

# ORDER FOR SUPPLIES OR SERVICES

PAGE OF PAGES  
1 1

IMPORTANT: Mark all packages and papers with contract and/or order numbers.

BPA NO.

1. DATE OF ORDER <b>SEP 18 2005</b>		2. CONTRACT NO. (if any) GS35F4813G		6. SHIP TO:	
3. ORDER NO. <b>NRC-33-01-188-008</b>		4. REQUISITION/REFERENCE NO. dtd 04/28/05 CIO-01-188/NSR-05-157		a. NAME OF CONSIGNEE U.S. Nuclear Regulatory Commission Office of Chief Information Officer	
5. ISSUING OFFICE (Address correspondence to) U.S. Nuclear Regulatory Commission Div of Contracts Two White Flint North - MS T-7-I-2 Contract Management Branch No. 3 Washington, DC 20555				b. STREET ADDRESS 11545 Rockville Pike Mail Stop T5-F27	
c. CITY Washington		d. STATE DC		e. ZIP CODE 20555	
7. TO:				f. SHIP VIA	
a. NAME OF CONTRACTOR LABAT-ANDERSON, INC				8. TYPE OF ORDER	
b. COMPANY NAME ATTN: MR. EVERICK BOWENS CONTRACTS MANAGER				<input type="checkbox"/> a. PURCHASE <input checked="" type="checkbox"/> b. DELIVERY	
c. STREET ADDRESS 8000 WESTPARK DRIVE, SUITE 400				Reference your Please furnish the following on the terms and conditions specified on both sides of this order and on the attached sheet, if any, including delivery as indicated. Except for billing instructions on the reverse, this delivery/task order is subject to instructions contained on this side only of this form and is issued subject to the terms and conditions of the above-numbered contract.	
d. CITY MCLEAN		e. STATE VA		f. ZIP CODE 221023105	
9. ACCOUNTING AND APPROPRIATION DATA 511-15-11C-398 R1138 251A 31X0200.511 OBLIGATE: \$70,417.55				10. REQUISITIONING OFFICE CIO OCIO/IRSD/RFPSP/RASS	
11. BUSINESS CLASSIFICATION (Check appropriate box(es))				12. F.O.B. POINT Destination	
<input type="checkbox"/> a. SMALL <input checked="" type="checkbox"/> b. OTHER THAN SMALL <input type="checkbox"/> c. DISADVANTAGED <input type="checkbox"/> d. WOMEN-OWNED <input type="checkbox"/> e. HUBZone <input type="checkbox"/> f. EMERGING SMALL BUSINESS <input type="checkbox"/> g. SERVICE-DISABLED VETERAN-OWNED					
13. PLACE OF		14. GOVERNMENT B/L NO.		15. DELIVER TO F.O.B. POINT ON OR BEFORE (Date) As stated	
a. INSPECTION		b. ACCEPTANCE		16. DISCOUNT TERMS Net 30 days	

17. SCHEDULE (See reverse for Rejections)

ITEM NO. (A)	SUPPLIES OR SERVICES (B)	QUANTITY ORDERED (C)	UNIT (D)	UNIT PRICE (E)	AMOUNT (F)	QUANTITY ACCEPTED (G)
	<p>The Contractor shall provide NRC support to <b>"PROCESS ELECTRONIC SAFE DOCUMENT SUBMISSION FORMS FROM NSIR SECURE CABINETS"</b>, in accordance with the attached Statement of Work and Price SCHEDULE. The Period of Performance of this Work Order/Task No. 8 is Award Date through February 28, 2005.</p> <p>The total ceiling amount of this work order is \$70,417.55. This work order obligates funds in the amount of \$70,417.55. and fully funds this order.</p> <p>Your contacts during the course of this work order are: John Harris, Project Officer, Tel. (301) 415-7228 Heriberto (Eddie) Colón, Contract Specialist, Tel. (301) 415-7135</p>					

SEE BILLING INSTRUCTIONS ON REVERSE	18. SHIPPING POINT		19. GROSS SHIPPING WEIGHT		20. INVOICE NO.		\$70,417.55	17(h) TOTAL (Cont. pages)
	21. MAIL INVOICE TO:							
	a. NAME U.S. Nuclear Regulatory Commission Div. of Contracts, Mail Stop T-7-I-2						NTE	17(i). GRAND TOTAL
	b. STREET ADDRESS (or P.O. Box) Attn: (NRC-33-01-188-008)							
c. CITY Washington		d. STATE DC		e. ZIP CODE 20555		\$70,417.55		

