

EFFECTIVE DATE  
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## RECORDS PREPARATION

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**Los Alamos**  
Yucca Mountain Site  
Characterization Project



## RECORDS PREPARATION

### 1.0 PURPOSE

This procedure states how Los Alamos National Laboratory (Los Alamos) Yucca Mountain Site Characterization Project (YMP) records are prepared, temporarily stored, and submitted to the Los Alamos YMP Records Processing Center (RPC).

### 2.0 SCOPE

This procedure applies to Los Alamos YMP personnel and Los Alamos YMP subcontractors (hereafter referred to as YMP employees) and to all Los Alamos YMP records as defined in this procedure. The timeliness standards are suspended for submittal of the backlog qualification, training, and certification records. These backlog records are to be submitted to the RPC by March 1, 1992. After that date, the timeliness standards established by this procedure shall apply.

### 3.0 REFERENCES

ANSI Y 14.2  
36 CFR 1230.20  
55 FR 32288, August 8, 1990 (DOE System 80)  
LANL-YMP-QP-17.5  
YMP/CC-0016, Yucca Mountain Site Characterization Project Records Management Plan

### 4.0 DEFINITIONS

#### 4.1 Accession Number

An accession number is a unique alphanumeric identifier assigned to a record when it is processed into the RIS.

#### 4.2 Authentication

Authentication is the act of attesting that the information contained within a quality assurance document is accurate, complete, and appropriate to the work accomplished. Authentication is accomplished by one of the following methods: (1) dating and stamping, initialing, or signing the record; or (2) providing a written statement by the responsible individual or organization. A Quality Assurance (QA) document does not become a QA record until it has been authenticated.

#### 4.3 Document

A document is any written or pictorial material that describes, defines, specifies, or reports information; or that certifies activities, requirements, procedures, or results of

activities. A document is not considered to be a record until it satisfies the definition of a Los Alamos YMP record.

#### 4.4 Dual Storage

Dual storage is a method of duplicating the storage of records at two widely separated locations (for example, the Resident Files and RPC are located in different buildings) to protect both records from being destroyed simultaneously during a catastrophic event.

#### 4.5 Error Corrections

Error corrections are any alterations that change the value, meaning, or intent of any portion of a YMP record. These include the following: crossed out letters, numbers, or symbols; any letter, number, or symbol written over another; and inserted information. Alterations that do not change the value, meaning, or intent, but that are illegible, are considered errors. Alterations, comments, or suggested changes made to draft documents during the review process are not considered errors.

#### 4.6 Indexing Element

An indexing element is an element (e.g., TWS number, WBS element, date, title, etc.) of a record that is indexed in the RPC and/or Central Records Facility (CRF) database to facilitate record retrieval and traceability.

#### 4.7 Legibility

Legibility is the characteristic of a record that enables the reader to read or deduce its contents. Deduction of information on a record may be determined by the context in which information is used or through reference numbers such as form numbers and purchase request numbers that lead to the discovery of the information from within the same record or record package.

#### 4.8 Los Alamos YMP Record

A Los Alamos YMP record (hereafter referred to as YMP record) is a document and that meets the following criteria: preserves knowledge of events or facts related to YMP, includes all necessary entries, is dated and authenticated, and is ready for submittal to RPC.

- **Draft Document**

Draft documents are documents in the preparation process that are distributed for formal concurrence or review within the Project and may become record material when submitted as part of a record package.

- **In-Process Record**

An in-process record is either a document that does not yet satisfy the definition of a YMP record or a completed individual YMP record that will be submitted only as part of a record package.

- **Non-Quality Assurance Record**

A non-quality assurance record is any document that meets the definition of a YMP record but does not meet the definition of a Quality Assurance record.

- **One-of-a-Kind Record**

A one-of-a-kind record is a YMP record that cannot be duplicated because it would lose its meaning when microfilmed (e.g., radiographs, multicolored maps, and map overlays).

- **Quality Assurance Record**

A QA record is an account that preserves knowledge of events or facts related to Los Alamos quality activities and that is complete and authenticated.

- **Record Package**

A record package is a collection of YMP records that address one particular subject (e.g., QA audit, technical information product, procurement file, training record package). Record packages can include supplemental YMP records and other documents that the originator thinks may contribute to the understanding of the topic.

