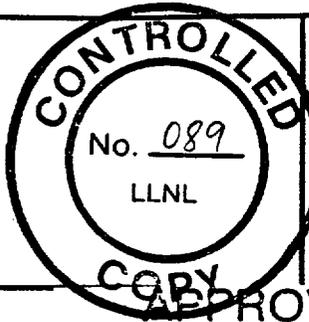


University of California

 Lawrence Livermore
National Laboratory

**JCCA MOUNTAIN PROJECT
QUALITY ASSURANCE PROGRAM PLAN**



No.: 033-YMP-R 17

Revision: 1

Effective Date: 5/18/92

Page: 1 of 8

Subject:

QUALITY ASSURANCE RECORDS

**APPROVED FOR
INTERIM USE**

Training Required: Yes No *N/A* *John 5/13/92*

Comment: ~~Training personnel only.~~

Approved by: *W. L. Glavin* *5/12/92*
Yucca Mountain Project Leader Date

Approved by: *Dean Wolfe* *5-11-92*
YMP Quality Assurance Manager Date

1.0 GENERAL REQUIREMENTS

Records that furnish documentary evidence of quality are specified, prepared, and maintained in accordance with the requirements of this Section. This includes the requirements that all documents be legible, identifiable, and retrievable.

1.1 DEFINITION

A document or other item is not considered to be a Quality Assurance Record until it satisfies the definition of a Quality Assurance Record as defined below. The term records, used throughout this Section is to be interpreted as Quality Assurance Records. Quality Assurance Records include (1) individual documents that have been executed, completed, and approved and furnish evidence of the quality and completeness of data (including raw data), and activities affecting quality; (2) documents prepared and maintained to demonstrate implementation of quality assurance programs (e.g., audit, surveillance, and inspection reports); (3) procurement documents; (4) other documents, such as plans, correspondence, documentation of telecons, specifications, technical data, books, maps, papers, photographs, and data sheets; (5) magnetic media; and (6) other materials that provide data and document quality, regardless of the physical form or characteristic. A completed record is a document that will either receive no more entries or whose revision would normally consist of the reissue of the document; and is signed and dated by the originator and, as applicable, by personnel authorized to approve the document. Records are distributed, handled and controlled in accordance with written procedures.

1.2 ESTABLISHING A RECORD SYSTEM

A record system or systems is established by the LLNL-YMP at the earliest practicable time consistent with the schedule for accomplishing work activities.

1.2.1 RECORDS MANAGEMENT

The record system is defined, implemented, and enforced in accordance with written procedures, instructions, or other documentation prepared in accordance with 033-YMP-R 5.

Consistent with applicable regulatory requirements, the YMPO establishes requirements concerning record types and retention including duration, location, and assigned responsibility.

1.2.2 MINIMUM RECORDS

Sufficient records are specified, prepared, and maintained to furnish documented evidence of activities that affect quality. The records include at least the following: operating logs, the results of reviews (i.e., data, analysis), inspections, tests, audits, monitoring of work performance, and materials analyses. Also, the records include closely related data such as qualifications of personnel, procedures, and equipment. A list of typical QA records is contained in Appendix E.

1.2.3 CONTROL OF RECORDS

Requirements and responsibilities for record transmittal, distribution, retention, maintenance, and disposition of QA records are established and documented.

No.:	Revision:	Date:	Page:
033-YMP-R 17	1	5/18/92	3 of 8

1.3 PRESERVATION OF RECORDS

The procedure that defines the implementation of the record system for the LLNL-YMP identifies measures to be implemented for the preservation and safe-keeping of the records before storage and for the prevention of delays between record completion and storage at the **YMPO Central Records Facility (CRF)**.

1.4 RETENTION CLASSIFICATION

For purposes of record retention, all LLNL-YMP records are classified as lifetime records and are retained at the **LRC or CRF** for the life of the YMP.

2.0 GENERATION OF RECORDS

2.1 RECORDS SPECIFICATION

The applicable design specifications, procurement documents, implementing procedures, operational procedures, or other documents specify the records to be generated, supplied, or maintained by the LLNL-YMP.