22. UNITED STATES OF AMERICA  
BY (Signature)

*[Signature]*

23. NAME (Typed)  
Robert B. Webber  
Contracting Officer  
TITLE: CONTRACTING/ORDERING OFFICER

TEMPLATE ADM001

SISP REVIEW COMPLETE

OPTIONAL ADM002 (2005)  
PREScribed BY 48 CFR 53.213

ORDER NO. **NRC-33-01-188-008**

**TASK 8: "PROCESS ELECTRONIC SAFE DOCUMENT SUBMISSION FORMS FROM NSIR  
SECURE CABINETS"**

**PRICE SCHEDULE**

Period of Performance: Award date through February 28, 2006

<u>DIRECT LABOR</u>	<u>RATE</u>	<u>EST. HOURS</u>	<u>TOTAL</u>
Project Manager	[REDACTED]	[REDACTED]	\$ 639.60
Systems Analyst V (On-site)	[REDACTED]	[REDACTED]	\$ 837.81
Systems Analyst/Programmer III	[REDACTED]	[REDACTED]	\$37,962.84
Systems Operations Specialist II	[REDACTED]	[REDACTED]	\$30,594.30
<b>TOTAL DIRECT LABOR COSTS</b>			<b>\$70,034.55</b>

**OTHER DIRECT COSTS**

Local Travel	[REDACTED]	\$ 243.00
Parking Fees	[REDACTED]	\$ 140.00
<b>Total Travel:</b>		<b>\$ 383.00</b>

**TOTAL ESTIMATED COST: \$ 70,417.55\***

*\* Reference is made to your revised email cost proposal dated 8/10/2005.*

## STATEMENT OF WORK

### Task 8 - Process Electronic Safe Document Submission Forms from NSIR Secure Cabinets

#### Background

The Records and FOIA/Privacy Services Branch (RFPSB), Information and Records Services Division, Office of Information Services (OIS), supports the NRC's mission by administering the agency's records management program, including the management of official records throughout the NRC in paper, microfiche, or electronic media; operating the NRC File Center including the electronic filing of all Official Agency Records (OARs) in the Agency wide Documents Access and Management System (ADAMS), NRC's primary electronic record-keeping system for its programmatic and certain administrative records; and coordinating the retirement of inactive records from the File Center and from the NRC offices to off-site storage. The branch provides assistance to the NRC staff for the creation, collection, maintenance, retrieval, access, and disposition of records required by the NRC legal and technical programs as well as the administrative functions.

The RFPSB periodically provides support to offices in the assessment, development, and implementation of their records management standard procedures, business processes, and operating guidelines. Resulting support reflects the records management regulations, policies, and procedures contained in the National Archives and Records Administration (NARA) regulations, NRC Management Directive and Handbook 3.53, "NRC Records Management Program," Records Management Guidelines, records management guidance such as the guidance contained in the internal Records Management Web site, and related OIS correspondence.

The Office of Nuclear Security and Incident Response (NSIR) requested OIS assistance to improve the management of their sensitive unclassified safeguards information (SGI) and classified records, and to support the development of a Secure Local Area Network / Electronic Safe (SLES) database containing SGI records.

OIS's tasks were to:

- Inventory NSIR's sensitive unclassified safeguards and classified documents.
- Make recommendations for improving NSIR's records management business processes.
- Provide findings to assist in development of the Electronic Safe (E-Safe) portion of the SLES project.

OIS conducted an inventory of SGI and classified material contained in 76 NSIR safes and lock-bar file cabinets. On November 12, 2004, OIS submitted its report of findings and recommendations (see Attachment 1 - *OIS RMA Assessment and Recommendations*). The data and record/document counts provided in OIS's Records Management Analysis were based on results obtained from inventorying 72% of the NSIR safes and lock-bar cabinets as of May 2004; e.g., 76 of 106 cabinets. A full Safes Assessment shall be completed in 2005 for the 28% of cabinets not previously inventoried and any new safes or cabinets since the inventory

## STATEMENT OF WORK

### Task 8 - Process Electronic Safe Document Submission Forms from NSIR Secure Cabinets

was completed. Since the completion of the previous Safe's inventory (May/June 2004), NSIR personnel has grown by approximately 32% and we expect more than 106 cabinets to be currently in use.

