Previously TWS MST QA-QP-09, R0

LANL GROUP RESIDENT FILE PROCEDURES

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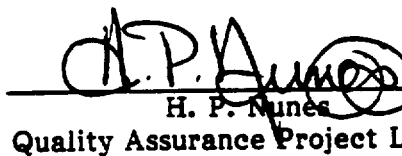
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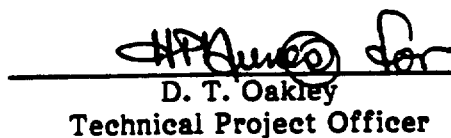
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LANL GROUP RESIDENT FILE PROCEDURES

1.0 PURPOSE

This quality administrative procedure (QP) describes the system by which laboratory groups, working in support of the Los Alamos National Laboratory (LANL) Yucca Mountain Project (hereafter referred to as Project), store, preserve, identify, and distribute Project records. This system ensures that LANL groups comply with the requirements established for the management of Project records.

2.0 SCOPE

This QP applies to both in-process and completed Project records and to each LANL participating group and its subcontractors. This QP is effective as of the date from when it is signed by the Technical Project Officer (TPO). It will remain in effect throughout the life of the Project or until it is revised or rescinded.

3.0 DEFINITIONS

3.1 **Document.** Any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results.

3.2 **One-of-a-Kind Record.** Project records that cannot be readily or conveniently duplicated or microfilmed. One-of-a-kind records include photographic negatives, radiographic films, multicolored maps, map overlays, and magnetic media.

3.3 **Record Package.** Two or more related records that are combined and processed as a single record.

3.4 **Record Source.** Any individual who originates Project Records or receives Project Records from an entity outside the Project.

3.5 **Completed Record.** Project records that are not expected to be changed or to be further revised by the record source. Completed records include drafts that the record source proposes or offers for formal review and for comment or approval.

3.6 **Working File.** Files kept or created by a record source.

3.7 **Resident File.** Files of Project records only. These files are maintained by a custodian appointed by each Laboratory group.

3.8 **Records Processing Center.** The central processing center and repository for Project records at Los Alamos. The Records Processing Center (RPC) is operated and staffed by LANL group N-5.

4.0 RESPONSIBILITIES

4.1 Record Source

The record source is responsible for determining whether a record is a "Project record" and for submitting each completed Project Record to the resident file custodian on a timely basis.

4.2 Resident File Custodian

The resident file custodian is responsible for receiving Project records from each record source and for maintaining and controlling the resident file. The coordination and protection of all group Project records, including the retention, distribution, maintenance, and disposition of the records, is the responsibility of the resident file custodian.

4.3 Group Leader

The group leader is responsible for naming a resident file custodian and an alternate, and for implementing this QP within the group.

4.4 Quality Assurance Support Staff and Quality Assurance Liaison

Quality Assurance Support (QAS) staff members, in cooperation with the RPC, are responsible for training LANL group members in the use of this QP. QAS staff members are also responsible for conducting periodic surveys and audits to verify compliance with this QP and with records management requirements. The Quality Assurance Liaison (QAL) is responsible for record authentication.

5.0 PROCEDURE

5.1 Group Leader

Designate, through a memorandum to the TPO, one group member and an alternate to serve as the Project resident file custodian for the group.

5.2 Record Source

5.2.1 Originate Project records as required by scientific investigation, design, or software development planning documents; Project or N-5 plans and administrative procedures; and detailed technical procedures. Number each page of each record "n of N," where n is the page number and N is the total number of pages comprising the record.

5.2.2 Receive records from entities outside the Project. Decide which records are Project records. Number each page of each Project record as described in Subsection 5.2.1.

5.2.3 Identify Project records. Obtain an alphanumeric identifier for each Project record from the resident file custodian. Apply the identifier to each page of each Project record. Indicate the Work Breakdown Structure element to which the record applies on the first page of each record. Indicate on the first page of each record the Quality Assurance Level Assignment (QALA) of the activity or item to which the record relates.

5.2.4 Sign and date completed records.

5.2.5 Promptly transmit completed records to the resident file custodian.

5.2.6 Complete, repair, or replace records rejected by the resident file custodian. Ensure that the required corrections, changes, and supplements do not obliterate other record contents. If the record is irreparable or irreplaceable, mark the record as "best available copy." Promptly transmit completed, repaired, and replaced records to the resident file custodian.

5.2.7 Turn working files over to the custodian

- when the activity is completed,
- when employment has been terminated, or
- when otherwise directed by the Project.

5.3 **Resident File Custodian**

5.3.1 Establish the resident storage file. Provide for the storage and safekeeping of one-of-a-kind records. **NOTE:** Maintain one-of-a-kind records until they are requested by the Project Office or until LANL participation in the Project terminates.

