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RECORDS PROCESSING

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RECORDS PROCESSING

1.0 PURPOSE

This procedure states the methods used in the Los Alamos National Laboratory (Los Alamos) Yucca Mountain Site Characterization Project (YMP) to collect, temporarily store, and process records into the YMP Central Records Facility (CRF).

2.0 SCOPE

This procedure applies to Los Alamos YMP personnel and Los Alamos YMP subcontractors (hereafter referred to as employees) and to all YMP records as defined.

3.0 REFERENCES

YMP/CC-0016 Yucca Mountain Site Characterization Project Records Management Plan
LANL-YMP-QP-17.4, R0

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 Records Information System (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 record; or (2) providing a written statement by the responsible individual or organization. A Quality Assurance (QA) document is not a QA record until it has been authenticated.

4.3 Document

A document is any written or pictorial material that describes, defines, specifies, 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 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 Records Processing Center (RPC) are located in different buildings) to protect both records from being destroyed simultaneously during a catastrophic event.

4.5 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 CRF database to facilitate record retrieval and traceability.

4.6 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.

- 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 QA 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).

- 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.

4.7 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 QP-17.4, Attachment 1, Identification of Nonrecord Documents.

4.8 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.

4.9 Records Information System (RIS)

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

4.10 Resident File

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

4.11 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.

4.12 TWS Number

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

4.13 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.

4.14 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 CRF, and stored until the CRF acknowledges receipt and microfilming of records.

5.0 RESPONSIBILITIES

The following employees are responsible for activities described in Section 6.0 of this procedure:

- Administration and Control Project Leader
- Quality Assurance Liaisons (QAL)
- Records Processing Center staff
- Resident File Custodians (RFC)

6.0 PROCEDURE

6.1 Maintaining the YMP Record Identification System

- 6.1.1 The QAL and/or the RFC implement the TWS record identification system specific to the YMP and to each Los Alamos YMP group.
- 6.1.2 The RPC staff submits an inventory list of completed, processed YMP records to the CRF during the first quarter of the calendar year.

6.2 Processing YMP Records

- 6.2.1 Upon receipt of a YMP record, the RPC staff indicates the date of receipt on the YMP record.
- 6.2.2 The RPC staff reviews the YMP record to verify that it meets the requirements specified in QP-17.4.
 - 6.2.2.1 The RPC staff verifies the page count, and corrects as appropriate.
 - 6.2.2.2 If the YMP record meets the requirements, the RPC staff indicates RPC acceptance and initials and dates the first page of the YMP record.
- 6.2.3 The RPC staff rejects YMP records not meeting the requirements in QP-17.4.
 - 6.2.3.1 The RPC staff completes a Record Correction Request Form (Attachment 1), returns a copy of the form and a copy of the incorrect YMP record to the RFC for correction, and retains one copy of the form and the rejected YMP record until the corrected YMP record is returned.

- 6.2.3.2 The originator corrects the YMP record and the RFC resubmits the corrected YMP record and corrected pages for the copy that was retained by the RPC.
- 6.2.3.3 If a YMP record cannot be corrected or regenerated, the originator must return an explanation (see last bullet in section 2 of Attachment 2, QP-17.4) with the YMP record and Record Correction Request to the RPC.
- 6.2.3.4 The RFC should return corrected YMP records to the RPC within thirty days of the date of the Record Correction Request.
- 6.2.3.5 The RPC staff reports rejected YMP records that are not returned within ninety days to the Administration and Control Project Leader for further action.

- 6.2.4 The RPC staff verifies that the YMP record is not a duplicate of YMP records previously transmitted to the CRF.

6.3 Protecting and Storing YMP Records

RPC staff protects and stores records to meet the requirements in QP-17.4.

6.4 Transmitting YMP Records to the CRF

- 6.4.1 The RPC staff prepares a Record Transmittal Form (Attachment 2) that lists the YMP records being transmitted to the CRF.
- 6.4.2 The RPC staff transmits the Record Transmittal Form and the completed, accepted YMP records to the CRF within thirty working days of RPC acceptance of the YMP records.

NOTE: Special dispensation from the 30 working day requirement must be obtained in writing from the Project Office Records Manager.

- 6.4.3 The RPC staff retains one copy of the processed YMP records until the CRF returns a signed receipt acknowledging that Los Alamos YMP records were received and microfilmed.
- 6.4.4 The RPC staff transmits copies of references for accession numbers to the CRF using the Reference Transmittal Form (Attachment 3).

6.5 Receiving Microfilm

After notification of microfilming is received from CRF, the RPC notifies the QAL or RFC that microfilmed copies of YMP records have been received and that these YMP records may be removed from the Resident File.

6.6 Retrieving YMP Records

- 6.6.1 To retrieve a YMP record, the requester provides the following information for the RPC staff: the document identifier, subject, originator, and date.

NOTE: Requests for YMP record retrieval may be written or oral.

- 6.6.2 The Records Coordinator or RPC staff retrieves the YMP record and provides a hard copy to the requester.

7.0 RECORDS

The record resulting from this procedure is

- annual inventory of completed YMP records.

8.0 ACCEPTANCE CRITERIA

Satisfactory implementation of the procedure is shown by the transmittal of acceptable YMP records to the CRF.

9.0 TRAINING REQUIREMENTS

RPC staff, QALs, and Resident File Custodians are required to be trained to this procedure.

10.0 ATTACHMENTS

Attachment 1 Record Correction Request
Attachment 2 Record Transmittal Form
Attachment 3 Reference Transmittal Form

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

RECORD TRANSMITTAL FORM

TO CENTRAL RECORDS FACILITY

PAGE ____ OF ____

FROM

TRANSMITTAL COPY NUMBER

THE ATTACHED LIST REPRESENTS THE RECORDS BEING TRANSMITTED TO THE YMP CENTRAL RECORDS FACILITY (CRF) FOR PROCESSING. THE LIST INCLUDES THE FOLLOWING INDEXING ELEMENTS:

- PACKAGE/RECORD
- RECORD DATE
- RECORD TITLE/SUBJECT
- RECORD PAGE COUNT
- RECORD IDENTIFICATION NUMBER (IF APPLICABLE)

TRANSMITTAL DATE

PLEASE SIGN AND RETURN BY

TRANSMITTED TO THE YMP CRF BY

DATE

YMP CRF RECEIPT ACKNOWLEDGMENT

CRF PERSONNEL

DATE

REFERENCE TRANSMITTAL FORM

TO

CENTRAL RECORDS FACILITY

PAGE ____ OF ____

FROM

TRANSMITTAL COPY NUMBER

The attached list represents the references being transmitted to the YMP Central Records Facility (CRF) for accession numbers. These references are for the report entitled

Preassigned accession number for report (if known) _____

Other identification number(s) for report (if any) _____

TRANSMITTAL DATE

TRANSMITTED TO THE YMP CRF BY

DATE

YMP CRF RECEIPT ACKNOWLEDGMENT

CRF PERSONNEL

DATE