In January 2005, the NRC contracted with LABAT-ANDERSON to address many of OIS's recommendations as defined in Attachment 2 - *Summary SOW RMA 1*. The task order, with a period of performance from January - September, 2005, covers the following records management tasks:

- Develop NSIR Records Management procedures, business processes, and standard operating procedures for all unclassified, Sensitive Unclassified Safeguards Information (SGI), National Security Information (NSI) and Restricted Data (RD) in accordance with NRC and NARA policies.
- Design and implement a process to provide SGI records to a contractor for processing into a pilot electronic records management system and return the records to their Official File Stations.
- Develop and provide limited training to NSIR primary document processing and secretarial staff
- Perform activities to retire inactive SGI records inventoried by OIS in 2004.
- Organize SGI records inventoried by OIS in 2004.

In the text following, the term "container" is used to generically refer to safes or lock-bar file cabinets storing SGI or classified information.

### Scope and Objectives

The objective of this SOW is to further improve NSIR's management of its official documents and agency records. This statement of work addresses the completion of Electronic Safe document submission forms (See attachment 3 - *665ESS\_E-Safe\_Submission\_v4-14-05\_d* and attachment 4 - *665ESP\_E-Safe\_Submission\_v4-14-05\_d*) that will facilitate NSIR SGI documents being collected, delivered, scanned in a SGI document repository and returned to the proper user.

The contractor shall take the necessary actions to contact, meet with, discuss, and otherwise obtain information required to accomplish the items described in this statement of work.

### Tasks

Work performed, and any output produced under this task order, shall incorporate and be in accordance with NRC Management Directive and Handbook 3.53, "NRC Records Management Program," Records Management Guidelines, and records management guidance such as the guidance contained in the internal Records Management Web site. The contractor shall take and distribute meeting notes to the NSIR Project Manager from meetings related to this

## STATEMENT OF WORK

### Task 8 - Process Electronic Safe Document Submission Forms from NSIR Secure Cabinets

project's activities. Contractor support is required in the following areas.

The contractor shall:

- Meet with NSIR SGI Users concerning SGI documents stored in their containers
- Determine which SGI records should be scanned into the Electronic Safe (See attachment 5 - *NSIR File Plan for SGI Records Revised 2005-03-04* and attachment 6 - *ESafe Document Scanning Plan*)
- Create 665 Electronic Safe document submission forms
- Return completed 665 Electronic Safe document submission forms to user for verification and signature.

### Milestones

For the following Milestones, in addition to the specific tasks, the contractor shall summarize processes and procedures discussed and developed during project-related meetings. The meeting summaries shall be distributed in a documented format to NSIR Project Management for review and concurrence.

1. Kick-off meeting.
2. Deliver completed 665 forms to NSIR SGI container owners for review and signature as cabinets are processed.
3. By 5pm on the last Wednesday of the month, the contractor shall provide NSIR Project Management a monthly summary of cabinets and documents processed to date and the status of funds spent against the contract.
4. Completed, user verified, and approved Electronic Safe Document Submission Forms for all NSIR SGI users, and processing all SGI documents that are to be submitted to the Electronic Safe.

### Security Requirements

Each contractor personnel working on this task order **must** possess an active and approved IT Level II security authorization to have access to NRC's SGI information. (Refer to Section D.6 SECURITY of Delivery Order No. NRC-33-01-188)

## STATEMENT OF WORK

### Task 8 - Process Electronic Safe Document Submission Forms from NSIR Secure Cabinets

#### Deliverables Summary and Period of Performance

Task 8 Deliverables and Delivery Schedule	
Deliverables	Estimated Due Dates
1. Kick-off Meeting	Within 5 days of award
2. Meet with NSIR SGI Users; create FORM 665 Electronic Safe Document Submission Forms for SGI documents stored in Secure Cabinets; return forms to user for verification and signature.	As required
3. The contractor shall provide NSIR SLES Project Management a monthly summary of cabinets and documents processed to date and the status of funds spent against the contract.	By 5 p.m. on the last Wednesday of the month.
4. Completed, user verified, and approved Electronic Safe Document Submission Forms for all NSIR SGI users, and processing all SGI documents that are to be submitted to the Electronic Safe.	As completed but NLT February 28, 2005

#### Period of Performance

Award date through February 28, 2005.