- **Record Package Segment**

A record package segment is one or more records submitted to the RPC with instructions for dual storage as part of an in-process record package.

- **Special-Processed Record**

Special-processed records are YMP records that cannot be microfilmed on 16-mm rolls of film. These include, but are not limited to, photographs, negatives, magnetic media, and one-of-a-kind records.

#### 4.9 **Nonrecord or Limited-Value Documents**

A nonrecord or limited-value document is a document that may be excluded from all Project records processing and may be disposed of without special authority. Such a document contains information of a transitory nature that furnishes no evidence of quality and has no potential for helping resolve questions regarding future licensing,

environmental issues, or public safety. Nonrecord documents are described in Attachment 1, Identification of Nonrecord Documents.

#### 4.10 Originator

An originator is the person responsible for generating an individual record or for initiating, completing, authenticating, and submitting a record package. Other authorized employees, such as Resident File Custodians (RFCs), that assist compiling of record packages may also act as originators. Hereafter, "originator" includes such authorized personnel. Quality Administrative Procedures (QPs) and Detailed Technical Procedures (DPs) may specify that only certain individuals are allowed to authenticate records.

#### 4.11 Records Information System (RIS)

The RIS is a computerized index, search, and retrieval database system for YMP records maintained by the Project Office.

#### 4.12 Resident File

A Resident File is a file maintained by the RFC to provide dual storage of records.

#### 4.13 TWS Log

A TWS Log is a log of sequential TWS numbers that contains information such as record titles, originators, record dates, and record status. TWS logs are used in tracking Los Alamos YMP records until submittal to the CRF. TWS logs are nonrecord documents maintained by the Los Alamos YMP groups and the RPC as administrative tools.

#### 4.14 TWS Number

A TWS Number is a unique alphanumeric identifier assigned to a YMP record for indexing, traceability, and retrievability of the YMP record.

#### 4.15 YMP Central Records Facility (CRF)

The CRF is the organization operated by the Project Office in Las Vegas, NV, which is responsible for receiving, processing, storing, maintaining, preserving, and retrieving official Project records.

#### 4.16 YMP Records Processing Center (RPC)

The RPC is the Los Alamos local YMP records center where records are collected from the RFC, reviewed for completeness, transmitted to the YMP Central Records Facility (CRF), and stored until the CRF acknowledges receipt and microfilming of records.

#### 4.17 Yucca Mountain Site Office Document and Records Center (DRC)

The DRC is the document and records center established to maintain the records and controlled document functions needed to support Yucca Mountain Site Office efforts at the field site.

### 5.0 RESPONSIBILITIES

Employees who contribute to or generate Los Alamos YMP records are responsible for activities described in Section 6.0 of this procedure.

### 6.0 PROCEDURE

#### 6.1 Record Determination

The originator determines if a document will meet the definition of a YMP record, and if it will, prepares the document according to the requirements described in this procedure. If the document will be a special-processed or one-of-a-kind record, the originator prepares the YMP record according to Section 6.7.

#### 6.2 Determine if the YMP Record Can Be Included in a Record Package

The originator determines if an individual YMP record can be included in a record package or if it must be processed individually. (If the YMP record can be included in a record package, proceed to Section 6.4.)

**NOTE:** When possible, documents or YMP records should be processed in record packages to reduce duplications and facilitate record retrieval.

#### 6.3 Prepare Individual Records

The originator ensures that individual YMP records have all of the following elements that facilitate record identification and retrieval.

- 6.3.1 The originator contacts the Quality Assurance Liaison (QAL) or RFC for a TWS number for the individual YMP record.
- 6.3.2 The originator indicates the work breakdown structure (WBS) number, which is at least a fourth-level number (i.e., WBS 1.2.3.4), in accordance with the WBS element that governs the activity, on the first page of the YMP record in the upper-right corner.
- 6.3.3 The originator determines if the document will be a QA or non-QA record. If the document will meet the definition of a QA record, "QA" is indicated by the originator on the first page of the record in the upper-right corner, near the WBS number. If the document will not meet the definition of a QA record,

"QA N/A" is indicated by the originator on the first page of the record in the upper-right corner, near the WBS number.

