

Goal 2: Preserve, protect, and make accessible legacy records and information

Long-Term/Annual Measure

Reduce the cost to manage and store information while ensuring all regulatory and stakeholder requirements are met. Reduction is measured in percent from the life-cycle baseline. Goal is a 3 percent reduction below the baseline for FY 2007–2012, increasing to a 10 percent reduction by FY 2015.

Records management serves a key function in meeting LM goals. In the area of environmental legacy management, records management is crucial to the protection of health, environmental, and legal interests of DOE and the public.

As part of the long-term legacy mission, LM will assume ownership and custody of all records (with exceptions addressed on a site-by-site basis) from the closed sites for which LM has assumed responsibility.

The *Legacy Management Information and Records Management Transition Guidance* focuses on LM's goal to preserve and protect legacy records and information. This guidance document establishes a framework for the transfer of records management responsibilities for sites transitioning to LM. It describes the requirements, responsibilities, and procedures for the efficient and cost-effective transfer of custody, ownership, and management of records and other information products from the original site to LM.

Records management practices are critical to the functions of Federal agencies because records provide information about, or evidence of, the organization, functions, policies, decisions, procedures, operations, or other activities. Therefore, the information generated by an agency is created, maintained, and dispositioned through records management processes that ensure the appropriate preservation and retrieval of essential information. Best practices to preserve information and records should be used when transferring records from one organization to another.

Information Technology

One initiative under the *President's Management Agenda* is *Expanded Electronic Government (E-government)*. E-government is broken down into four sections: Capital Planning and Investment Control, Cyber Security, Enterprise Architecture, and E-government Implementation and Alignment Milestones. Within each of the four sections are elements that lead to an overall score for each office. LM has maintained a "green" score (the highest possible rating) for 20 consecutive quarters, or 5 years.



LM has met increasingly stringent criteria without an increase in funding or manpower during the 20-quarter period. Included in these accomplishments are items such as:

- Helping establish and meet the requirements of the *Program Cyber Security Plan* for the Under Secretary of Energy.
- Using enterprise architecture principles to achieve LM's mission by providing one of three segments as representative samples (Environmental Monitoring) for DOE's enterprise architecture program.
- Implementation of the Homeland Security Presidential Directive 12 credential process, completing privacy impact assessments, and realigning networks to accommodate the upcoming Trusted Internet Connection initiative.

While the *President's Management Agenda* requirements continue to evolve, LM's data and applications also continue to expand as additional sites have come under LM's purview. In the last five years, LM has added two major sites, Rocky Flats, Colorado, and Fernald, Ohio, and their data into the LM environment. LM continues to consolidate applications and data into a single data center to maximize effectiveness and reduce cost.

Records Management Program

During 2005, LM performed a records management program assessment and established the policies and procedures needed for a records management program. Upon completion and analysis of the program assessment, LM determined the order of importance in which it would process documents.

All LM employees have been trained in basic records management principles and responsibilities. In conjunction with the training, an LM-wide records awareness campaign was conducted.

LM developed a records management program to meet all regulatory and DOE requirements. The foundation of the program is 3 policies and 17 procedures that cover the life cycle of a record.

On March 18, 2008, LM received the 2008 Information Management Conference's Management/Administrative Excellence Award from DOE's Chief Information Officer in recognition of the dedication and substantial achievements in records management at DOE closure sites. The LM records management and information technology staff were nominated for the award for their work in ensuring the effective transfer and the subsequent preservation of DOE legacy records and information. To date, LM has successfully transferred records and information from 82 sites. LM now manages more than 100,000 cubic feet of physical records and more than 6 terabytes of electronic information. This achievement was accomplished through close coordination with DOE closure site staff, DOE Headquarters staff, and other Federal and state organizations.

LM has been using an electronic record-keeping system, in compliance with U.S. Department of Defense (DOD) 5015.2-STD, to manage hard copy records since 2003, and electronic records since 2006. LM is currently updating its system to ensure continued compliance with DOD standards.

Records support staff can quickly search the LM electronic record-keeping system to respond to Energy Employees Occupational Illness Compensation Program Act (EEOICPA), Freedom of Information Act (FOIA), Privacy Act (PA), litigation, and other requests from its stakeholders.

FY 2004

- Developed the National Stakeholder Database to track stakeholder contact information and to help categorize stakeholders by their interests and affiliations.
- Published the first quarterly *Program Update* newsletter announcing the creation of the Office of Legacy Management. The publication provided information to stakeholders about the various activities within LM.
- Developed the *Site Transition Upon Cleanup, Public Outreach, and Potential Hazards of Radiation* fact sheets and published them on the external website. The fact sheets provided pertinent information to stakeholders about the site transition process from EM to LM.

