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**AUDIT FINDINGS OF THE ADMINISTRATIVE RECORD FILE COPY AT THE
UNITED STATES ENVIRONMENTAL PROTECTION AGENCY - REGION V
OFFICE**

05/31/94

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LETTER**



Department of Energy
Fernald Environmental Management Project
P.O. Box 398705
Cincinnati, Ohio 45239-8705

MAY 31 1994
DOE-1827-94

Mr. James A. Saric, Remedial Project Manager
United States Environmental Protection Agency
Region V - 5HRE-8J
77 W. Jackson Boulevard
Chicago, Illinois 60604-3590

Dear Mr. Saric:

AUDIT FINDINGS OF THE ADMINISTRATIVE RECORD FILE COPY AT THE UNITED STATES ENVIRONMENTAL PROTECTION AGENCY - REGION V OFFICE

An audit of the Administrative Record (AR) file copy at the United States Environmental Protection Agency (USEPA) Region V office was conducted May 9-12, 1994, by the Fernald Environmental Management Project (FEMP) AR staff. Following is an account of the audit.

FINDINGS

1. None of the submittals shipped from the FEMP after the October 1993 audit had been filed in the binders. There were 4 transmittals to the USEPA totaling 712 documents for the staff to merge into the USEPA Region V copy of the AR file.
2. During the October 1993 audit, several documents were found to be missing. Apparently, one box was lost during the June 1993 transmittal. This box was discovered during the May 1994 audit. The box was not of the type that the AR staff uses for shipping; and the contents were found to be in total disarray. The staff spent considerable time reorganizing the documents. It was found that several documents were missing, probably as the result of the re-packaging.
3. One box from the December 1993 transmittal was also found to be repackaged. There were 12 documents and the transmittal letter and index missing from the box.
4. A box from the April 1994 shipment was destroyed and the contents dumped and repackaged. However, when these documents were audited, none appeared to be missing, unlike the December 1993 shipment.

5. One full box shipped in October 1993 was found to be missing entirely. The October transmittal totalled 3 boxes. Box 2 of 3 was nowhere to be found. A quick search was conducted at the USEPA facility, however, the box could not be located. Hopefully this box will appear when the staff returns to perform the October 1994 audit. Arrangements have been made for the AR staff to be notified if and when the box arrives. If by September the box has not been located, the staff will have to recopy approximately 80 documents, including a complete Remedial Investigation report and a complete Feasibility Study for Operable Unit 4.
6. The AR file is running out of space in the Region V records area. The next transmittals will include the 17 volume Operable Unit 5 Remedial Investigation Report and the 13 volume Groundwater Monitoring Report. Provisions need to be made by USEPA staff to provide the AR with more filing space for the documentation.

CONCLUSIONS

The USEPA-Region V AR copy was found to be in good order overall, other than the missing boxes, which resulted in a total of 86 documents missing from this file.

RECOMMENDATIONS

- Because 3 boxes were found to be repackaged, and one box has found to be missing, the AR staff recommends the following:
 - Transmittals will be packaged in stronger re-enforced boxes.
 - Certified Mail should be used for the bi-monthly transmittals. This would only add additional \$2.00/box to the regular postal charges. This would ensure the proper number of boxes are actually at the Region V offices prior to the regularly scheduled semi-annual audits and would enable the AR staff to replace missing documents, and eliminate replacing the missing documents earlier, in the event of a future lost shipment.

Thank you for your assistance in this Administrative Record audit appraisal. If you have any questions, please contact Johnny Reising at (513) 648-3139.

Sincerely,

for 
Jack R. Craig
Fernald Remedial Action
Project Manager

FN:Reising