- 6.3.4 The originator ensures that the following elements are present on the YMP record or document: record date; the originator's name and/or organization; the recipient's name and/or organization, as applicable; and descriptive record title or subject.

**NOTE:** Specificity in record titles facilitates record retrieval and traceability. The title or subject should be unique and should include such descriptive elements as a main topic, date, and identification or reference number, as applicable. Records that are issued periodically with the same or similar titles should include a descriptor (i.e., date, number, etc.) specific to that particular record.

- 6.3.5 The originator ensures that an individual record meets the Los Alamos YMP records requirements described in Attachment 2, Records Requirements; authenticates the completed QA record according to Section 6.8 or signs the completed non-QA record; and proceeds to Section 6.9.

## 6.4 Prepare a Record Package

A record package with a Record Package Traveler (Attachment 3) may be prepared as documents are accumulated for the package, or the package may be prepared after the last document to be included is complete.

**NOTE:** Documents are not required to have all of the indexing elements described in this section. The indexing elements assigned to the record package will apply to such documents.

- 6.4.1 The originator initiating a record package fills in the appropriate sections of the Record Package Traveler (Attachment 3).
- The originator contacts the QAL or RFC for a TWS number for the record package.
  - If the record package is a quality assurance record, the originator checks the "QA" and "Quality Related Package".
  - If the record package is a non-quality assurance record, the originator checks the "QA N/A" and "Records Turnover Package".
- 6.4.2 If the record package is being prepared after the last document to be included is complete, the originator proceeds to Section 6.6.
- 6.4.3 If the record package is being prepared as documents are gathered, the originator determines whether to dual store the in-process record package and submits the record package segment and a copy of the Record Package



Traveler (Attachment 3), with instructions for single or dual storage, to the RFC.

NOTE: In-process records are not submitted to the RPC except as record package segments for the purpose of dual storage.

## 6.5 Adding to an In-Process Record Package

When additional documents or records are created for inclusion in an in-process record package, the originator updates the end of the table of contents of the in-process package and submits the record package segment and a copy of the updated Record Package Traveler, with instructions for single or dual storage (consistent with instructions given when the package was initiated), to the RFC.

## 6.6 Completing a Record Package

When the last document or YMP record for inclusion in a record package is complete, the originator

- 6.6.1 completes the table of contents on the Record Package Traveler (Attachment);
- 6.6.2 enters the total page count, including all pages of the record package traveler, on the traveler;
- 6.6.3 reviews the record package to ensure that the table of contents is accurate and complete, that all documents and YMP records in the package meet the requirements of this procedure and its Attachment 2, and that the records in the package are accurate and complete; and
- 6.6.4 authenticates the completed QA record package according to Section 6.8.

## 6.7 Prepare Special-Processed Records

The originator

- 6.7.1 prepares one-of-a-kind special-processed records ready for transmittal to the CRF and other special-processed records by completing Page One of the Special-Processed Record Form (Attachment 4), or
- 6.7.2 prepares one-of-a-kind records that are stored in Los Alamos Central Records Management Group (CRM-1) or another appropriate storage facility by completing Page Two of the Special-Processed Record Form.
- 6.7.3 generates machine-readable data as, or converts it to, magnetic tapes. (Contact the Records Coordinator for guidance on CRF acceptance criteria for magnetic media.)
- 6.7.4 authenticates the Special-Processed Record Form according to Section 6.8.

## 6.8 Authenticate Record

The originator authenticates all QA records, Special-Processed Record Forms, and Record Package Travelers.

- 6.8.1 The originator authenticates individual YMP records (e.g., memos and letters) by initialing or signing the dated document.
- 6.8.2 The originator signs and dates the authentication statement on the Record Package Traveler, signifying that the record package has been checked for accuracy and completion.

## 6.9 Submit Record to RPC

- 6.9.1 YMP employees generating records, record packages, data, and other information at the Yucca Mountain Site submit those documents to the Site Document and Record Center (DRC) as defined in site procedures, YMPO instructions, and interparticipant agreements. If the Site DRC is not available, YMP employees shall submit records to the RPC.
- 6.9.2 The originator submits completed YMP records to the RPC or DRC within ten working days after the date of authentication.
- 6.9.3 Before submitting training, qualification, and certification records to the RPC, the Training Coordinator or a designee clearly identifies these records or record packages as "PRIVILEGED."
- 6.9.4 The Training Coordinator submits records for training, qualification, and certification of personnel according to DOE System 80 guidelines.
- 6.9.5 The originator retains one copy of YMP records for the Resident File and submits two copies of YMP records to the RPC.

