YUCCA MOUNTAIN PROJECT OFFICE
DOCUMENT APPROVAL SHEET

Y-AD-002
4/90

CONTROLLED NO. 223 THIS IS A RED STAMP COPY

Title

QUALITY MANAGEMENT PROCEDURE: RECORDS MANAGEMENT: RECORDS SOURCE IMPLEMENTATION

NQA QMP 17-01
[ ] On Q
[ ] Non Q

APPROVAL

PROJECT MANAGER: Original signed by	Carl Gertz	Signature	1/6/89 Date
DIRECTOR OF QUALITY ASSURANCE:	James Blaylock	Signature	1/6/89 Date
Proj. Mgr. T&MSS (OTHER, AS REQUIRED)	J. E. Shaler	Signature	1/6/89 Date

REVISION 0 EFFECTIVE DATE: 1/11/89

REVISIONS

	INITIAL AND DATE			
	REVISION 1	REVISION 2	REVISION 3	REVISION 4
PROJECT MANAGER:	Carl Gertz 10/16/89	10/10/90		
DIRECTOR, QA:	E. L. Wilmot 10/16/89	10/11/90		
Proj. Mgr. T&MSS (OTHER, AS REQUIRED)	W. V. Macnabb 8/25/89	N/A		
EFFECTIVE DATE:	10/30/89	11/1/90		

9010250409 901015
PDR WASTE
WM-11 PDC

1.0 PURPOSE AND SCOPE

1.1 PURPOSE

The purpose of this procedure is to implement the requirements of the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance Requirements Document (QARD) and the Yucca Mountain Project (Project) Records Management Plan by assigning responsibility and providing a process to ensure that documents that are or will become Quality Assurance (QA) records are identified, prepared, collected, protected, and submitted to the Local Records Center (LRC).

1.2 SCOPE

The scope of this procedure is limited to the identification, preparation, submittal, retrieval, storage, and correction of documents that are or will become QA records. Hereinafter, the term record(s) shall be used to delineate QA records.

2.0 APPLICABILITY

This procedure applies to Yucca Mountain Project Office (Project Office), Mac Technical Services (MACTEC), and Technical and Management Support Services (T&MSS) personnel who create, generate, submit, maintain, or retrieve Project records while performing work under the OCRWM Quality Assurance Program Description Document (QAPD).

3.0 DEFINITIONS

NOTE: Terms in this procedure are used as defined in the Project Glossary. The following additional definitions are adopted for the purposes of this procedure.

3.1 AUTHENTICATION

Authentication is the act of attesting that the information contained within a document is accurate, complete, and appropriate to the work accomplished by one of the following methods: (1) a stamped, initialed or signed, and dated document or (2) a written 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. Authentication must be done by an individual on the signature authentication list.

3.2 ONE-OF-A-KIND RECORDS

One-of-a-kind records are records that cannot be duplicated or microfilmed or would lose their meaning when microfilmed, such as multicolored maps or map overlays.

3.3 QA RECORD

An individual document that furnishes evidence of the quality of items or activities affecting quality. Examples are documents prepared and maintained to demonstrate implementation of QA programs (audit, surveillance, and inspection reports), procurement documents, plans, correspondence, documentation of telecons, specifications, technical data, books, maps, papers, photographs, data sheets, magnetic media, and other materials that provide data and document quality regardless of the physical form or characteristic.

NOTE: Documents that are to become QA Records are considered QA Records upon completion and authentication by all required signatures. A complete QA record is a document that will receive no more entries and whose revision would be subject to a change control process. Prior to this final authentication, interim protection shall be afforded the documents. QA Records may be originals or reproduced copies.

3.4 RECORD PACKAGE IDENTIFIER

A record package identifier is an alphanumeric code used to identify the type of package and the Work Breakdown Structure (WBS) under which it was created. The record package identifier is written as "___.X.X.X," where "___" is the three-digit alpha code used to identify the type of record package (i.e., QRP for Quality Related Package, ARP for Administrative Record Package, PRP for Personal Record Package, or RTP for Record Turnover Package [nonquality related materials]) and "X" is the WBS number assigned to the record package that corresponds to the activity.

