

**TECHNICAL & MANAGEMENT SUPPORT SERVICES
STANDARD PRACTICE PROCEDURE**

TITLE:

Records Management: Record Source Implementation

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| PROJECT MANAGER, T&MSS <i>W Macnatt</i> | DATE: <i>Dec. 31, 1990</i> | QUALITY ASSURANCE MANAGER, T&MSS <i>Kent B. Johnson for</i> | DATE: <i>12/28/90</i> |

1.0 PURPOSE

This procedure describes the methods for identifying and preparing Yucca Mountain Project (Project) records for submission to the Technical and Management Support Services (T&MSS) Local Records Center (LRC).

2.0 SCOPE

- 2.1 This procedure applies to T&MSS personnel who create, generate, submit, maintain, or retrieve records while performing work under the T&MSS Quality Assurance Program Description (QAPD).
- 2.2 This procedure also applies to all T&MSS personnel who create, generate, submit, maintain, or retrieve records while performing non-quality affecting work.
- 2.3 This procedure does not apply to T&MSS personnel when providing quality affecting work for Project Office support.

3.0 REFERENCES/DEFINITIONS

3.1 REFERENCES

SUPERSEDED

- 3.1.1 Records Management Policies and Requirements, DOE/RW-0194
- 3.1.2 Yucca Mountain Project (YMP) Glossary, YMP/89-15
- 3.1.3 Line Conventions and Lettering From the Engineering Drawing and Related Documentation Practices, ANSI Y 14.2
- 3.1.4 Technical and Management Support Services (T&MSS) Quality Assurance Program Description (QAPD), SAIC-90/8002
- 3.1.5 Control and Transfer of Technical Data on the Yucca Mountain Project, Administrative Procedure (AP) 5.1Q
- 3.1.6 Control of Classified Documents and Information, DOE Order 5635.1A
- 3.1.7 Initial Evaluation, Qualification, and Training of T&MSS Personnel, SP 1.31
- 3.1.8 Records Disposition, DOE 1324.2A

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3.2 DEFINITIONS

- 3.2.1 The definitions of Standard Terms may be found in the YMP Glossary referenced in 3.1.2.
- 3.2.2 AUTHENTICATE - Records shall be considered valid QA records only if stamped, initialed, signed, or otherwise authenticated and dated by authorized personnel. Authentication may take the form of a 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. The records may be originals or legible copies.
- 3.2.3 DUAL STORAGE - two copies of records are stored in areas that are sufficiently remote from each other that they cannot be destroyed by the same disaster. The order, format or condition of those copies does not have to be exact as long as the information or data is the same. The Valley Bank Center Tower and the garage facilities are considered sufficiently remote from each other that they can provide dual storage facilities for records.
- 3.2.4 MAIL DISTRIBUTION CENTER (MDC) - The MDC is an entity within the T&MSS contractor that is responsible for collecting, receiving, and distributing mail.
- 3.2.5 NON-QA RECORD - A record which meets the definition of a record as stated in the Project Glossary, but does not contain quality-related data or information.
- 3.2.6 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.
- 3.2.7 OVERSIZED RECORDS - Oversized records are records that have a minimum dimension greater than 14 inches. They must be filmed on 35mm film (e.g., drawings and schedules).
- 3.2.8 QA RECORD - Any document that furnishes evidence of quality achievement and the implementation of the project quality assurance program.
- 3.2.9 RECORD PACKAGE IDENTIFIER - A record package identifier is an alpha-numeric code used to identify record packages. The record package identifier is written as "___X.X.X", where "___" is the three-digit alpha code used to identify the type

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of record package (i.e., QRP for Quality Related Package; or RTP for Record Turnover Package [non-quality related materials] and "X" is the Work Breakdown Structure (WBS) number assigned to the record package that corresponds to the activity. The record package identifier will be entered into the records system.