**NOTE:** The completed, authenticated Special-Processed Record Form for one-of-a-kind records is submitted like other quality assurance records.

- 6.9.6 When the last segment of a dual stored in-process record package is submitted, the originator shall submit two copies of the completed Record Package Traveler, two copies of the last segment of the package, and instructions for completing the package. Because one copy of all other segments is already stored in the RPC, only one copy of previously submitted segments need be submitted. The originator retains one complete copy of the record package for the Resident File.

## 6.10 Correcting Rejected Records

- 6.10.1 The originator who has a record returned from the RFC with a Record Correction Request (Attachment 5) attached corrects the record to meet requirements in this procedure and its attachments.
- 6.10.2 The originator returns the corrected record and completed Record Correction Request to the group RFC.
- 6.10.3 The RFC reviews the corrected record, and, if the record needs further correction, returns the record to the originator for correction until all corrections are completed. When the appropriate corrections have been made, the RFC resubmits the properly corrected record and form to the RPC no later than thirty days from the date of the Record Correction Request (the due date is noted on the form).

## 6.11 Correct Records Previously Transmitted to the CRF

- 6.11.1 An originator may correct, supplement, or supersede existing YMP records that have been submitted to the CRF by creating a new record for submittal to the CRF.
- 6.11.2 The originator submits the corrected, supplemental, or replacement record with a new TWS number and references the TWS number of the previously submitted record. (Contact the Records Coordinator or RPC staff for instructions on how to cross-reference and title resubmitted records.)

## 6.12 Protect and Store Records

- 6.12.1 Originators protect documents and in-process records destined to become QA records against loss or degradation of data by storage in filing devices until they have been authenticated.
- 6.12.2 When requested by the originator, RPC personnel provide one-half of dual storage for in-process YMP record packages in the RPC. Upon receipt of a YMP record package segment, the RPC staff sets up a file according to the originator's instructions for an initial segment or adds the segment to the existing in-process file as instructed.
- 6.12.3 Employees protect completed YMP records from deterioration, damage, or loss through timely submittal for dual storage and by placing them in binders, folders, or envelopes and storing them in enclosed, lockable shelving or cabinets or in lockable offices or file rooms in shelving or cabinets and by meeting the requirements for protection of records listed in Attachment 2.
- 6.12.4 Originators must replace a lost or damaged record within ninety days after discovery of its loss or damage or furnish appropriate documentation as to why the record cannot be replaced or regenerated.

6.12.5 If an employee terminates Project work, the YMP supervisor ensures that all working documents or in-process records are returned to the Project.

## **7.0 RECORDS**

Records resulting from this procedure are as follows:

- QA records
- QA record packages
- Non-QA records
- Non-QA record packages

## **8.0 ACCEPTANCE CRITERIA**

Satisfactory implementation of this procedure is shown by the transmittal of records in Section 7.0 to the RPC.

## **9.0 TRAINING REQUIREMENTS**

All Los Alamos YMP employees are required to be trained to this procedure.

## **10.0 ATTACHMENTS**

- Attachment 1 Identification of Nonrecord Documents
- Attachment 2 Records Requirements
- Attachment 3 Record Package Traveler
- Attachment 4 Special-Processed Record Form
- Attachment 5 Record Correction Request
- Attachment 6 Sample Documentation for Illegible QA Records

## IDENTIFICATION OF NON-RECORD DOCUMENTS

The following materials shall not be captured in the Records Information System (RIS) and may be disposed of without special authority, except when the procedure governing the activity specifically requires the submittal of this material. Such material includes, but is not limited to, the following.