FY 2004 (continued)

- Overhauled and launched an external website in October. The website proved to be a valuable tool for keeping stakeholders informed about all the programs and announcements within the LM domain.
- Published the first strategic plan for LM stakeholders. The strategic plan, *Managing Today's Change, Protecting Tomorrow's Future*, demonstrated to LM stakeholders DOE's vision and commitment to manage legacy responsibilities effectively and efficiently.
- Developed a plan for accepting and maintaining all records transferred to LM. Records include, but are not limited to, historical site records and long-term surveillance and maintenance records.

FY 2005

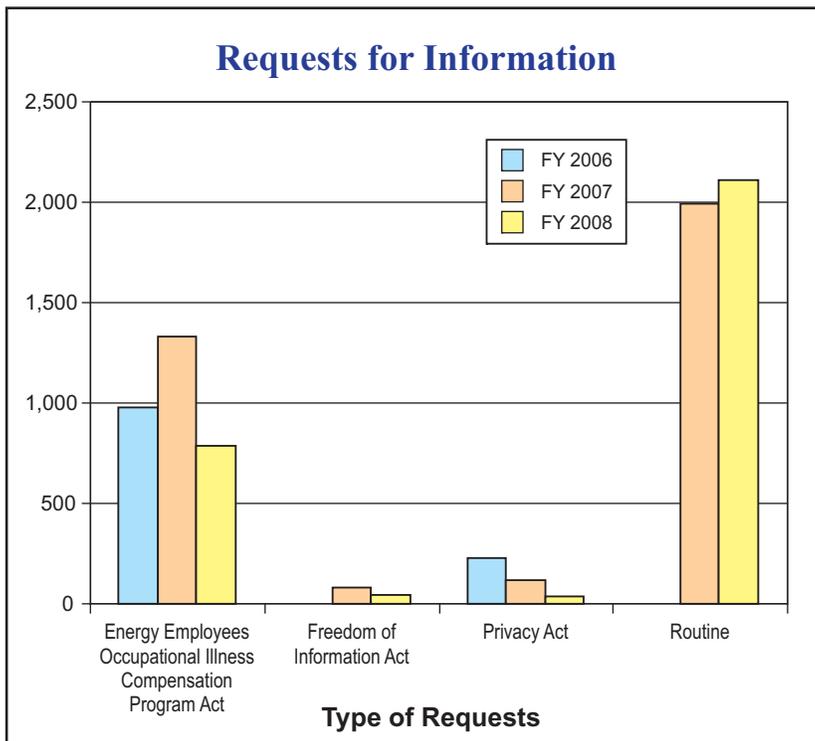
- Developed a life-cycle cost analysis of various alternatives for accomplishing LM's records management mission.
- Completed a conceptual design and value engineering review for an LM records management facility.

FY 2006

- Published a brochure unveiling LM's plan to connect performance targets to budget structure and the decision-making process. As part of this initiative, LM established four goals and associated performance measures. Since then, a fifth goal was established to measure management performance.
- Screened and evaluated more than 12 properties (land parcels) in the vicinity of Morgantown, West Virginia, as possible locations for the LM Business Center and performed due diligence on a short list of properties, including environmental site assessments, title searches, appraisals, geotechnical investigations, and boundary surveys.