- 3.2.10 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.
- 3.2.11 RECORD PACKAGE TRACKING NUMBER - A record package tracking number is a number used by the LRC and the record source(s) to track and control record package segment collection and the building of record packages in the LRC. This number becomes obsolete upon completion of the record package, and is not to be entered into the records system.
- 3.2.12 RECORD SOURCE - A record source, as used in this procedure, is an individual working under the T&MSS QAPD, including subcontractors or other contractors, who is responsible for generating Project records, or receiving Project records from an entity within the Project or from outside the Project.
- 3.2.13 SPECIAL PROCESS RECORDS - Special process records are records that cannot be microfilmed, but can be duplicated. These records (e.g., magnetic tapes, film, etc.) may be duplicated and stored in dual storage or a one-hour fire-rated safe.
- 3.2.14 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 BACKGROUND

This procedure addresses T&MSS record source requirements.

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5.0 PROCEDURE

5.1 IDENTIFICATION AND PREPARATION OF RECORDS

5.1.1 Identification and preparation of Individual Hard Copy (Paper) Records to the LRC

RESPONSIBILITY

ACTION

Record Source

- 5.1.1.1 Identify records to be generated, supplied, or maintained in all design specifications, procurement documents, task plans, study plans, test procedures, implementing procedures, instructions, or other documents (see Exhibit 1 for materials not to be processed)
- 5.1.1.2 Clearly mark DRAFT on the first page of draft documents.
- 5.1.1.3 Spell out acronyms used in a title(s) or a description(s), if possible.
- 5.1.1.4 Determine if the document(s) is part of a record package(s). If a record package(s) or record package(s) segment(s) prepare in accordance with reference 5.2.2 or 5.2.3.
- 5.1.1.5 Place a WBS number and a quality affecting designation of either QA or QA:N/A in the upper right-hand corner of individual records.
- 5.1.1.6 Verify that records are complete and include all attachments or enclosures and that no portion of the information on the page is missing due to tearing or folding of record, and no information is obliterated.

NOTE: If an attachment or enclosure is not to be processed as a record, identify the material(s) as either Preliminary Draft, Information Copy, or Not Record Material where the Enclosures or Attachments are listed on the letter (e.g., Enclosures: Comment Sheet [Information Copy]).

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RESPONSIBILITY

ACTION

Record Source

5.1.1.7 Provide legible records. Verify there is a clear and distinct image with a sharp contrast between the character or pictorial information recorded and the recording medium (paper).

NOTE: QA records that are illegible must be transcribed or a copy of the record must be enhanced. The transcription or enhanced copy must be authenticated and submitted to the LRC with the illegible QA record.

5.1.1.8 Record data in black ink against a light background. Complete data to be recorded on drawings in accordance with reference 3.1.3 Create blackline drawings as opposed to blueprint or sepia copies.

5.1.1.9 Do not submit NCR-type ("no carbon required") paper. (Provide a xerographic copy run using "auto contrast").

5.1.1.10 Use only stamps or other marks that do not intersect and obliterate the text and do not include unrelated information.

5.1.1.11 Fill in all blanks on records, including signature, or enter "NA".

NOTE: Records that state that only applicable items are to be completed do not need to have "NA" entered in all blanks, nor do enclosures that are intentionally partially completed in accordance with approved procedures (i.e., Quality Finding/Management Corrective Action Report [QF/MCAR], Inspection Reports, draft documents for review, and documents being transmitted for signature).

5.1.1.12 Mark ups on drafts must be initialed and dated by originator or preparer.

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RESPONSIBILITY

ACTION

Record Source 5.1.1.13 Authenticate QA records and sign other records as appropriate.

5.1.2 Preparation of Final Technical and Scientific Reports

Record Source 5.1.2.1 Contact the LRC and obtain a pre-assigned accession number.

NOTE: Journal articles, bulletins, or professional papers generated as a result of Project activities must be submitted to the LRC for processing, but are not required to receive a pre-assigned accession number.

5.1.2.2 Place the pre-assigned accession number on the inside of the back cover or within the acknowledgment section.

5.1.2.3 List and identify by accession number cited reference material in all final reports. Contact the LRC to obtain accession numbers for cited reference material if necessary.

5.1.2.4 Submit cited reference material that has not been previously processed.

5.1.3 Preparation of Machine Readable Records

Record Source 5.1.3.1 Generate (or convert) all electronic data records to magnetic tapes.

NOTE: Do not submit temporary records on the same tape as permanent records.