3.5 RECORD PACKAGE SEGMENT

A record package segment is a record or a group of records that shall be included as part of a record package. It is turned over to an LRC prior to completion of a record package.

3.6 RECORD PACKAGE TRACKING NUMBER

A record package tracking number is a unique number used by the LRC and the record source(s) to track and control record packages while they are being compiled. This number will become inactive when the record package is forwarded to the Central Records Facility (CRF).

3.7 RECORD SOURCE

A record source is an individual or organization that is responsible for generating Project records or for receiving Project records from an entity within or outside the Project.

3.8 SPECIAL PROCESS RECORDS

Special process records are records that cannot be microfilmed but can be duplicated. These records (e.g., magnetic tapes and film) may be duplicated and stored in dual storage.

3.9 TECHNICAL DATA

Technical data are scientific, environmental, socioeconomic, and engineering numerical values, or factual information resulting from data acquisition or data development activities. Technical data can be qualitative, quantitative, or graphic.

4.0 RESPONSIBLE PARTIES

The following Project Office individuals or organizations are responsible for activities identified in Section 5.0 of this procedure:

1. Record Source

2. Division Director (DD) or Contractor Equivalent

5.0 PROCEDURE

NOTE: A flowchart of the following processes described in this procedure is attached as Figure 1.

RESPONSIBLE PARTY	STEPS	PROCEDURE
		RECORD IDENTIFICATION
Record Source	1.	Perform the following actions if beginning a Project activity or task that results in the receipt or generation of records; otherwise, go to Step 12.

RESPONSIBLE PARTY	STEPS	PROCEDURE
	2.	Determine if records and record packages to be generated in the performance of the activity or task are specified by reviewing current plans, procedures, instructions, or other documents. Revise or request revision to the documents if necessary.
	3.	Determine if a list of records or record packages have been submitted to the LRC for the activity or task.
	4.	If a records list has been submitted and no modifications are necessary, go to Step 10.
	5.	If no records list has been submitted or if modifications to the submitted records list are necessary, prepare or modify records list identifying the title of the records or record packages to be generated and the plan, procedure, instruction, or other documents from which those records will be generated. Ensure list meets requirements of Step 13. Include the contents for record packages.
	6.	Obtain DD or Contractor Equivalent approval of list.
	7.	Submit the records list to the LRC in accordance with this procedure.
	8.	Review the records list maintained by the LRC for an activity when the procedure(s) controlling the activity is revised.
	9.	If modifications to the list are necessary, return to Step 5.

RESPONSIBLE PARTY	STEPS	PROCEDURE
	10.	Decide if records to be generated as part of a record package (i.e., record package segments) will be maintained with the record source or the LRC until package is complete.
		a. If the LRC is to maintain record package segments, then contact the LRC to obtain a record package tracking number. Provide the LRC with the following information:
		1. A record package title
		2. A record package identifier
		3. A record source name
		4. A quality-affecting designation
		NOTE: Records and documents submitted as record package segments will be maintained, tracked, and accounted for within the LRC until the record package has been completed and authenticated. Only after these events have occurred will the completed package be turned over to the CRF.
		b. If the Record Source is to maintain the record package until complete, then ensure that
		1. QA records when not in actual use by Record Sources are stored in a one-hour fire-rated container bearing a U.L. label or certified by a person competent in the field of fire protection.