**OCIO ASSESSMENT OF  
THE RECEPTACLES NSIR USES TO STORE  
SAFEGUARDS INFORMATION AND CLASSIFIED DOCUMENTS**

**November 12, 2004**

**OCIO ASSESSMENT OF  
THE RECEPTACLES NSIR USES TO STORE  
SAFEGUARDS INFORMATION AND CLASSIFIED DOCUMENTS**

**EXECUTIVE SUMMARY**

In response to the Office of Nuclear Safety and Incident Response's (NSIR) request for the Office of the Chief Information Officer's (OCIO) assistance to improve NSIR's records management practices, NSIR identified 106 receptacles that it uses to store sensitive unclassified safeguards information (SGI) and classified {National Security Information (NSI) and Restricted Data (RD)} documents. The OCIO inventoried only 76 of the receptacles to determine their content. Of the 76 receptacles inventoried, 37 were designated for storing SGI and 39 for storing classified documents. The total storage capacity for the 76 receptacles is 597 cubic feet or 1,492,500 pages. The storage capacity for the SGI receptacles is 370 cubic feet (925,000 pages) and 227 cubic feet (567,500 pages) for the classified documents receptacles. Note that the receptacles for the classified materials included both two and five drawer receptacles both of which had less storage capacity than the SGI receptacles. About 39 per cent of the SGI receptacles' storage capacity is being used and 51 per cent of the classified documents receptacles' storage capacity is being used.

The OCIO found that in general the receptacles are not being used efficiently because only about 37 per cent of NSIR's holdings are active records. About 61 per cent of the SGI holdings are nonrecord (mainly duplicate copies maintained by staff for personal use) (35%) and/or inactive records (26%) that can be destroyed, retired, or considered for retirement to off site storage. Of the classified holdings, about 71 per cent are nonrecord (45%) and/or inactive records (26%) that can be destroyed, retired, or considered for retirement to off site storage. With a storage capacity of 597 cubic feet of material and only 96 cubic feet of the NSIR holdings being active, if the materials identified for destruction and/or retirement were to be removed from the receptacles, about 84 per cent of the receptacles' storage capacity would be available for future use.

OCIO found that there is not a central receipt point for documents generated or received by NSIR and that NSIR does not generate an inventory of its record holdings. In addition, the NSIR staff are not sufficiently trained in records management practices to effectively and efficiently manage NSIR's records.

OCIO is committed to working with NSIR, using a combination of contractor, NSIR, and OCIO resources to improve NSIR's business processes and records management practices. Therefore, OCIO recommends that NSIR provide funds for an OCIO-managed records management contractor to assist with developing business processes to facilitate and control the management of NSIR's documents and records and develop standard operating procedures for those business processes. In addition, OCIO recommends that NSIR management and staff, including the Records Liaison Officer, take the new records management training, "Records Management for NRC Staff," that is available as both an instructor-led Professional Development Center and a Web-based course. OCIO also recommends that the NSIR staff be trained in the use of the aforementioned standard operating procedures that we recommend be developed for NSIR's records and document management business processes.



## BACKGROUND

In January 2004, the Office of Nuclear Safety and Incident Response (NSIR) requested assistance from the Office of the Chief Information Officer (OCIO) to improve its records management business processes by inventorying NSIR's record holdings and making recommendations on the development of the Secure Lan Electronic Safe (E-Safe).

NSIR identified 106 receptacles that it uses to store sensitive unclassified safeguards information (SGI) and classified documents. Because of other higher priority projects, certain NSIR staff members could not participate in the inventory, so NSIR asked OCIO to inventory the contents of only 76 (72%) of the receptacles. OCIO reviewed the various types of NSIR document collections in the receptacles and the record value of the collections. OCIO was also asked to determine whether the collections had approved records disposition schedules and to identify areas where improvements could be made to NSIR's business processes. On the recommendation of NSIR, the findings reflect only holdings actually inventoried. The findings have not been extrapolated to account for the materials that were not inventoried.

