charts, seismic data, date, etc.) and call 376-6920 for BRMC to arrange for transportation.*

Project Directive for Disposition of BWIP Records

Packages records material continued

For offsite Major Program Participants and other affected parties, all transmittals should be completed and submitted to the following address:

*Basalt Waste Isolation Project Document Control
345 Hills Street/MS H9-17
P. O. Box 1970
Richland, WA 99352*

- c) Packaging for transmittal of records to the DOE-DCC is the same as that for the BRMC except that records may be hand carried to the DOE-DCC or arrangements can be made by DOE-DCC for pickup.*
 - d) For electronic records, packaging and labeling shall be in accordance with PD-88-008, "Project Directive for Archival of Electronic Media."*
4. Obtain manager's verification signature, bottom of transmittal form, before shipment to or prior to notification for BRMC to arrange transportation.

BASALT WASTE ISOLATION PROJECT RECORDS TRANSMITTAL

TRANSMITTAL NO. _____

SHEET _____ OF _____

 TO: BWP DOCUMENT CONTROL
348 HILLS ST/3000 AREA H9-17

SUBMITTED FOR:

 Retention

Date Submitted: _____

PREPARED BY: _____

Contract/PO/LO/SOW/etc. NUMBER: _____

PREPARERS SIGNATURE: _____

DOCUMENT/DATA NO.	SHT NO.	REV	DATE	TITLE/DESCRIPTION/SUBJECT	INCOMPLETE	SHTS/PAGES	BWP DOCUMENT NO.

REMARKS: The transmittal of these records is in accordance with Project Directive PD-88-005. This effort supports BWP project closure, specifically for project records closeout.

BWP DOCUMENT CONTROL

Date Received: _____ Date to BRMC: _____

Date Processed: _____

BDC Name/Signature: _____

BDC STAMP

THE SIGNATURE BELOW CERTIFIES THAT THE RECORDS SUBMITTED FOR RETENTION BY THIS TRANSMITTAL HAVE BEEN REVIEWED FOR VALUE TO THE NUCLEAR WASTE PROGRAM.

SIGNATURE AND PRINTED OR TYPED NAME _____

DATE _____

 FU 00-000 1000 4
DRAFT