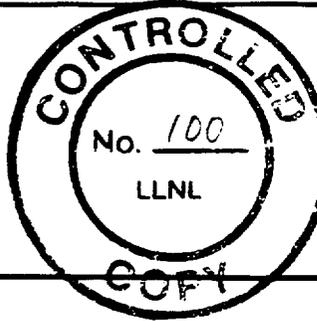


University of California

Lawrence Livermore
National Laboratory

UCCA MOUNTAIN PROJECT
Quality Procedures



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Subject: QUALITY ASSURANCE RECORDS

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Training Required: Yes No

Comment: Training required for all
Project personnel

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Yucca Mountain Project Leader

5/19/92
Date

Approved by: Dean Wolfe
YMP Quality Assurance Manager

5/19/92
Date

17.0.1 PURPOSE

This procedure describes the Lawrence Livermore National Laboratory (LLNL) Yucca Mountain Site Characterization Project records management system for the collection, identification, and processing of Quality Assurance records to Yucca Mountain Site Characterization Project Office (YMPO) Central Records Facility (CRF).

Requirements and responsibilities are established in this procedure for transmittal, receipt, distribution, retention, maintenance, and disposition of QA records. YMP Quality Assurance records, including superseded records, are classified as lifetime records to be retained for the life of the Project.

17.0.2 SCOPE

This procedure applies to all quality assurance records generated as the result of work accomplished including identified quality assurance records generated by subcontractors engaged in work in support of YMP. The term "records" used throughout this procedure is to be interpreted as "quality assurance records."

17.0.3 RESPONSIBILITIES

The LLNL-YMP Project Administrator, or designee, establishes a Local Records Center (LRC) and systems and procedures for records management activities, and manages operation of the systems.

The LLNL-YMP Quality Assurance Manager, or designee, verifies compliance with procedural requirements applicable to records.

The Record Source collects records received and generated by YMP activities and submits them to the LRC.

17.0.4 TERMS AND DEFINITIONS

See Tab C, "Terms and Definitions," for definitions that particularly apply to this procedure:

Accession Number	Project Microfilming Center (PMC)
Authentication	Project Records
Central Records Facility (CRF)	QA Records
Document	Record
Draft Document	Records Information System (RIS)
Draft Document (Preliminary)	Record Package
Information Copy	Record Package Identifier
Limited Value Material	Record Segment
Local Records Center (LRC)	Record Source
Nevada Test Site (NTS) Local Records Center (LRC)	Records Turnover Package
Non-Processed Materials	Specially Processed Records
One-Of-A-Kind Records	Working Files
Participant Internal Records	YMP Participant
	YMP Records

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17.0.5 PROCEDURE

17.0.5.1 General

The appropriate Task Leader may perform actions assigned to the Record Source by this procedure.

Records that furnish documentary evidence of quality are identified in the "Quality Assurance Records" section of individual Technical Implementing Procedures and Quality Procedures.

17.0.5.2 Transmittal of Records to Local Records Center

When an activity has been completed, the **Record Source** collects and transmits to the LRC records generated but not previously submitted by that activity. The records must be transmitted to the LRC not later than 10 working days after the records are completed. The **Record Source** assures that the records submitted for that activity contain all documentation specified in the Quality Procedures and activity plan, if applicable.

The Record Source verifies that each record is legible, identifiable with the activity it relates to, accurate, complete, reproducible, and that it is appropriate to the work accomplished.

Records furnish documented evidence of activities that affect quality. Minimum records include (as appropriate) the following: scientific notebooks, results of technical and peer reviews, inspections, tests, audits, data sheets, procedures, test plans, interim and final reports, computer codes, materials analyses, and closely related data such as qualifications of personnel, processes and equipment. References such as encyclopedias, dictionaries, and handbooks, are not maintained in the records system.

The **Record Source** verifies the record or record package is complete:

- (a) It must include all attachments unless the attachment or enclosure has been identified as being previously processed into the records system (identify by the accession number).
- (b) Blanks in records must be filled in or "N/A" entered unless: (1) the record clearly states that given a certain response, only a portion of the record must be completed; (2) the record source provides a statement, signed and dated, that the record was reviewed and it was determined that all the blanks were intentional, or (3) the records states that only applicable items are to be completed.

Documents that may be excluded from the records system include information copies, limited value material, non-processed material and participant internal records, all of which are described in Tab C, Terms and Definitions.

Record segments may be transmitted to the LRC for safekeeping. Record segments, such as calibration information and personnel training and qualification information, are not required to be submitted to the LRC until the package is complete, which occurs when the equipment is no longer used or when the individual leaves the LLNL-YMP organization.