1. Correspondence that is circulated or transmitted for information purposes only and other materials on which no documented action is taken or required. Such materials shall be identified as "INFORMATION COPY" or designated information copy through a routing slip.
2. Correspondence and other materials documenting fringe activities, such as employee welfare activities or charitable fund drives. Other materials of short-term value that, after action has been completed, have neither programmatic nor informational value (i.e., requests for publications and communications on hotel reservations).
3. Tickler, follow up, suspense, or reading file copies of records; duplicate copies of all records (except when part of a record package); and extra copies of printed or processed material (official copies of which have been retained for record purposes).
4. Superseded manuals or other directives maintained outside the issuing office.
5. Routing slips (unless used as official notification).
6. Electronic mail (provided a hard copy of any document meeting the definition of a record has been retained by the appropriate organization).
7. Working papers (i.e., personal notes, reminders, handwritten drafts, or data entry forms).
8. Transmittal sheets (unless used to provide specific quality affecting instructions or criteria or used as official notification).
9. Blank forms.
10. Initial stenographic notes after an official, approved transcription is available.
11. Processed or published material received from other YMP activities or offices that requires no action and is not needed for documentary purposes (the originating office or activity is required to maintain record copies).
12. Catalogs, trade journals, and other publications or papers that are received from government agencies, commercial firms, or private institutions, that require no action and are not part of a YMP activity or task.
13. Reproduction materials (i.e., stencils and offset masters).

14. Physical exhibits, artifacts, and material lacking documentary or quality assurance value to the YMP.
15. Telecopies (facsimiles). If telecopies of signed documents are sent, the original of the signed document(s), including draft documents, must be forwarded immediately through the mail system.
16. Pre-award information and documents (e.g., information on a procurement before contract award, Source Evaluation Board materials, proposal information), except as required as a QA record.
17. Personnel records (e.g., qualification and training records), except as required as QA records.
18. Business sensitive (financial or commercial) information.
19. Company proprietary documents.
20. Personal correspondence (unless submitted by the individual for processing).
21. Preliminary drafts (when so marked).
22. Circulation/direct distribution mail, subscriptions, periodicals, press releases, and news clippings.
23. International draft correspondence, documents, brochures, and literature. Final reports and official documents are not excluded.
24. Documents dealing with the procurement of office supplies and services, such as paper, pens, desks, chairs, and reproduction services (standard photocopying services).
25. Travel vouchers, travel authorizations, purchase requests, training requests, personnel actions, and similar administrative material, where a record copy is retained by another department (e.g., the personnel department) or organizational entity.
26. Contractor-generated progress reports and telephone logs (except when included as part of a required records package).
27. Documents prepared by another DOE organization and submitted to the YMP for routine concurrence or coordination whose subject matter does not relate specifically to the YMP.
28. Documents prepared by participants as input for DOE or other participant final products where the originating Participant has no identified responsibility.

29. Copies of the same enclosure sent to different addressees (as long as one copy of the enclosure is submitted to the RPC).

The RPC and CRE, in conjunction with the responsible individual when appropriate, shall follow these guidelines when questionable records are encountered.

## RECORDS REQUIREMENTS

The originator ensures that legibility, microfilmability, completeness, proper error correction, publication identification, and other records requirements are met.

1. The originator meets the following requirements for record protection.

- Special-processed records must be stored in appropriate containers, and magnetic record media must be isolated from magnetic fields.
- Employees protect one-of-a kind records that are not in use for scientific investigations by storing them in CRM-1 facilities until they are again required for use. (CRM-1 facilities meet 36 CFR 1230.20 requirements for record storage.)
- Single blue-line or sepia drawings, maps, or other "oversize" records with minimum dimensions greater than 14 inches must be rolled (not folded) during transmittal and shall be stored on stick files, in flat (plan) files, or rolled in enclosed tubes.
- Access to each Resident File and to the RPC is limited to the YMP employees identified on the access list posted on the outside of the lockable door or storage unit.
- The Administration and Control Project Leader determines the employees who have access to the RPC and generated, signs, and posts the RPC access list.
- The Quality Assurance Liaison (QAL) determines which employees have access to the Resident File and generates, signs, and posts the RPC access list.
- Employees on the access list may remove records from the file using an outcard system to document the removal.

**NOTE:** Authorized U.S. Department of Energy personnel are permitted to review records when accompanied by a person on the appropriate access list.

- Completed training record packages and file drawers where training records are stored are clearly identified as "PRIVILEGED" and access to such records is limited to authorized employees.