## APPROACH

NSIR identified the receptacles that stored only SGI materials and those that stored only classified materials. OCIO, with the assistance of the responsible file custodians, assessed the content of 76 NSIR storage receptacles. The assessment included an interview with each responsible file custodian to gather preliminary information about the content of the receptacle, with verification by the OCIO analyst. The OCIO analyst verified the content of the receptacles by doing a high-level drawer-by-drawer review of each receptacle, instead of a document-by-document review. The volume data collected for each classification; i.e., SGI, classified, and unclassified, consist of the number of documents and the volume in inches for each category. Annual document growth estimates are based on the average annual volume (in inches) of the active material received in each category.

The volumes were determined by counting the actual pages of a sample of the documents and estimating the number of documents in a section of files based on the actual size. For example, OCIO recorded 3 inches of 30-page reports as 17 documents (3 inches X 167 pages per inch, divided by 30 pages per report, equals 17 reports). As a result of finding segments of a particular document with a visible finite number of pages, OCIO chose to use the actual page count for the documents and estimate the number of documents based on the volume in inches captured for those documents. This approach was used to preclude over or under estimating the number of documents by trying to establish an average number of pages to a document and then converting the volume in inches to pages. Using the example cited above, if we were to have used 15 pages as the average document size instead of the actual 30 pages to the document, instead of 17 documents, we would have recorded 34 and over estimated the number of documents by 100 per cent.

The number of documents and volume in inches were tallied for each receptacle and subdivided by classification to allow the data to be aggregated for the E-Safe document and page content estimates. The applicable records disposition schedule was noted for each

inventory entry or marked as unscheduled if there was no records schedule. OCIO also noted any business process issues associated with the storage receptacles, such as a file custodian's uncertainty about the record value of a collection or the account for the material being stored.

## FINDINGS

Corporately, NSIR's files are not logically organized, thus, making it difficult for staff other than a few file custodians to search and retrieve documents when needed. NSIR's holdings consist primarily of subject files (96%) with only 4 per cent case files. NSIR's holdings are primarily record material. Of 262 cubic feet of material, 160 cubic feet (61%) are records and 85 cubic feet (53%) of those records are active; i.e., material that is less than three years old. For recordkeeping purposes, OCIO generally recommends that the prior two years plus the current fiscal years materials be maintained for subject files and that case files be maintained for two years after the case is closed. This rule is employed to control the volume of material stored on site in valuable office space. Because NSIR's inactive records (24%); i.e., mostly records that are older than three years, and nonrecord holdings (39%), mostly duplicate copies, combined equal 63 per cent of NSIR's total holdings, our findings suggest that more than 60 per cent of the receptacles' storage capacity now being used could be made available by properly disposing of nonrecord and inactive record materials. Inactive materials are those records that can be retired to OCIO for placement in off site storage (either because they are subject files more than three years old or case files that have been closed at least two years) for recall if staff has future needs for them.

NSIR maintains a collection of living documents, such as security plans, guard training and qualifications plans, and contingency plans because updates to the plans are still submitted in hard copy, instead of as complete updates in an acceptable electronic format. NSIR plans to continue to maintain these documents in hard copy until an entire updated copy is received on CD-ROM. Although the volume is small, NSIR stores unclassified documents in the same receptacles as the SGI and classified material. The majority of NSIR's records are scheduled. Only four series of records (4 cubic feet altogether) were found not to have records disposition schedules approved by the National Archives and Records Administration. NSIR's annual growth rate is about 10,000 pages for SGI material and about 7,500 pages for classified material.

The NSIR holdings and business process findings are addressed in greater detail below. In addition, the attachment is a "Summary of NSIR's Record Holdings" for your information.