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Records are transmitted to the LRC using a Records Transmittal Form (Exhibit A). Record packages are transmitted to the LRC using a Records Package Form, Table of Contents (Exhibit B). The records source must designate the record as QA or QA:NA, and indicate the WBS number to at least the third level. On record packages, the records source must indicate the record type (QRP - quality related package; ARP - administrative record package; RTP - record turnover package, which can include non-quality related materials; PRP - personal records package).

17.0.5.3 Receipt and Acceptance of Records at the Local Records Center

Record transmittals received by the LRC are inspected to assure they are legible, identifiable, complete (in accordance with pagination and table of contents), suitable for microfilming and are authenticated per the signature authentication list maintained by the Training Coordinator. 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 may be originals or reproduced copies. Authentication may take the form of a statement by the responsible individual or organization. Handwritten signatures are not required if the document is clearly identified as a statement by the reporting individual or organization.

17.0.5.3.1 Rejection of Records by the LRC

Any problems encountered on receipt inspection will be resolved before the record is accepted into the records system. Records requiring further completion or correction will be rejected by the LRC and returned to the source.

Corrections to completed records may be made by the Record Source. If corrections are not extensive, the acceptable method is to scribe a single line through the incorrect information taking care not to obliterate it, enter the correct information in close proximity, and sign or initial and date the correction. Erasures or correction fluid are not acceptable for correcting information on records.

Mark-outs that are made during the development of records such as Scientific Notebooks are not considered corrections. A memo or statement signed by the records source identifying those mark-outs as being made during the record generation process is required before that record is accepted by the LRC.

If a record has been rejected either informally or formally by the LRC, corrections are made as follows:

- (a) Regenerate the record or enhance or transcribe the record. An enhancement or transcription is considered a correction that must be reviewed or approved by the originating organization. The correction must include the date and the signature or initials of the person authorized to issue the correction.
- (b) If a record cannot be corrected or regenerated, documentation must be provided stating the impact of the illegible information on future, in-process, or completed work. This documentation must be signed and dated by the record source and approved by the record source's supervisor and must accompany the record upon submittal to the LRC. No "Best Available Stamp" is allowed.

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A log of rejected record transmittals will be maintained by the LRC. Record transmittals not returned will be referred to the LLNL-YMP Project Leader or Quality Assurance Manager for resolution, if necessary.

17.0.5.3.2 Acceptance of Records by the LRC

LRC personnel indicate receipt and acceptance of records into the records system by initialing and dating the transmittal form and returning a copy to the Record Source.

Records accepted by the LRC are logged using a computer based document logging system. An LRC identification number, one generated in accordance with the DOE approved records identification system, is assigned to the record. This number is a unique, sequential number which identifies the record to the YMP project.

The data base record log may include; record date, date received, LRC I.D. No., record I.D. No. (if any), title or subject, author name and/or organization, recipient name and/or organization, Work Breakdown Structure Number to at least the third level, file location, and other information specific to that record.

17.0.5.3.3 Revision of Previously Accepted Records

A revision of the record or record package may be submitted by referencing the original record or package, and transmitting the revision to the LRC. **This method of documentation also applies if an error is identified in a previously accepted record. Records may be identified as a revision, a supplement to a previous record or as superseding the previous record. These records must be authenticated by the original record source or by someone with equivalent technical or administrative knowledge and authority.**

17.0.5.3.4 Damaged or Lost Records

If the Record Source determines that a record is illegible, not complete, damaged, or lost and cannot be restored or replaced practically, this information is documented as described in this procedure.

If a record becomes damaged or lost once in the LRC, the LRC will request assistance for replacement from the Record Source. If this is not possible, documentation is required as described in this procedure.

17.0.5.4 Record Distribution

Records accepted into the record system may be distributed as well as retained. Those documents requiring controlled distribution will be processed in accordance with Procedure 033-YMP-QP 6.0, "Document Control," Section 6.0.5.3.2.

17.0.5.5 Transmittal of Records to the CRF

The LRC will submit records to the CRF approximately once a week, or every two weeks depending on volume of records, but not later than 30 working days after the records are received and accepted by the LRC. **One-of-a-kind records are submitted to the CRF no later than 10 working days after the records are received and accepted by the LRC.** The LRC transmits records using the Local Records Center Record Transmittal Form (Exhibit C).