2.1.1 QUALITY OF RECORDS

Documents that are designated to become records are legible, identifiable, accurate, complete, reproducible, microfilmable, and appropriate to the work accomplished.

2.1.2 COMPLETION OF RECORDS

Documents that are designated to become records are completed in accordance with the methods specified in **implementing procedures**.

3.0 VALIDATION OF RECORDS

3.1 METHODS OF VALIDATION

Documents are considered valid records only if stamped, initialed, or signed and dated by authorized personnel, or otherwise authenticated in accordance with approved procedures. These records are originals or reproduced copies. Authentication may take the form of a statement by the responsible individual. Handwritten signatures are not required if the document is clearly identified as a statement by the reporting individual.

3.2 AUTHENTICATION LIST

The LLNL-YMP maintains a list containing the signatures and initials of the personnel authorized to authenticate records.

4.0 RECEIPT OF RECORDS

4.1 RECEIPT CONTROL

The LLNL-YMP designates a person as responsible for receiving the records. The designee is responsible for organizing and implementing a system of receipt control of records for permanent and temporary storage in accordance with approved procedures. The receipt control system is structured to permit a current and accurate assessment of the status of records during the receiving process. As a minimum, the receipt control system includes the following:

- A method for designating the required records.
- A method for identifying the records received.
- Procedures for receipt and inspection of incoming records.
- A method for submittal of completed records to the storage facility without unnecessary delay.

4.2 PROTECTION OF RECORDS

The individual responsible for receiving records provides protection from damage, deterioration, or loss during the time that the records are in their possession.

5.0 RECORDS IDENTIFICATION

5.1 IDENTIFICATION DESIGNATION

Records or indexing systems, or both provide sufficient information to permit identification between the record and the items or activities to which it applies. Records are clearly identified by a unique number or other designation which is directly traceable to controlling programmatic information (e.g., project, contract number, task number, preparing organization, author, date, title, subject, etc.). The identification number or other designation is not repeated. The YMPO or its designee reviews and approves the records identification system of the LLNL-YMP to assure consistency.

5.2 INDEXING SYSTEM

The records are indexed and the indexing system or systems include, as a minimum, the location of the record within the records system or systems.

6.0 PERMANENT STORAGE FACILITY

Records are controlled from the time they are complete until the time they are stored in a permanent storage facility. Temporary storage, preservation, safe keeping, and retrievability of completed records are in accordance with the requirements applicable to the permanent storage of records. The use of dual storage facilities is an acceptable alternative to a single fire-rated, environmentally controlled facility.

6.1 STORAGE LOCATION

The records are stored in a predetermined location or locations that meet the requirements of applicable standards, codes, and regulatory agencies.

6.2 STORAGE PROCEDURE

Before the records are stored, a written storage procedure is prepared and responsibility assigned for enforcing the requirements of that procedure. As a minimum, this procedure includes the following:

- A description of the storage facility.
- The filing system to be used.
- The method for verifying that the records received are legible and are in agreement with the transmittal document.
- The method of verifying that the records are those designated (see Paragraph 4.1).
- The rules governing access to and control of the files.
- The method for maintaining control of and accountability for records removed from the storage facility.
- A method for filing supplemental information (see Paragraph 9.0).

7.0 PRESERVATION

Records are stored in a manner approved by the LLNL-YMP. In order to preclude deterioration of the records, the following requirements apply:

- Provisions are made in the storage arrangement to prevent damage from moisture, temperature, and pressure.
- Records are firmly attached in binders or placed in folders or envelopes for storage in steel file cabinets or on shelving in containers.
- Provisions are made for special processed records (e.g., radiographs, photographs, negatives, microfilm, magnetic material, etc.) to prevent damage from excessive light, stacking, electromagnetic fields, temperature, and humidity.

8.0 SAFEKEEPING

8.1 MEASURES TO PRECLUDE ENTRY

Measures are established to preclude the entry of unauthorized personnel in the storage area. These measures guard against larceny and vandalism.

8.2 REPLACEMENT, RESTORATION, OR SUBSTITUTION

Measures are taken to provide for replacement, restoration, or substitution of lost or damaged records. These measures are accomplished within 90 days following determination that either a record has been lost or a record has been damaged to a degree that it is no longer complete or legible.