### Record Holdings

#### SGI Material

Total volume - 137 cubic feet (17,813 documents and 342,250 pages)

Record - 89 cubic feet (10,212 documents and 222,500 pages)

- 24 cubic feet (3,613 documents and 60,000 pages) - Active records that should be considered for retrofit into the E-Safe
- 30 cubic feet (200 documents and 75,000 pages) - Living documents, such as security plans, guard training and qualifications plans, and contingency plans that must be maintained in hard copy until an entire updated copy is received in its entirety on CD-ROM

Attachment 1 - NRC-33-01-188-008

- 35 cubic feet (6,399 documents and 87,500 pages) - Inactive records
  - 12 cubic feet (1,488 pages and 30,000 pages) - Eligible for retirement
  - 4 cubic feet (432 documents and 10,000 pages) - Eligible for destruction
  - 19 cubic feet (4,479 documents and 47,500 pages) - Require review for retirement or destruction
- 4 cubic feet (842 documents and 10,000 pages) - Annual growth rate
- Nonrecord, staff working files - 48 cubic feet (7,601 documents and 120,000 pages) -

FINDINGS (Continued)

Classified Material

Total volume - 110 cubic feet (27,356 documents and 275,000 pages)

NSI Material

Record - 59 cubic feet (18,766 documents and 150,000 pages)

- 30 cubic feet (9,388 documents and 75,000) - Active records
- 29 cubic feet (9,315 documents and 72,500 pages) - Inactive records
  - 4 cubic feet (476 documents and 10,000 pages) - Eligible for retirement
  - 22 cubic feet (7,029 documents and 55,000 pages) - Eligible for destruction
  - 3 cubic feet (1,810 documents and 7,500 pages) - Require review for retirement or destruction

3 cubic feet (1,035 documents and 7,500 pages) - Annual growth rate

Nonrecord, staff working files - 45 cubic feet (8,137 documents and 112,500 pages)

RD Material

Record

- 1 cubic foot (63 documents and 2,500 pages) active records
- 1 cubic foot (3 documents and 33 pages) - Annual growth rate
- Nonrecord, staff working files - 5 cubic feet (453 documents and 12,500 pages)

Unclassified Material

Record - 11 cubic feet (1,608 documents and 27,500 pages)

Nonrecord - 4 cubic feet (1,449 documents and 10,000 pages)

Business Processes

- There is no centralized receipt point for incoming documents.
- The NSIR Records Liaison Officer is new to the office and must become familiar with the office's document and records management practices.
- There is no designated Document Liaison Officer (DLO) for coordinating the office's document-processing activities.
- Files Maintenance and Disposition Plans (FMDPs) have not been developed for SGI and classified records.
- NSIR needs standard operating procedures for handling SGI and classified records.
- Documents prepared by NSIR for signature of NRR and NMSS officials are not provided to the File Center as the custodian for NRR and NMSS records.
- Nonrecord working files are commingled with official records.
- NSIR staff commingles documents related to multiple subject/functional areas.
- Former NMSS staff are maintaining copies of older documents that are maintained by the File Center

## Attachment 1 - NRC-33-01-188-008

- NSIR staff is storing administrative records (travel and personal records) in SGI and classified document receptacles.

## RECOMMENDATIONS

OCIO will work with NSIR to ensure that NSIR's business processes and records management practices are in accord with established policies and procedures. OCIO will continue to work with NSIR to accomplish all of the recommendations discussed in this report.

### Record Holdings

- OCIO should take the lead, with NSIR, in organizing active record material to facilitate processing into E-Safe.
- NSIR should take the lead, with OCIO, in reviewing inactive material and retiring or destroying it as appropriate.
- OCIO should take the lead, with NSIR, in developing records disposition schedules for the following record series:
  - Inspection Training Video
  - State Department Cables
  - Shipment Notifications
  - Docket 70 Materials Files
- NSIR management and staff should take the new 3-hour Web-base records management training course and/or the instructor-led Professional Development Center course, both entitled, "Records Management for NRC Staff," to become familiar with the policies and responsibilities for managing agency records and to learn how to distinguish between record and nonrecord material. The Web-based training course is accessible at <http://148.184.142.90/readygo/hr/RecordsManagement/index.htm>.
- OCIO should prepare and provide to NSIR an NRC Form 306, "Files Maintenance and Disposition Plan," for each NSIR Official File Station that contains official records along with a listing of Official File Stations based on the inventory of NSIR's record holdings.

### Business Processes

- OCIO should take the lead to work with NSIR to develop business processes to facilitate the control and management of NSIR's documents and records.
- OCIO will take the lead to work with NSIR to develop standard operating procedures for the above mentioned office business processes, consistent with acceptable document and records management practices.
- NSIR should appoint a Document Liaison Officer to serve as the point of contact for the control of the life cycle of documents generated and received by NSIR.