RESPONSIBLE PARTY	STEPS	PROCEDURE
		2. Store documents that will become records so that damage will not occur due to excessive (1) light, stacking, and electromagnetic fields (in the case of magnetic tapes, store in accordance to manufacturer's specifications) and (2) temperatures and humidity. Also prevent loss of documents by maintaining access controls.
		NOTE: If at anytime records cannot be properly stored and protected, submit those records to the LRC in advance of record package completion.
		RECORD PREPARATION
DD or Contractor Equivalent	11.	Generate a list that contains the signatures and initials of personnel authorized to authenticate records. Update as necessary, and submit to the LRC in accordance with record submittal section.
Record Source	12.	Generate or receive documents that will become QA Records. Provide adequate care, as identified in Step 10b.
	13.	Prepare these documents that will become QA records to the following:
		a. Clearly mark DRAFT on the first page of draft documents.
		b. If a document is to become a final report, complete the following steps prior to completion of the final report:

RESPONSIBLE PARTY | STEPS | PROCEDURE

NOTE: Journal articles, bulletins, or professional papers generated as a result of Project activities must be submitted to the LRC for processing, if identified as QA records, but are not required to receive an accession number prior to completion.

1. Contact the LRC and obtain an accession number for the final report.

2. Place the accession number on the inside of the back cover or within the acknowledgement section of the report.

3. Identify, within the citation, the accession number for all material referenced in the final report. Contact the LRC to obtain accession numbers for referenced material if unknown.

4. If the LRC was not able to obtain an accession number for a cited reference, submit the reference to the LRC.

5. Record the accession number assigned to the submitted referenced material in the citation of the final report when notified by the LRC of the number.

c. Titles of documents must concisely identify and describe the contents of the document in order to enable future identification and timely retrieval.

RESPONSIBLE PARTY	STEPS	PROCEDURE

d. Verify that documents are complete and include all attachments or enclosures, that no portions of a page are missing due to tearing or folding of record edges, and that no information is obliterated.

NOTE: Identify when attachments or enclosures to correspondence are not intended to be part of a record package by noting on the table of contents.

e. Ensure that the documents are legible, including photo reductions, and that there is a clear and distinct image with a sharp contrast between the character or pictorial information recorded and the recording medium (paper).

f. Record data on records and drawings in black ink against a light background. Complete data to be recorded on drawings in accordance with American National Standards Institute (ANSI) Y 14.2. Create blackline drawings as opposed to blueprint sepia copies. Submit only the original of NCR-type (no carbon required) paper.

g. Use only stamps or other marks that do not intersect and obliterate the text, and do not write extraneous (unrelated) information on the documents.

h. Fill in all blanks on the documents, including signature, or enter NA.

NOTE: Documents that state that only applicable items are to be completed do not need to have NA entered in all blanks.

RESPONSIBLE PARTY	STEPS	PROCEDURE

i. Convert documents on microfiche and microfilm to paper, and ensure all other requirements of this step are met.

j. Do not fold oversized documents.

k. Make corrections to errors by drawing a single line of black ink through the incorrect information, placing the correct information in close proximity, and initializing (or signing) and dating the correction. Ensure the correction reflects the date and initials (or signature) of the person within the organization who is authorized to make corrections.

l. Authenticate the document if all preceding items have been accomplished. At this point the document becomes a QA record, and proper storage must be provided as stated in Step 10b.

NOTE: Ensure Authenticator is on the signature authentication list maintained at the LRC. The authenticator for record packages should be someone other than the originator of the package.

m. If records are technical data, further prepare and submit in accordance with Administrative Procedure (AP) 5.1Q.

RESPONSIBLE PARTY	STEPS	PROCEDURE
	14.	Determine if the record received or generated is part of a record package. a. If the record is part of a record package and package is being maintained by the LRC, then go to Step 17. b. If the record is part of a record package and the package is being maintained by the Record Source, then include the record within the package and continue to store in accordance with Step 10b. c. If record is not part of a record package (i.e., an individual record), then place the correct WBS number and quality-affecting designation of either QA or QA: N/A in the upper right portion of the first page of the record. Go to Step 17.
	15.	If no further records are required as part of a records package being maintained by the record source, prepare a Table of Contents to include the following information, and then go to Step 17: a. date of transmittal b. name of person responsible for the record package c. record package date d. record package title or description e. any special codes or identification numbers

RESPONSIBLE PARTY	STEPS	PROCEDURE

f. a list of the individual records or group of records that constitute the package

g. individual page counts for records or groups of records and a total page count of the record package

h. a signature and date to indicate that the record package has been prepared in accordance with this procedure

i. a record package identifier as defined, in the upper right-hand portion

j. a quality-affecting designation of either QA or QA: N/A

NOTE: A Table of Contents Form is available and may be completed and used as the Table of Contents for the records package.

