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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

Request for Records Disposition Authority

Records Schedule Number DAA-0434-2014-0001
Schedule Status Returned Without Action

Agency or Establishment Department of Energy
Record Group / Scheduling Group General Records of the Department of Energy
Records Schedule applies to Major Subdivision
Major Subdivision National Nuclear Security Administration
Minor Subdivision NA-20 Defense Nuclear Nonproliferation
Schedule Subject Elimination of Weapons Grade Plutonium Production (EWGPP)
Project Files

Internal agency concurrences will be provided No

Background Information

In 1994, the United States (U.S.) and the Russian Federation agreed to halt the production of plutonium and close their plutonium production facilities. By 2003 Russia had shut down ten plutonium reactors and had three still in operation. The three reactors that were still in operation provided heat and electricity to two Siberian cities that were part of the Russian nuclear weapons complex: Seversk and Zheleznogorsk. The Elimination of Weapons Grade Plutonium Production (EWGPP) project encompassed the permanent shutdown of the last three operating Russian nuclear reactors that produced weapons-grade plutonium used in nuclear weapons.

The duration of the EWGPP Seversk Plutonium Production Elimination Project (SPPEP) and Zheleznogorsk Plutonium Production Elimination Project (ZPPEP) was 2002 – 2011. Under the EWGPP project, the U.S. provided support to the Russian Federation for their construction of replacement fossil fuel energy plants in exchange for the permanent shutdown of the plutonium reactors. The Russian Federation agreed to permanently shut down the reactors once the replacement facilities were operating. Thus, the civilian energy requirements of the surrounding region will be met as the existing plutonium production reactors are replaced with a safe source of heat and electricity.

Former U.S. Secretary of Energy Spencer Abraham and Russian Minister of Atomic Energy Alexander Rumyantsev signed the Implementing Agreement for the project in March 2003. The Department of Energy (DOE) and the National Nuclear Security

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Administration (NNSA) contracted with two U.S. firms, Washington Group International and Raytheon to provide oversight to the Russian Integrating Contractor, Atomostroy. Shutting down the three reactors prevented the generation of an additional 25 metric tons of plutonium for the Russian Federation plutonium stockpile. Both projects followed the intent of DOE Order 413.3, Program and Project Management for the Acquisition of Capital Assets.

INTERNATIONAL PARTICIPATION:

In 2005, Congress provided DOE with the authority to receive international funds to apply to the Zheleznogorsk project. Several countries made vital contributions to the construction at Zheleznogorsk, including the United Kingdom, Canada and the Netherlands.

The projected cost of the EWGPP projects at Seversk and Zheleznogorsk was approximately \$1B (U.S. dollars). Shutting down these reactors represents a significant nonproliferation and nuclear safety achievement to which international funding is critical. Six international donors contributed \$31M to ZPPEP. DOE/NNSA contributed the balance of the funding for a total ZPPEP project cost of \$548.6M.

Seven international partners provided assistance to EWGPP (UK, Canada, Netherlands, Finland, Republic of Korea, New Zealand and Switzerland.

ASSUMPTIONS/KEY POINTS:

1. None of the existing DOE administrative or programmatic record schedules address the international collaboration aspect of this project. The existing project, grant, oversight, procurement, work for others, and project management schedules do not allow for work performed for other countries. Due to the subject, participants, and fiscal cost associated with this project the records must be retained together as a complete project set.
2. All construction, design, drawings, warranty, and facility records relating to the new heat/power plans as well as the reactor shutdown were retained by the Russian Federation. The only records retained by NNSA relate to general project administration, oversight, studies, project plans, travel, and trip reports to and from Russia by NNSA employees, contracts and costs as it relates to the payment of firms in the U.S. contracted to assist in the Elimination of Weapons Grade Plutonium Production (EWGPP) project.
3. Project files closed as of 10-20-2011.
4. The volume of EWGPP project records is 52 cubic feet of which 13 cubic feet are deemed to have historical value and require permanent

WITHDRAWN - RETURNED WITHOUT ACTION

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

retention and accession to the National Archives and Records Administration.

5. The EWGPP project records are currently stored at the Washington National Records Center (WNRC) under accessions 434-12-0579 for permanent retention and 434-12-0992 for temporary retention. All boxes have a detailed index included in the box and attached electronically to request.