## **TASK 6 - Develop and Implement NSIR's Records Management Standard Procedures and Records Management Business Processes**

### Background

The Records and FOIA/Privacy Services Branch (RFPSB), Information and Records Services Division, Office of the Chief Information Officer (OCIO), supports the NRC's mission by administering the agency's records management program, including the management of official records throughout the NRC in paper, microfiche, or electronic media; operating the NRC File Center including the electronic filing of all Official Agency Records (OARs) in the Agency wide Documents Access and Management System (ADAMS), NRC's primary electronic record-keeping system for its programmatic and certain administrative records; and coordinating the retirement of inactive records from the File Center and from the NRC offices to off-site storage. The branch provides assistance to the NRC staff for the creation, collection, maintenance, retrieval, access, and disposition of records required by the NRC legal and technical programs as well as the administrative functions.

The RFPSB periodically provides support to offices in the assessment, development, and implementation of their records management standard procedures, business processes, and operating guidelines. Resulting support reflects the records management regulations, policies, and procedures contained in the National Archives and Records Administration (NARA) regulations, NRC Management Directive and Handbook 3.53, "NRC Records Management Program," Records Management Guidelines, records management guidance such as the guidance contained in the internal Records Management Web site, and related OCIO correspondence.

The Office of Nuclear Security and Incident Response (NSIR) requested OCIO assistance to improve the management of their sensitive unclassified safeguards information (SGI) and classified records, and to support the development of a Secure Local Area Network / Electronic Safe (SLES) database containing SGI records.

OCIO's tasks were to:

- Inventory NSIR's sensitive unclassified safeguards and classified documents.
- Make recommendations for improving NSIR's records management business processes.
- Provide findings to assist in development of the Electronic Safe (E-Safe) portion of the SLES project.

OCIO conducted an inventory of SGI and classified material contained in 76 NSIR safes and lock-bar file cabinets. On November 12, 2004, OCIO submitted its report of findings and recommendations. The data and record/document counts provided in OCIO's Records Management Analysis were based on results obtained from inventorying 72% of the NSIR safes and lock-bar cabinets as of May 2004; e.g., 76 of 106 cabinets. A full Safes Assessment will be completed by June 2005 for the 28% of cabinets not previously inventoried and any new safes or cabinets since the inventory was completed. Any records management procedures, business processes, and standard operating procedures developed through the services contracted for will be based on ALL of NSIR safes and lock-bar cabinets, as well as unclassified documents. Since the completion of the previous Safe's inventory (May/June 2004), NSIR personnel has grown by approximately 32% and we expect more than 106 cabinets to be in use.

### Scope

The records and document management procedures, standard operating procedures, and process improvements pertain to all NSIR material, unclassified, classified, RD, and SGI material. For E-Safe implementation purposes, the contractor will limit its focus to only SGI holdings.

### Objective

NRC is seeking contractor support in implementing these findings and recommendations, and assisting with the implementation of the E-Safe. This Task Order provides assistance and support to NSIR for the management pertaining to all NSIR unclassified, classified, RD, and SGI material, and the implementation of procedures to improve the holdings and populate the E-Safe with SGI records.

The contractor is required to take the necessary actions to contact, meet with, discuss, and otherwise obtain information required to accomplish the items described in this statement of work on his/her own initiative with little direct supervision or support. For example, the contractor is expected to access ADAMS and/or the NRC Local Area Network to research guidance contained in related Management Directives, and arrange to meet with the records management staff or document management staff to discuss applicable requirements.

In the following text the term "container" is used to generically refer to safes or file cabinets storing SGI, RD or classified information.

### Tasks

Contractor support is required in the following areas. The contractor shall:

1. Develop a records management system for NSIR's unclassified, classified, RD, and SGI records in accordance with NRC records management policies to include disposition plans for appropriate documents.

The contract output will provide:

- An organized set of records in accordance with approved records schedules.
- A documented process and procedures for handling newly created and received documents.