NOTE: If a record(s) does not meet the requirements of this procedure and a better copy or corrected record cannot be obtained, document on the Table of Contents the reason(s) why the attached record is the best record available.

16. If record package is not complete, return to Step 12.

RECORD SUBMITTAL

Records identified and prepared under this procedure shall be submitted to the Project Office LRC with the exception of training and qualification records. Training and qualification records cannot be submitted to an LRC until the U.S. Department of Energy (DOE) has complied with the Privacy Act and has notified Participants that training records may be submitted to the records system. Until that time, training records shall be maintained, preserved, and protected by a manager, a training administrator or training organization, or a personnel department, as specified in training

procedures. The record copy shall be kept in a controlled-access two-hour fire-rated safe or in two controlled-access facilities sufficiently remote from each other that they cannot be damaged by the same fire, flood, or other natural disaster.

17. Submit two copies of an individual record(s), record package segments, or completed record packages to the Project Office LRC unless the Project Office mail room facility is to distribute the record.

    a. Ensure two copies of hand-carried records are submitted to the LRC.

    b. Submit individual records no later than 10 working days after the date of completion or receipt, and record packages no later than 10 working days after the last record within the package is complete.

    c. When using Record Source Transmittal Form (RSTF), ensure the following information is included when transmitting an individual record(s) or record package:

        1. date of transmittal

        2. record source name

        3. record date

        4. complete title of record

        5. individual page counts

        6. any special codes or identification numbers

        7. record package tracking number (if applicable)

RESPONSIBLE PARTY	STEPS	PROCEDURE

8. description and storage location of one-of-a-kind records that are still required for use

NOTE: If a record(s) does not meet the requirements of this procedure and a corrected or better copy cannot be obtained, documentation may be provided on the RSTF that states the reason(s) why the attached record is the best record available for submittal.

18. Determine if any additional segments will be submitted for a record package.

a. If no additional segments are to be submitted, notify the LRC that the record package is complete. Review segments maintained by the LRC to ensure all applicable requirements of this procedure have been met. Sign and date the Table of Contents.

b. If additional record segments are to be submitted, return to Step 12.

RECORD DISCREPANCIES

19. Resolve discrepancies with the LRC. Make the necessary corrections as requested on the LRC Rejection Form or regenerate or correct the record to ensure the record is acceptable. Notify the LRC of any errors in previously processed records or record packages. Submit the corrected, modified, or supplemental records within 10 working days in accordance with this procedure.

RESPONSIBLE PARTY	STEPS	PROCEDURE
	20.	Return the LRC Rejection Form with the corrected records to the LRC within 10 working days of receipt. If the record cannot be corrected or regenerated, state the reasons on the form.

RETRIEVAL OF RECORDS

	21.	Contact the LRC to retrieve a record(s) or complete a Retrieval Request Form, and submit it to the LRC.
	NOTE:	Provide information that will identify the record(s) (e.g., file code identifier, record date, author, organization, title, and subject).
	NOTE:	Provide a specific date or time that the record(s) is required.

6.0 REFERENCES

NOTE: Refer to the latest revision of the documents listed below unless otherwise stated.