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17.0.5.6 Storage and Preservation of Records

- (a) The Task Leader/Record Source assures that from the time of generation/validation of a record until it is delivered to the LRC, the record is protected from damage, deterioration and loss.
- (b) Records received by the LRC are promptly copied. Usually the original is submitted to the CRF and the copy filed temporarily at LLNL. The requirement for dual storage is satisfied by either 1) maintenance of a copy at LLNL and simultaneous submission of the original to the CRF or 2) **prior to submission of the original record to the CRF, maintenance of dual copies at LLNL in separate buildings sufficiently remote from the LRC so that they cannot be destroyed by the same event.**
- (c) The original and dual copy of a record are stored in **appropriate containers** in a manner 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. Specially processed and one-of-a kind records are stored in a manner to prevent damage. Excessive light, stacking, electromagnetic fields, temperature, and humidity are considerations.
- (d) The LRC maintains a list of personnel who have access to the files. The list includes the LLNL-YMP Project Leader, the Quality Assurance Manager, the Project Administrator, the Records Manager and other LRC personnel. All assigned LLNL-YMP personnel have access to the LRC through LRC personnel. **YMPO** or its designated alternate has access to LRC records through the LLNL-YMP Project Leader. **Unauthorized personnel are under constant surveillance by LRC personnel, who are present at all times in the records storage area.**
- (e) Records maintained, or not yet transferred, by the YMP at LLNL or other locations are accessible to the YMPO or its designated alternate upon request.
- (f) Records are assigned an identification number for retrievability. The data base record control log identifies the document location. Records may be removed from storage with proper authorization. An original or one-of-a-kind record may be released by the LRC with the use of a record release form signed by the appropriate Task Leader, the Quality Assurance Manager or the Project Administrator (or designee). Once the original is submitted to the CRF, access is provided through the YMPO.
- (g) Corrections to completed records already processed may be initiated by the Records Source by obtaining necessary approval to retrieve the record from the LRC in accordance with this Section, making the correction in accordance with Section 17.0.5.3.1 and resubmitting the record to the LRC for processing and submission to the CRF.
- (h) If it becomes necessary to restore records, it is accomplished in one of two ways. For records already processed to the CRF, the LRC requests a replacement microfilm from the CRF. If records submitted to the CRF are lost or damaged, a copy will be made from the record copy retained at LLNL, and the record copy will be submitted to the CRF within 90 days.

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- (i) Facilities in which records (including in process one-of-a-kind) are stored are constructed and maintained by LLNL in accordance with LLNL policies and procedures. Records are stored in locked, one-hour fire resistant containers as deemed appropriate for fire protection by the LLNL Fire Chief and meet UL requirements for one-hour fire rating.

17.0.5.7 Retrieval of Records

Requests for retrieval of records are handled as follows. For those records processed to the CRF, for records in process at the LRC or where the original record has not been processed by the CRF, the storage location is determined by accessing the record data base and conducting a search to locate the proper record stored in the LRC. LRC personnel will make necessary copies of requested records and return the record copy to file. Retrieval of records from the LRC is made within 10 working days.

17.0.6 REFERENCES

Lawrence Livermore National Laboratory, Yucca Mountain Project, Quality Assurance Program Plan, Section 033-YMP-R17, Quality Assurance Records.

17.0.7 QUALITY ASSURANCE RECORDS

- Completed Records Transmittal Forms
- QA Record Type Lists
- Record Release Forms
- Record Master Lists
- Record Access Authorization Lists

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RECORDS PACKAGE TRANSMITTAL FORM TABLE OF CONTENTS			
TO: YMP LOCAL RECORDS CENTER, L-217	<input type="checkbox"/> OA <input type="checkbox"/> OA: N/A IDENTIFIER _____		
DATE: _____	PRP, Personal Record Package ARP, Administrative Record Package ORP, Quality Records Package RTP, Non-DA Records Package		
TITLE/SUBJECT: _____			
RECORD NUMBER: _____ <small>(if applicable)</small>		TOTAL NUMBER OF PAGES: _____	
AUTHOR: _____ <small>(if applicable)</small>			
PKG/ REC	RECORD DATE	RECORD TITLE / SUBJECT	RECORD PAGE COUNT
			RECORD ID NO. <small>(if applicable)</small>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
This record is adequate for its intended purpose. All blanks are intentional. Any illegible, uncorrected, or incomplete information does not impact future, in-process, or completed work.			
_____ Signature of Record Source		_____ Date	_____ Record Source Supervisor (when applicable)
PRINT NAME: _____		Date: _____	
LRC RECORD ACCEPTANCE:			
_____ Inspected by:		_____ Date:	
LRC RECORD REJECTION:			
The subject record is rejected for the following reason(s): _____			
Please take appropriate action and respond to the LRC on or before: _____			

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EXHIBIT B
RECORDS PACKAGE TRANSMITTAL FORM - TABLE OF CONTENTS

