RECORDS CONTROL PROCEDURE

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SUPERSEDED

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GEOCHEMISTRY PROJECT MANAGER	10-28-83 DATE
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RECORDS CONTROL PROCEDURE

1. PURPOSE

This procedure defines Los Alamos National Laboratory's methods for the collection, filing, temporary storage, maintenance, and disposition of NNWSI records.

2. SCOPE

2.1 This procedure applies to NNWSI records generated at Los Alamos which furnish documentary evidence of the quality of the research and research-related activities, items, materials, and contractual services. It only applies to these records prior to their shipment to the Holmes & Narver Project Records Center in Mercury, NV for permanent storage. Records of activities subject to a quality assurance levels program shall be included if the activities are classified as category I or II.

2.2 This procedure shall apply to all participants of the Los Alamos NNWSI effort and it shall also apply to any contractor employed by LANL to perform work related to the NNWSI project.

2.3 Project records include, but are not limited to, work plans, detailed procedures, raw data (such as lab notebooks), calculated final results, reports, purchase requests, purchase orders, logs, audit reports, surveillance reports, personnel certifications, drawings, specifications, calibration reports, and computer software.

3. RESPONSIBILITY

3.1 The Technical Project Officer (TPO) shall have the overall responsibility for records control in accordance with this procedure. Project managers will assure that each principal investigator is responsible for records control in his area of interest.

3.2 The Quality Assurance Manager shall have the overall responsibility for any records that provide quality assurance controls and evidence of system quality effectiveness, such as audit reports, nonconformance reports, corrective actions, and acceptance verifications.

3.3 The individual or group originating the record shall have the responsibility for maintaining the record, as described in Section 4. below. Copies sent to other parties for information shall be considered "convenience" records and therefore not controlled in accordance with this procedure.

4. GENERAL REQUIREMENTS

4.1 Record Generation

4.1.1 All Los Alamos NNWSI detailed procedures, procurement documents, and other applicable documents shall include a records section to specify what records are to be generated, supplied, or maintained in accordance with this procedure.

4.1.2 Each records section shall include a statement describing the flow path of the record between the originator and the Resident File.

4.1.3 Project managers shall ensure that all records generated as a result of the NNWSI activities in their area of interest are transmitted to the Resident File on at least a semi-annual basis.

4.1.4 Each record sent to the Resident File shall clearly identify:

(a) the activity under investigation

(b) the responsible investigator and his group affiliation.

(c) the classification of the record (ie. lifetime, nonpermanent, or convenience).

(d) the date of data acquisition.

(e) the signature of the investigator

(f) the signature of the peer reviewer and the date of review.

4.2 Resident Files

4.2.1 A Resident File shall be maintained by each organization listed below;

(a) ESS Division

(b) INC Division

(c) WX Divison

(d) MST Quality Assurance

(e) DAD/NP

4.2.2 NNWSI project files shall be kept separate from other work files. These files shall be kept in a standard metal file cabinet or equivalent and shall be lockable to prevent unauthorized access.

4.2.3 Access to Resident Files shall be limited to personnel who are assigned to the project or who have authorization on a need-to-know basis.

4.2.4 A list of personnel authorized to have access to the Resident File shall be posted on the outside of the file.

4.3 File Indexing

Each resident file shall have an indexing system so that records are identifiable and retrievable. The indexing system shall contain as a minimum;

(a) a listing of records in the file

(b) the method of filing

4.4 Record Classification

Records shall be classified by the originator as lifetime, nonpermanent, or convenience in accordance with the criteria below.

4.4.1 Lifetime records are those that meet one or more of the following criteria;

(a) those which would be of significant value in demonstrating capability for safe operation;

(b) those which would be of significant value in maintaining, reworking, repairing, replacing, or modifying an item;

(c) those which would be of significant value in determining the cause of an accident or malfunction of an item;

(d) those which provide required baseline data for inservice inspections.

Lifetime records will be maintained for the life of the repository.

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4.4.2 Nonpermanent records are those required to show evidence that an activity was performed in accordance with the applicable requirements, but which do not meet the criteria to be a lifetime record. Record originators shall determine retention times for all nonpermanent records.

4.4.3 Convenience records are those records kept only for the convenience of Los Alamos personnel, and which have no bearing on any legal precedings for the licensing of a high-level radioactive waste repository.

4.5 Record Retention

4.5.1 Lifetime and nonpermanent records shall be maintained according to their classifications by Holmes and Narver at the

Project Records Center in Mercury, NV. The Technical Project Officer shall have the overall responsibility for the transfer of a copy of these records to the PRC at least on a semi-annual basis. The Resident File copy shall be maintained until the proceedings for the licensing of the repository are complete.

4.5.2 Convenience records may be retained or disposed of at the convenience of the originator.