6.1 REQUIREMENTS DOCUMENTS

OCRWM Quality Assurance Requirement Documents, DOE/RW-0214

OCRWM Quality Assurance Program Description Document, DOE/RW-0215

Project Records Management Plan, YMP/88-15

Project Glossary, YMP/89-15

Privacy Act, 1972

ANSI Y 14.2, Line Conventions and Lettering from the Engineering Drawing and Related Documentation Practices

6.2 INTERFACE DOCUMENTS

AP 5.1Q, Control and Transfer of Technical Data on the Yucca Mountain Project

7.0 FIGURES AND ATTACHMENTS

Figure 1, QMP-17-01 Flowchart

Attachment 1, Record Source Transmittal Form and Continuation Page

Attachment 2, Record Retrieval Request

Attachment 3, Table of Contents/Record Package Transmittal Form and Continuation Page

8.0 RECORDS

The following records generated in the implementation of this procedure shall be submitted to the LRC for processing:

1. Record Source Transmittal Form
2. Table of Contents/Record Package Transmittal Form
3. Signature Authorization List

Title

QUALITY MANAGEMENT PROCEDURE: RECORDS MANAGEMENT: RECORD SOURCE IMPLEMENTATION

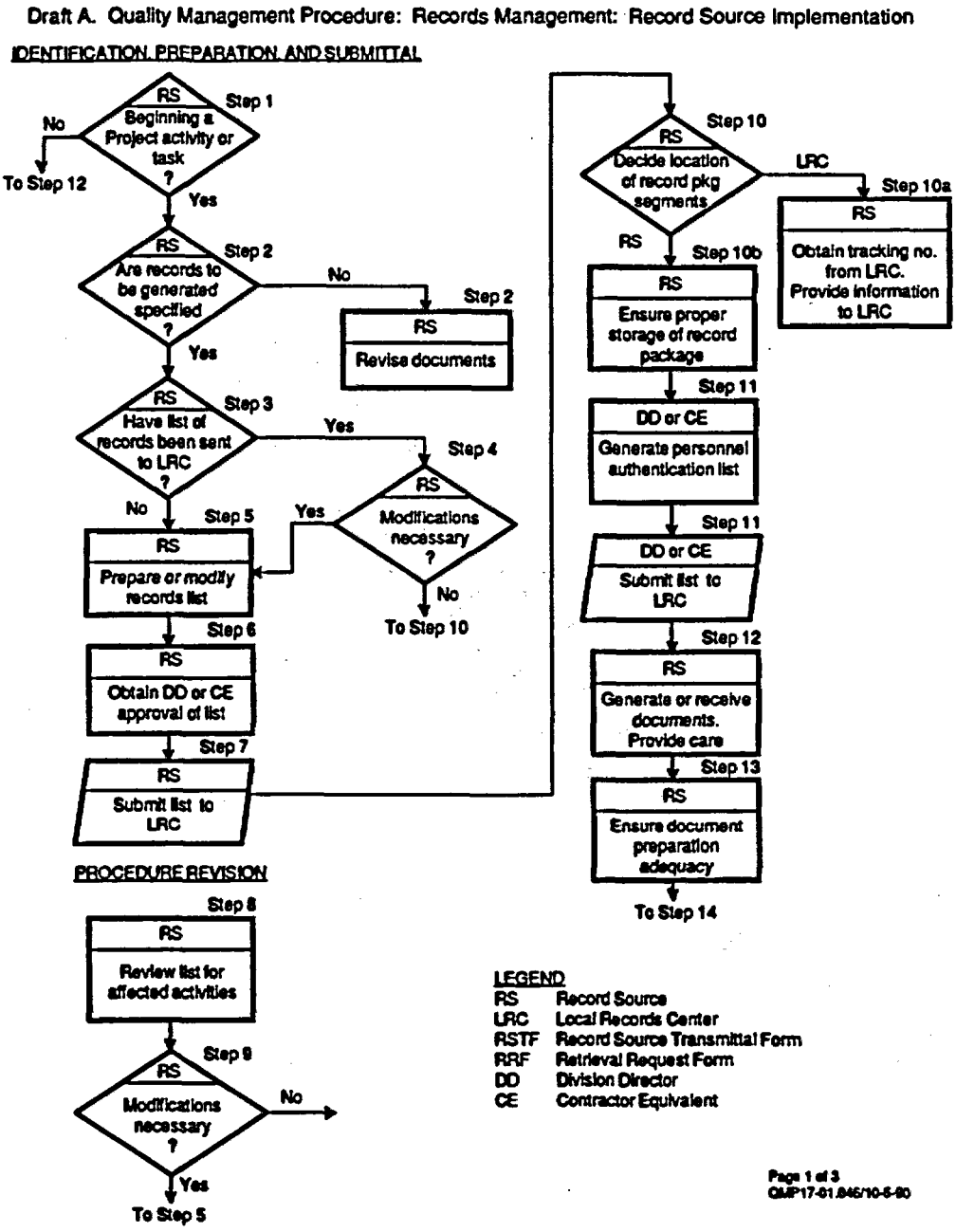

Figure 1 - QMP-17-01 Flowchart

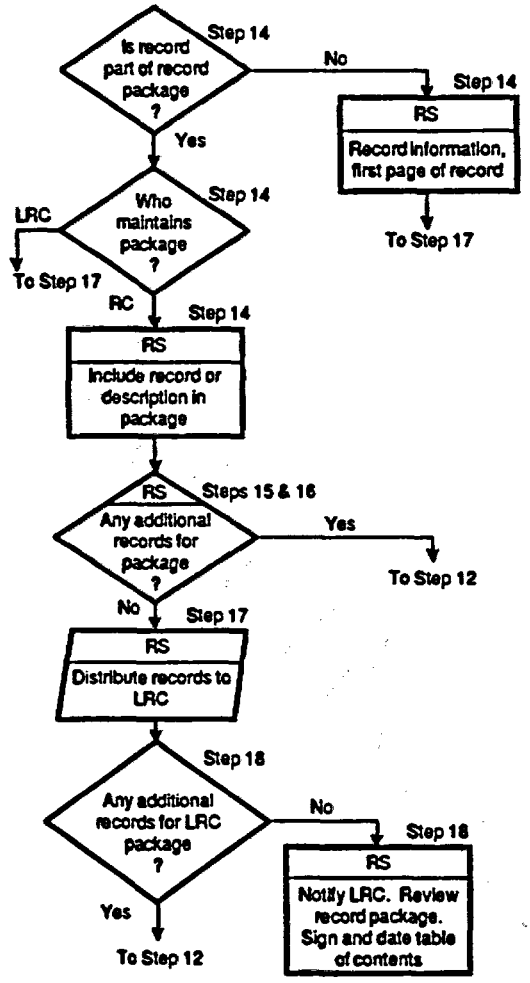

Figure 1 - QMP-17-01 Flowchart (continued)

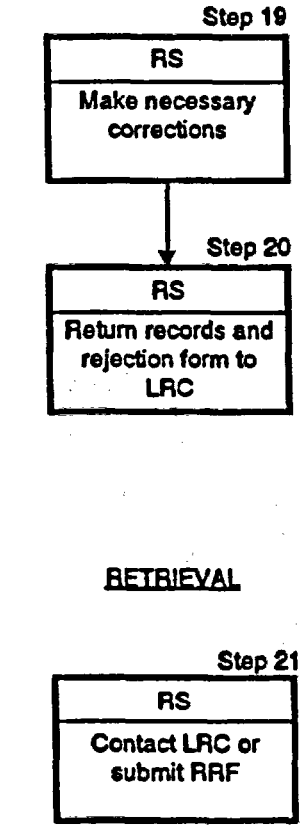

Figure 1 - QMP-17-01 Flowchart (continued)

Title

QUALITY MANAGEMENT PROCEDURE: RECORDS MANAGEMENT: RECORD SOURCE IMPLEMENTATION

YUCCA MOUNTAIN PROJECT OFFICE
RECORD SOURCE TRANSMITTAL FORM

N-QA-078
9/90

DATE: _____

TO: LOCAL RECORDS CENTER (LRC)

FROM: _____
Name of Record Source

The list below represents the record(s) being transmitted by this memo to the LRC for processing:

Tracking Number: *(if applicable)* _____

SEG/ REC	RECORD DATE	RECORD TITLE/SUBJECT	PAGE COUNT	RECORD ID NO. (If Applicable)

Documentation: *(if applicable)* _____

_____ _____
Record Source Signature Date

LRC receipt acknowledgment (return signed copy to record source).