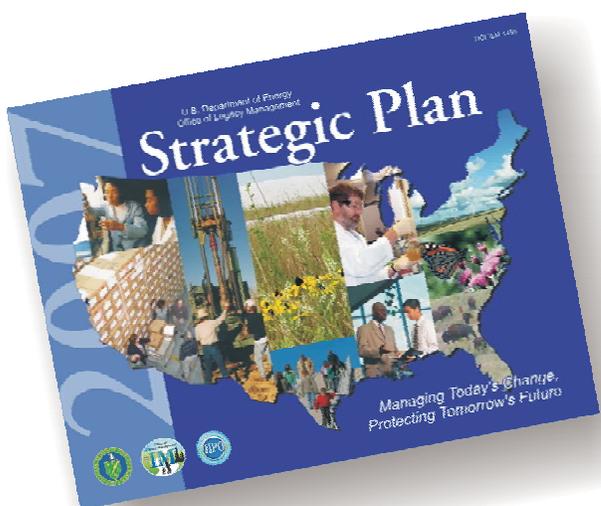
FY 2007

- Published an LM Goal 4 brochure to demonstrate LM's commitment as a steward for lands under its authority, overseeing the proper management of man-made and natural resources, and ensuring their beneficial use for current and future generations.
- Issued an updated version of the LM strategic plan, *Managing Today's Change, Protecting Tomorrow's Future*, in support of DOE's *2006 Strategic Plan*. The LM plan supports DOE's Goal 4.2: "Manage the Department's [DOE's] post-closure environmental responsibilities and ensure the future protection of human health and the environment." An accompanying brochure was also developed to highlight the essential details of the plan.
- Designed and produced the first national stakeholder's exhibit titled, *Our Story*, to help inform stakeholders of LM's commitment to ensure that environmental remedies are functioning properly.



FY 2007 (continued)

- Evaluated the feasibility and desirability of a new project acquisition approach using a build-to-suit General Services Administration (GSA) lease that included lease-scoring analyses, updated life-cycle cost analyses for various alternatives, and market surveys.
- Processed more than 3,500 requests for information associated with EEOICPA, FOIA, PA, and other inquiries.
- Switched to a GSA lease approach for the construction of the LM Business Center and released a Solicitation for Offers.
- Moved forward with the creation of the Consolidated Data Center in Morgantown to reduce cost, improve efficiency, and provide a more reliable information technology infrastructure.
- Exceeded the performance goal of 3 percent cost reduction for managing and storing information while meeting all regulatory and stakeholder requirements.
- Achieved a “green” rating for E-government and continued to work aggressively to fully implement the *Program Cyber Security Plan*.



Rocky Flats, Colorado, Site

LM's responsibilities at Rocky Flats include monitoring groundwater, surface water, and the ecology of the area; maintaining four passive groundwater treatment systems; operating surface water systems; operating and maintaining two closed landfills; and controlling erosion on site.

In addition, custody and maintenance responsibilities for more than 40,000 cubic feet of hard-copy records and folder level indexing of 1.47 million database entries from Rocky Flats were transferred to LM during transition from cleanup to long-term management. These records are accessed on a daily basis in response to public inquiries associated with EEOICPA, FOIA, PA, and litigation. Maintaining new records that are generated during long-term surveillance and maintenance activities are also LM's responsibility.

For more than 40 years, the Rocky Flats Plant near Denver, Colorado, provided nuclear triggers and other specialized non-nuclear metal parts for nearly every nuclear weapon produced in the United States. With the end of the Cold War in the late 1980s, the plant's mission changed to cleanup and environmental remediation.

The cleanup program ended in December 2005 when Deputy Secretary of Energy Clay Sell announced that DOE had verified that the Rocky Flats cleanup met the contract's requirements and that the site was clean and safe. After DOE deemed the cleanup complete, LM took over monitoring and maintenance activities at Rocky Flats. In July 2007, DOE transferred approximately 4,000 acres of land, which had served as the security buffer zone surrounding Rocky Flats, to the U.S. Department of the Interior for use as a national wildlife refuge. LM assumed full responsibility for and jurisdiction over, the remaining acreage at the Rocky Flats site in December 2007.

LM also supports an ongoing community relations program, publishes quarterly and annual reports of site surveillance and maintenance activities, and meets regularly with local stakeholder organizations to inform the public of site conditions.

FY 2008

- Designed and produced an exhibit, titled, *LM by the Numbers*, to statistically display LM's missions.
- Completed a comprehensive analysis of interaction with LM's stakeholders to determine if it was necessary to adjust public outreach strategies. The resources used include the quarterly *Program Update*, a statistical software package, and the National Stakeholder Database. This report provided valuable information with regard to trending the geographical base of LM's stakeholders, tracking their interests, and providing future recommendations to further enhance communications with stakeholders.
- Completed an update to the Jobs Opportunity Bulletin Board System (JOBBS), an existing website set up to allow DOE contractor employers to post available jobs. The update allows users to post résumés directly to the website.
- Established an e-catalog library database system with the ultimate goal of establishing a virtual library system. The selected system is Web-based and allows users to access both traditional and nontraditional library materials. Access is available to LM staff and its contractors across the nation 24 hours a day, seven days a week, enabling them to research the availability of resources to complete assignments and projects.
- Worked with GSA to develop a Solicitation for Offers, evaluated the offers, and awarded the build-to-suit lease for the LM Business Center facility.
- Managed the physical records collection as well as a smaller collection of special media that includes x-rays, photographs and negatives, video and audio tapes, and architectural drawings that require special environmental controls to maintain the integrity of the collections.