9.0 CORRECTED INFORMATION IN RECORDS

9.1 METHOD

Records are corrected in accordance with written procedures that provide for appropriate review or approval by the LLNL-YMP.

9.2 IDENTIFICATION

The correction includes the date and the identification of the person authorized to issue such correction and does not obliterate the corrected data.

10.0 STORAGE FACILITY

Records are stored in facilities constructed and maintained in a manner that minimizes the risks of damage or destruction from natural disasters, such as winds, floods, or fires; environmental conditions such as high and low temperatures and humidity; and infestation of insects, molds, or rodents.

10.1 TEMPORARY STORAGE FACILITIES

The LLNL-YMP LRC is designated a "Temporary" storage facility.

Containers shall bear a UL label (or equivalent) certifying one-hour fire protection or be certified by a person competent in the technical field of fire protection. Temporary storage of records is allowed for a limited period of time as specified in procedures after a completed record package is accepted at the local records center. One-of-a-kind records shall not be stored in temporary storage facilities. However, while no one-of-a-kind records are anticipated, limited period of time is allowed for processing to the CRF.

10.2 ALTERNATIVE SINGLE FACILITY

The following are acceptable alternatives for an alternate single facility.

- Two-hour fire-rated vault that meets the National Fire Protection Association (NFPA) 232-1986.
- Two-hour fire rated Class B file containers that meet the requirements of NFPA 232-1986.
- Two-hour fire rated file room that meets the requirements of NFPA 232-1986 with the following additional provisions:
 - An early-warning fire detection and automatic fire suppression capability with electronic supervision at a constantly attended central station
 - Records storage in fully-enclosed metal cabinets
 - Adequate access and aisle ways

No.:	Revision:	Date:	Page:
033-YMP-R 17	1	5/18/92	7 of 8

- Work that is not associated directly with records storage or retrieval is prohibited in the file room
- Smoking, eating, or drinking are prohibited in the file room
- Two-hour fire rated dampers or doors in all boundary penetrations.

10.3 Dual Facilities

If storage at dual facilities for each record is provided, then the facilities are at locations sufficiently remote from each other to eliminate the chance of exposure to a simultaneous hazard. Neither facility is required to satisfy the requirements of Paragraph 10.2 but they must meet the other requirements of this document.

11.0 RETRIEVAL

11.1 PROVISIONS

Storage systems provide for retrieval of information in accordance with planned retrieval times based upon the record type. Final reports contain a listing, by unique number or other designation, that enables prompt retrieval of all documents used to compile or evaluate the report. This listing includes as a minimum, all referenced documents, peer review or other review documents, computer codes, data sheets, procedures, and test plans. All documents referenced by final reports, except readily available references such as encyclopedias, dictionaries, engineers handbook, etc. are retrievable from the Records Information System (RIS).

11.2 PERSONNEL

A list is maintained that designates those personnel who have access to the files.

11.3 ACCESSIBILITY

Records maintained by the LLNL-YMP at LLNL or other location (on an interim or other basis) must be accessible to the YMPO or its designated alternate.

12.0 DISPOSITION

12.1 ACCESSIBILITY AT VARIOUS LOCATIONS

Records accumulated at various locations, prior to transfer, are accessible to the YMPO either directly or through the LLNL-YMP.

12.2 CUSTODIAN

The custodian inventories the submittals, acknowledges receipts, and processes records in accordance with this document or the procedures implementing this document.

12.3 REQUIREMENTS OF REGULATORY AGENCIES

Various regulatory agencies have requirements concerning records that are within the scope of this document. The most stringent requirements are used to determine final dispositions.

12.4 NONPERMANENT RECORDS

LLNL-YMP nonpermanent records shall not be disposed of until the applicable conditions listed in (a) through (e) below are satisfied:

- (a) items are released for shipment, a Code Data Report is signed, or a Code Symbol Stamp is affixed;
- (b) regulatory requirements are satisfied;
- (c) operational status permits;
- (d) Warranty consideration is satisfied;
- (e) OCRWM and YMPO requirements are satisfied.

12.5 SUPERSEDED RECORDS

When LLNL-YMP controlled documents or records are revised, the superseded versions will be retained in the records system.