_____ _____
LRC Personnel Signature Date

Attachment 1 - Records Source Transmittal Form and Continuation Page

YUCCA MOUNTAIN PROJECT OFFICE
RECORD SOURCE TRANSMITTAL FORM
CONTINUATION PAGE

N-QA-078
9/90

DATE: _____

SEG/ REC	RECORD DATE	RECORD TITLE/SUBJECT	PAGE COUNT	RECORD ID NO. (If Applicable)

USE ADDITONAL CONTINUATION PAGE(S) IF NECESSARY

Attachment 1 - Record Source Transmittal Form
and Continuation Page (continued)

Title

QUALITY MANAGEMENT PROCEDURE: RECORDS MANAGEMENT: RECORD SOURCE IMPLEMENTATION

YUCCA MOUNTAIN PROJECT OFFICE
RECORD RETRIEVAL REQUEST

Y-AD-068
7/89

REQUESTER _____ DATE _____

RECORD ID NUMBER(S) _____

RECORD DATE _____ INCOMING/OUTGOING _____

RECEIVER/TO IND _____ ORGANIZATION _____

AUTHOR/FROM IND _____ ORGANIZATION _____

SUBJECT/TITLE _____

_____

ACCESSION NUMBER(S)

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

_____ _____

DATE REQUIRED _____ WITH ATTACHMENTS: _____ YES _____ NO

COMMENTS _____

_____

_____

>>> DOE PROJECT OFFICE, LRC PERSONNEL ONLY <<<

LRC PERSONNEL _____ DATE IN _____ DATE OUT _____

SEARCH STRATEGY _____

_____

_____

_____

Attachment 2 - Record Retrieval Request

Title

QUALITY MANAGEMENT PROCEDURE: RECORDS MANAGEMENT: RECORD SOURCE IMPLEMENTATION

YUCCA MOUNTAIN PROJECT OFFICE
TABLE OF CONTENTS/RECORD PACKAGE
TRANSMITTAL FORM

Y-AD-128
9/90

TRANSMITTAL DATE: _____ RECORD PACKAGE IDENTIFIER: _____

RECORD SOURCE NAME: _____ QUALITY AFFECTING DESIGNATION: _____

TITLE OR DESCRIPTION: _____

_____

RECORD PACKAGE DATE: _____

INDIVIDUAL RECORD DATES	INDIVIDUAL TITLES OR GROUPS OF RECORDS	INDIVIDUAL PAGE COUNTS

TOTAL PAGE COUNT: _____

SPECIAL CODES OR IDENTIFICATION NUMBER: _____

_____

DOCUMENTATION: _____

_____

_____

_____

COMPILED BY: _____

AUTHENTICATED BY: _____

_____ _____
LRC Personnel Acceptance Signature Date

Attachment 3 - Table of Contents/Record Package Transmittal Form and Continuation Page

YUCCA MOUNTAIN PROJECT OFFICE
TABLE OF CONTENTS/RECORD PACKAGE
TRANSMITTAL FORM
CONTINUATION PAGE

Y-AD-128
9/90

DATE: _____

INDIVIDUAL RECORD DATES	INDIVIDUAL TITLES OR GROUPS OF RECORDS	INDIVIDUAL PAGE COUNTS

TOTAL PAGE COUNT: _____

USE ADDITONAL CONTINUATION PAGE(S) IF NECESSARY

Attachment 3 - Table of Contents/Record Package Transmittal Form and Continuation Page (continued)