5.3.2 Prepare a list identifying personnel permitted access to the resident file. Post the list on the outside of the cabinet or drawer(s). Retain one key to the cabinet and issue a second to the alternate. The contents of the resident file must be limited to NNWSI Project records.

5.3.3 Organize and index the resident storage file. Include the following as elements:

- personnel certification and training records;
- letters;
- memoranda;
- procurement records, including purchase requests and receiving inspection reports;
- records documenting the use of measurement and test equipment;
- QALA sheets;
- study, design, and/or software development plans;
- milestone reports; and
- final technical reports.

Include any additional index elements as required in an effort to facilitate the location and access of records.

5.3.4 Implement a record identification system that is specific to the Project and each LANL participating group. The system must uniquely identify each record. Issue identifiers to record sources. Prepare a log to record the use of the identifiers and to indicate the status of the records to which identifiers have been issued. As a minimum, this status should indicate receipt of the completed records from the record source, acceptance/rejection upon inspection, and transmittal to the RPC.

5.3.5 Receive the completed record from record sources. Inspect the record for

- completeness;
- the presence of the identifier, the WBS element number, and the QALA of the related activity or item;
- a title or subject statement;
- the signature of the originator;
- the date of the record; and
- legibility for microfilming.

Return defective records to the record source for correction. Update the status of records accepted for storage and for further processing in the record log.

5.3.6 Preparation of Record or Record Package for Submission to RPC

5.3.6.1 Record Preparation

Prepare two copies of each record.

5.3.6.2 Record Package Preparation

Initiate a Records Package Traveler (Attachment 1) for each Record Package. Enter the date, alphanumeric identification, WBS number, applicable QALA, the title or subject, and the author or record source. Complete the table of contents as indicated. Request the authentication of each Record Package. The QAL is authorized to authenticate records. Obtain the QAL's review, signature, and date. Prepare two copies of each Record Package, attach them to the Records Package Traveler.

5.3.7 Send two copies of each record or Records Package to the RPC. Update the status of records or Records Packages sent to the RPC in the record log. Note: Only a One-of-a-Kind Record Form (Attachment 2) needs to be prepared and sent or included in Record Packages and sent to the RPC when one-of-a-kind records are received.

5.3.8 Verify transmittals to the RPC. On the last working day of each month, send copies of those pages of the record log that describe the status of records processed and sent to the RPC during the month.

6.0 QUALITY ASSURANCE REQUIREMENTS

6.1 Records

The record logs prepared and maintained by the resident file custodian and the Record Package Traveler accompanying each Record Package are the quality assurance records that document the use of this QP. The original log and a copy of each traveler are retained permanently by the resident file custodian. Copies of one-of-a-kind record sheets are also retained by the custodian.

6.2 Document Control

This QP is distributed as a controlled document and maintained by configuration management. Revisions may be proposed by any LANL group member through a memorandum to the the RPC coordinator or to the Quality Assurance Project Manager. Accepted proposals are implemented by the preparation of a revised procedure that shall be reviewed and approved in the same manner as the superseded version. Approved revisions are distributed by the QAS.

7.0 APPLICABLE DOCUMENTS

7.1 Requirement Documents

LANL-NNWSI-QAPP, "Los Alamos National Laboratory Quality Assurance Program Plan for NNWSI (Project)."

NNWSI Project Records Management Plan.

NNWSI Project Administrative Procedure, AP-1.7Q, "NNWSI Project Records Management."

7.2 Related Procedures

LANL-QAS-QP, "Records Processing Center Procedures."

LANL-QAS-QP Document Control

8.0 ATTACHMENTS

Attachment 1, Records Package Traveler
Attachment 2, One-of-a-Kind Record

LANL YUCCA MOUNTAIN PROJECT RECORDS PACKAGE TRAVELER

Date: _____   RP: _____
                                          WBS Identifier

TWS #: _____   QA Level: _____

Title/subject of the package: _____

Author/record source: _____

TABLE OF CONTENTS OF THE PACKAGE
(Use additional page, if necessary)

TWS No.	Title

SUPERSEDED

RPC validation by: _____   _____
                                                              Date
                  _____
                            (print name)

QAS/QAL authentication by: _____   _____
                                                              Date
                  _____
                            (print name)

ONE-OF-A-KIND RECORD

IDENTIFICATION _____

_____

_____

DESCRIPTION _____

_____

_____

_____

LOCATION (Bldg., Room, File)

_____

_____

_____

_____

QUALITY LEVEL _____

RMS NUMBER (Assigned by RPC) _____

SIGNATURE _____ DATE _____

ORGANIZATION _____

The item is not suitable for microfilming and has been stored in its original state or format at this facility. See data base for physical location of this item.