2. The originator ensures that the record is legible and will produce a microfilm image that is legible according to the following criteria:

**NOTE:** To assist in determining microfilmability, copy the record at normal settings and if the copy is legible, the record will meet the legibility requirements.

- The record must be easy to read, clear, and distinct.



- Colored paper must not be used.
- The record should not be torn.
- Photocopies should be aligned properly.
- Photocopies that are reduced must result in a clear and distinct image.
- Black ink should be used on all records submitted to the RPC, except drawings.

NOTE: Photocopies are acceptable.

Black-line drawings are preferred to blue-line or sepia copies.

If blue-line or sepia drawings are the only copies available, they should be stored on stick files, in flat plan files, or rolled in enclosed tubes.

- Records must not have information obliterated.
- Stamps or other marks should not intersect the text of records.

NOTE: This requirement is not applicable to stamps or marks such as preprinted "Controlled" paper or notary stamps.

- Pencil entries are not acceptable as a means of recording information on a record.
- If the original hardcopy is not available for processing, the copy submitted for processing shall emulate the original to the highest degree possible.
- Either the white first page (original) or a legible copy of the other pages of a "no carbon required" form or other paper requiring pressure from writing implement, typewriter, or printer to produce a legible impression shall be acceptable.
- If an illegible QA or non-QA record cannot be corrected or regenerated, documentation must be attached stating the impact of the illegible information on future, in-process, or completed work. (See sample documentation, Attachment 1.) This documentation must be signed and dated by the originator and approved by the record source's YMP supervisor.

3. The originator ensures that errors are properly corrected according to the following criteria:

(The procedural requirement for error correction was not in effect until 8/15/88. Records or pages of records generated before that time do not have to meet these correction requirements. However, if any such pages in a record are corrected after that time, all the pages must be corrected according to these requirements.)

- Records can be corrected only by drawing a single line through the erroneous material, inserting or indicating the correct material, and initialing and dating the correction in close proximity to the correction.
  - Correction fluid or tape must not be used.
  - Records and record packages should not have extraneous information handwritten on the record, with the exception of corrections made in accordance with this attachment.
  - Records personnel, including RFCs, may make administrative corrections to records (e.g., corrections to a page number or page count). Such corrections must be initialed and dated by the person making the change.
4. The originator ensures that the record is complete according to the following criteria:
- All attachments must be included and meet requirements for legibility, completeness and proper error correction or enclosures are identified as not being record material, as preliminary drafts, or enclosures are identified as being previously processed into the records system. The accession number, available from RPC personnel, should be identified.
  - Blanks must be filled in or N/A entered unless the record clearly states that given a certain response, only a portion of the record must be completed, or the originator states that having reviewed the record it is determined that all blanks are intentional. This statement must be signed and dated by the originator.
  - No portions of a page should be missing.
5. The originator ensures that the following records requirements are met.
- All drafts must be clearly marked "Draft".
  - Data recorded on drawings shall be completed in accordance with the latest issue of ANSI Y 14.2. At a minimum, data on drawings must fully comply with current YMP standards for preparation and control of engineering and architectural drawings.
  - All final and scientific reports (reports do not include journal articles, bulletins, or professional papers) must have an accession number assigned and placed on the inside of the back cover or within the acknowledgment section of the report prior to publication.
- All such reports must list and identify, by accession number, cited reference material in the report.

Journal articles, bulletins, or professional papers generated as a result of YMP activities must be submitted to the RPC for processing, but need not receive an accession number before publication.

Such cited reference material shall be submitted for processing by the CRF.

Encyclopedias, dictionaries, text books, and other similar materials do not require accession numbers, and the designation "readily available" may be printed in lieu of the accession number.

6. The originator contacts the Records Coordinator for guidance to ensure that magnetic tapes that will be submitted to the RPC for transmittal to the CRF meet YMP requirements.