ACRONYMS:

DOE Department of Energy

EWGPP Elimination of Weapons-Grade Plutonium Production

NNSA National Nuclear Security Administration

SPPEP Seversk Plutonium Production Elimination Project

U.S. United States

WNRC Washington National Records Center

ZPPEP Zheleznogorsk Plutonium Production Elimination Project

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	11

GAO Approval

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

Outline of Records Schedule Items for DAA-0434-2014-0001

Sequence Number	
1	INTERNATIONAL PARTICIPATION RECORDS Disposition Authority Number: DAA-0434-2014-0001-0001
2	PROGRAM/PROJECT STUDIES AND REPORTS Disposition Authority Number: DAA-0434-2014-0001-0002
3	PROGRAM/PROJECT MANAGEMENT PLANS AND REPORTS Disposition Authority Number: DAA-0434-2014-0001-0003
4	QUALITY ASSURANCE PROCEDURES, PLANS AND POLICIES Disposition Authority Number: DAA-0434-2014-0001-0004
5	PROCUREMENT, CONTRACTS AND FINANCIAL DATA Disposition Authority Number: DAA-0434-2014-0001-0005
6	AUDITS, ASSESSMENTS, AND PROGRAM REVIEWS Disposition Authority Number: DAA-0434-2014-0001-0006
7	CORRESPONDENCE AND COMMUNICATION RECORDS Disposition Authority Number: DAA-0434-2014-0001-0007
8	PRESENTATIONS, MEETING MINUTES AND BRIEFING RECORDS Disposition Authority Number: DAA-0434-2014-0001-0008
9	NATIONAL/INTERNATIONAL TRAVEL RECORDS AND REPORTS Disposition Authority Number: DAA-0434-2014-0001-0009
10	NUCLEAR SAFETY UPGRADE PROJECT RECORDS Disposition Authority Number: DAA-0434-2014-0001-0010
11	CORE CONVERSION PROJECT (PRE-EWGPP) RECORDS Disposition Authority Number: DAA-0434-2014-0001-0011

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: **DAA-0434-2014-0001**

Records Schedule Items

Sequence Number	
1	<p>INTERNATIONAL PARTICIPATION RECORDS</p> <p>Disposition Authority Number DAA-0434-2014-0001-0001</p> <p>Foreign Summit Donor Meeting Reports, International Contribution Procedures, International Participation Conference and Participation Records, Memorandums Of Understanding With International Contributors, Year End International Participant Reports.</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff at project completion.</p> <p>Retention Period Destroy 10 year(s) after cutoff.</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>PROGRAM/PROJECT STUDIES AND REPORTS</p> <p>Disposition Authority Number DAA-0434-2014-0001-0002</p> <p>Studies and reports prepared and received to explore all potential avenues to replace/convert the Russian nuclear power plants to prohibit the production of weapons grade plutonium. Studies and reports include but are not limited to: feasibility studies, solution fact finding reports, reactor core conversion/shutdown reports, nuclear power replacement option study, technical evaluation reports.</p> <p>Final Disposition Permanent</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p>

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

Disposition Instruction

Cutoff Instruction Cutoff at project completion.
Transfer to the National Archives for Accessioning Transfer to the National Archives 10 year(s) after cutoff.

Additional Information

First year of records accumulation 1999
End year of records accumulation 2011
What will be the date span of the initial transfer of records to the National Archives? From 1999 To 2011
How frequently will your agency transfer these records to the National Archives? Every 10 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	6 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

3

PROGRAM/PROJECT MANAGEMENT PLANS AND REPORTS

Disposition Authority Number DAA-0434-2014-0001-0003

Program and project management plans and reports maintained during the lifecycle of the project to document critical decisions, design, project execution, and performance baselines. Records include project execution plans, configuration management plans, acquisition strategy, risk management/analysis plans, project control plans, systems engineering plans, financial management plans, environmental management plans, conceptual design reports, requirements, quarterly progress reports and monthly progress reports.

Final Disposition Temporary
Item Status Withdrawn
Is this item media neutral? Yes

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff at project completion

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

4 QUALITY ASSURANCE PROCEDURES, PLANS AND POLICIES

Disposition Authority Number DAA-0434-2014-0001-0004

Quality assurance records prepared, received and maintained during the project lifecycle to support design, construction, and operation the two Russian steam plants. Records include policies, plans, and procedures which verify the project was conducted and activities performed in accordance with applicable requirements.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff at project completion.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

5 PROCUREMENT, CONTRACTS AND FINANCIAL DATA

Disposition Authority Number DAA-0434-2014-0001-0005

Procurement, contract, and financial information maintained during the lifecycle of the project. Records include statements of work, request for proposal, contracts, business change proposals, task order modifications, financial vouchers, invoices, payment records, and monthly reports applicable to national and international contractor.