2. Develop NSIR's records management standard operating procedures, including:
  - Develop the related business processes required to implement sound records management practices for unclassified, classified, RD, and SGI records and documents. This effort shall include creation of records disposition schedules and to identify areas where improvements could be made to NSIR's business processes.
  - Prepare an NSIR records management operational guideline that documents all procedures and processes to include a centralized receipt point for all internally

- generated and incoming documents.
- Describe how unclassified, classified, RD, and SGI records and documents are processed in NSIR, including:
  - Documents created internally and those received from external sources.
  - Maintenance of documents in designated Official File Stations and in nonrecord staff holdings.
  - Distribution.
  - Record or document disposition.
- Develop a NSIR policy which facilitates central control of unclassified, classified, RD, and SGI records and documents processed in NSIR.

The standard operating procedures developed will incorporate and be in accordance with applicable NRC policies and processes.

3. Develop, schedule and conduct limited training for appropriate NSIR staff in:
  - Records management standard operating procedures developed for NSIR records.
  - Document management business processes.
4. Develop and implement the process for:
  - Obtaining source SGI record documents from NSIR staff at the various container locations.
  - Providing the source documents to a Document Processing Center contact for processing into the E-Safe, a pilot electronic record-keeping system.
  - Returning the source documents to appropriate container locations for continued record-keeping purposes.
  - Draft or assist with development of Files Maintenance and Disposition Plans (FMDPs) for SGI, RD, and classified records.
  - Develop standard operating procedures for existing scenarios where:
    - Documents prepared by NSIR for signature of NRR and NMSS officials are not provided to the File Center as the custodian for NRR and NMSS records.
    - Nonrecord working files are commingled with official records.
    - NSIR staff commingles documents related to multiple subject/functional areas.
    - Former NMSS staff are maintaining copies of older documents that are maintained by the File Center.
    - NSIR staff is storing administrative records (travel and personal records) in SGI and classified document receptacles.
    - Records management process for collections of living documents NSIR maintains such as security plans, guard training and qualifications plans, and contingency plans because updates to the plans are still submitted in hard copy, instead of as complete updates in an acceptable electronic format. NSIR plans to continue to maintain these documents in hard copy until an entire updated copy is received on CD-ROM.

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This process shall include:

- Current document flow (day forward).
  - Records forward from the inception of NSIR (April 7, 2002).
  - Selection and processing of selected retrofit documents prior to the beginning of NSIR.
5. Obtain NSIR staff and management consensus and implement specific recommendations to retire inactive NSIR records identified on the individual inventory sheets to the Federal Records Center by assisting with boxing and listing box contents in the OCIO Archival Facility Accountability System.

Milestones

1. Kick-off Meeting held to clarify scope and duration of the project.
2. Document current state of document management and records management processes and procedures, including those for document preparation and distribution.
3. Document NSIR's records management and document management standard operating procedures that reflect NRC policies and procedures to ensure adequate and appropriate record-keeping practices through a centralized receipt and exit point and maintenance of records at designated Official File Stations. Operating procedures to include procedures for the documentation and management of safes and bar-lock file cabinets, and a method describing how NSIR personnel access documents in the Official File Stations. Methodology to include meeting with appropriate members of other offices, such as NRR, NMSS, and SECY, and evaluating their "Best Practices" for inclusion in NSIR procedures.
4. Document record of the process for obtaining source SGI record documents from NSIR staff at the various file locations, providing the source documents to a Document Processing Center contact for processing into the E-Safe and returning the source documents to an appropriate cabinet location based on policies developed. The process is to also address the order of documents to be scanned; e.g., which documents go first, and when.
5. Proof of the implementation of the approved process in support of capturing SGI documents in the E-Safe, from obtaining the documents through returning the documents into the appropriate official file / cabinet station.
6. Document record of the related business processes required to implement sound records management and document management practices, capture and maintain sufficient NSIR records documenting their programmatic actions and responsibilities, and prepare an NSIR records management operational guideline that documents all procedures and processes.
7. Document limited training for NSIR staff in the records and document management, standard operating procedures, and business processes developed for NSIR.



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8. The implementation of specific recommendations identified in the specific OCIO records management analysis inventory sheets to retire inactive NSIR records to the Federal Records Center by boxing and listing box contents in the OCIO Archival Facility Accountability System.
9. The identification of specific file improvement based on inventory findings and assist NSIR staff to implement changes to improve the organization of the remaining SGI records located in the network of formally designated Official File Stations.