# RECORD PACKAGE TRAVELER

|      |            |            |
|------|------------|------------|
| DATE | TWS NUMBER | WBS NUMBER |
|------|------------|------------|

|                  |   |
|------------------|---|
| TITLE OR SUBJECT | <input type="checkbox"/> QUALITY-RELATED PACKAGE<br><input type="checkbox"/> RECORDS TURNOVER PACKAGE |
|------------------|---|

|  |   |
|--|---|
| <input type="checkbox"/> QA <input type="checkbox"/> N/A | TOTAL NUMBER OF PAGES (INCLUDING THIS FORM) |
|--|---|

TABLE OF CONTENTS  
(USE ADDITIONAL PAGE, AS NECESSARY)

| DATE | DOCUMENT NUMBER | TITLE/SUBJECT | PAGE COUNT |
|------|-----------------|---------------|------------|
|------|-----------------|---------------|------------|

|  |  |  |  |
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EXAMPLE

I HAVE REVIEWED THIS PACKAGE, AND TO THE BEST OF MY KNOWLEDGE AND UNDERSTANDING, THE CONTENTS OF THIS PACKAGE ARE ACCURATE, COMPLETE, AND APPROPRIATE RECORD TO THE WORK ACCOMPLISHED. ALL RECORDS IN THIS PACKAGE ARE THE BEST AVAILABLE COPY. ALL BLANKS ARE INTENTIONAL.

|                  |      |
|------------------|------|
| AUTHENTICATED BY | DATE |
|------------------|------|

# SPECIAL-PROCESSED RECORD FORM

COMPLETE THIS PAGE IF THE RECORD IS FOR SPECIAL PROCESSING OR IF A ONE-OF-A-KIND ITEM IS ENCLOSED.

DATE

QA

N/A

WBS NUMBER

TWS NUMBER

SELECT ONE

SPECIAL-PROCESSED ITEM FOR PROCESSING (SENT TO CRF)

DESCRIPTION:

ONE-OF-A-KIND ITEM FOR PROCESSING (SENT TO CRF)

ONE-OF-A-KIND ITEM FOR STORAGE AT LANL CRM-1

DESCRIPTION:

SPECIAL INSTRUCTIONS FOR STORAGE, MAILING, ETC.

ORIGINATOR

DATE

|   |                        |
|---|------------------------|
| COMPLETE THIS PAGE IF THE RECORD IS NOT ENCLOSED. |                        |
| TWS NUMBER  | DATE                   |
| DESCRIPTION OF RECORD                             |                        |
| LOCATION OF RECORD                                |                        |
| <input type="checkbox"/> MAILED TO                | DATE TRANSMITTED _____ |
| OTHER INFORMATION                                 |                        |
| ORIGINATOR  | DATE                   |
| <b>Los Alamos</b><br>Yucca Mountain Project       |                        |

# RECORD CORRECTION REQUEST

TO

DATE

FROM

SUBJECT RECORD

THIS RECORD HAS BEEN INSPECTED AND DETERMINED NOT ACCEPTABLE FOR FURTHER PROCESSING AND INCLUSION IN THE RECORDS PROCESSING CENTER (RPC) FOR THE FOLLOWING REASONS:

- INCOMPLETE (PAGES OR ATTACHMENTS MISSING)       INCOMPLETE DATA AVAILABLE FOR RECORD INDEXING
- RECORD QUALITY IS POOR AND WILL NOT PROVIDE AN ADEQUATE MICROFILM IMAGE       OTHER (SPECIFY)

PLEASE TAKE APPROPRIATE CORRECTIVE ACTION AND RETURN THE RECORD TO THE RPC ON OR BEFORE

THE RPC STAFF IS AVAILABLE TO ASSIST YOU IN PREPARING RECORDS FOR PROCESSING.

RESIDENT FILE CUSTODIAN:

- ACCEPTABLE COPY ATTACHED       BEST AVAILABLE COPY—PROCESS AS IS
- RECORD CANNOT BE CORRECTED OR REGENERATED (SEE ATTACHED DOCUMENTATION)

RESIDENT FILE CUSTODIAN

DATE

## SAMPLE DOCUMENTATION FOR ILLEGIBLE QA RECORDS

The following statement is an example of documentation that can be used for illegible quality assurance records that cannot be corrected or regenerated. This form must be signed and dated by the originator and that person's YMP supervisor.

I have reviewed this record, and it is adequate for its intended purpose. Any illegible and uncorrected information does not impact future, in-process, or completed work.

\_\_\_\_\_  
Originator's Signature Date

\_\_\_\_\_  
YMP Supervisor's Signature Date