Final Disposition Temporary

WITHDRAWN - RETURNED WITHOUT ACTION

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff at project completion.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
6	AUDITS, ASSESSMENTS, AND PROGRAM REVIEWS	
	Disposition Authority Number	DAA-0434-2014-0001-0006
	Records and related documents created and received during internal and external audits, appraisals, surveillance, self-assessments, management assessments, evaluations and verification of the project. External entities include but are not limited to the Government Accounting Office (GAO), Inspector General (IG), and Defense Contracting Audit Agency (DCAA). Records include all correspondence, notes, attachments, working papers, and products of the investigation; e.g., a report or the equivalent including additional non-conformance reports, trend analyses, corrective action records and plans, lessons learned, and associated working papers, reviews, comments, and log books.	
	Final Disposition	Temporary
	Item Status	Withdrawn
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cutoff at project completion.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
7	CORRESPONDENCE AND COMMUNICATION RECORDS	
	Disposition Authority Number	DAA-0434-2014-0001-0007

WITHDRAWN - RETURNED WITHOUT ACTION

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

Project correspondence including communications between the Department of Defense, Ministry of the Russian Federation, and Secretary of Energy Linton Brooks. Topics including International Agreements, Access Approvals, Task Orders, Conflict Resolutions, and other high level topics between senior officials over the course of the EWGPP project life-cycle.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff at project completion.

Transfer to the National Archives for Accessioning Transfer to the National Archives 10 year(s) after cutoff.

Additional Information

First year of records accumulation 2002

End year of records accumulation 2011

What will be the date span of the initial transfer of records to the National Archives? From 2002 To 2011

How frequently will your agency transfer these records to the National Archives? Every 10 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	4 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

8

PRESENTATIONS, MEETING MINUTES AND BRIEFING RECORDS

Disposition Authority Number DAA-0434-2014-0001-0008

WITHDRAWN - RETURNED WITHOUT ACTION

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

Presentations, meeting minutes, agendas, and briefing information maintained for international briefings, program reviews, congressional briefings, senior management presentations, point program managers executive committee meetings, and quarterly project reviews.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff at project completion.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

NATIONAL/INTERNATIONAL TRAVEL RECORDS AND REPORTS

Disposition Authority Number DAA-0434-2014-0001-0009

Original access requests and documentation for Russian Individuals visiting the United States and Department of Energy facilities, and NNSA employees visiting Russia and Russian controlled facilities. These records provide an account of all foreign individuals who were granted access to the DOE facilities. Records also include detailed trip reports of meetings, topics discussed, and resolution to any outstanding actions or issues.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff at project completion.

Transfer to the National Archives for Accessioning Transfer to the National Archives 10 year(s) after cutoff

Additional Information

9

WITHDRAWN - RETURNED WITHOUT ACTION

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Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

First year of records accumulation 2002
End year of records accumulation 2010
What will be the date span of the initial transfer of records to the National Archives? From 2002 To 2010
How frequently will your agency transfer these records to the National Archives? Every 10 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	3 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

10

NUCLEAR SAFETY UPGRADE PROJECT RECORDS

Disposition Authority Number DAA-0434-2014-0001-0010

Records created, received, and applicable to Nuclear Safety Upgrade Project Plans which are included, as required, in the Russian Quid Pro Quo Agreements, Milestones, and Reviews, Reactor Shutdown Project Execution Plan, Technical# Economic Investigation Reports, and Reactor Shutdown Options.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff at project completion.

Retention Period Destroy 10 year(s) after cutoff

Additional Information

GAO Approval Not Required

WITHDRAWN - RETURNED WITHOUT ACTION

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0434-2014-0001

11

CORE CONVERSION PROJECT (PRE-EWGPP) RECORDS

Disposition Authority Number DAA-0434-2014-0001-0011

Compilation of select project records from the 1992 – 2001 Core Conversion Project. The Core Conversion Project began as a precursor to the EWGPP until the scope, direction, and program solution of core conversion for the three Russian reactors designed for plutonium production to the design and construction of two steam power plants. The records retained from the Core Conversion Project were used as reference and historical documentation during the EWGPP.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff at project completion.

Retention Period Destroy 10 year(s) after cutoff

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WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule. **DAA-0434-2014-0001**

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 in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
10/02/2014	Return to Submitter	Ivan King	Program Analyst	Agency Wide - Agency Wide
11/04/2014	Certify	Ivan King	Program Analyst	Agency Wide - Agency Wide
08/06/2015	Return Without Action	Steven Rhodes	Appraiser	National Archives and Records Administration - Records Management Services

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