5.1.3.2 Submit documentation adequate for servicing and interpreting electronic records along with the machine readable file to include, but not limited to, the following:

- a. narrative description of the file(s),

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RESPONSIBILITY

ACTION

Record Source

- b. physical file characteristics,
- c. recording mode information, including the coding structure (code books),

NOTE: Where it has been necessary to strip data of extraneous control characters, the code book specifications defining the data elements and their values must match the new format of the data.

- d. recording system information, and
- e. a record layout that should break down the files by fields. Each field shall have a name, size, starting position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric).

5.1.3.3 Convert microfiche and microfilm to hard copy.

NOTE: Do not submit floppy disks, optical disks, microfiche, or microfilm.

5.1.4 Corrections to Records

Record Source

5.1.4.1 Make corrections to errors by drawing a line of black ink through the incorrect information, placing the correct information in close proximity, and initialing (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.

5.1.4.2 If a QA record does not meet legibility requirements, either (a) transcribe the information or (b) write over (enhance) a copy of the record. Authenticate the transcription or enhancement and submit it with the record.

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RESPONSIBILITY

ACTION

Record Source 5.1.4.3 Notify the LRC in writing (i.e, by submitting corrected, modified, or supplemental records in accordance with section 5.2) of any errors in previously processed records or record packages.

5.2 SUBMITTAL OF RECORDS

5.2.1 Submittal of Individual Hard Copy (Paper) Records to the LRC

Record Source 5.2.1.1 Submit individual hard copy QA records with a RSTF. (If submitted directly to the LRC submit a RSTF and two copies of the QA record, if distributed by the MDC, submit the original record and a RSTF).

5.2.1.2 Ensure the following information is included on a RSTF:

- a. WBS designation in upper right-hand corner
- b. QA designation in upper right-hand corner
- c. date of transmittal,
- d. record source name,
- e. record date,
- f. complete title of record,
- g. individual page counts, and
- h. any special codes or identification numbers.

NOTE: If a Non-QA record(s) does not meet the requirements of this procedure and a better or corrected record can not 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.

5.2.1.3 Submit originals of records whenever possible.

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RESPONSIBILITY

ACTION

Record Source

- 5.2.1.4 Submit photo reductions of data only where the image is clear and legible. Ensure letters and other characters are spaced so that the background areas between them are approximately equal.
- 5.2.1.5 Submit records unbound or loose-leaf, when feasible.
- 5.2.1.6 Roll oversize records, when feasible.
- 5.2.1.7 Submit individual records no later than 10 working days after the date of completion or receipt.

5.2.2 Submittal of Record Package Segments to the LRC

Record Source

- 5.2.2.1 Submit technical data in accordance with reference 3.1.5.
- 5.2.2.2 Submit record package segments to the LRC along with a Record Source Transmittal Form (RSTF).
- 5.2.2.3 Ensure the following is included on the RSTF:
 - a. WBS designation in upper right-hand corner,
 - b. QA designation in upper right-hand corner,
 - c. date of transmittal,
 - d. record source name,
 - e. appropriate record package tracking number,
 - f. title(s) of record(s),
 - g. date(s) of the individual record or group of records that constitute the package segment,
 - h. page counts of the individual record or group of records that constitute the record package segment, and

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RESPONSIBILITY

ACTION

Record Source

i. any special codes or identification numbers.

NOTE: If a Non-QA record(s) does not meet the requirements of this procedure a better or corrected record(s) can not 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.

5.2.2.4 Notify the LRC when submitting the final segment to a record package.

5.2.2.5 Review the completed record package after it has been compiled by the LRC to ensure applicable steps in prior sections of this procedure have been adhered to.

NOTE: Records contained in a records package must meet the same requirements as individual records except that each does not have to display a WBS number or QA designation.

5.2.3 Submittal of Completed Record Packages to the LRC

Record Source

5.2.3.1 Complete a Table Of Contents/Record Package Transmittal Form and submit it as the first record of each completed record package.

5.2.3.2 Ensure that the following information is included on the form:

- a. WBS designation in upper right-hand corner
- b. QA designation in upper right-hand corner
- c. date of transmittal,
- d. a record package identifier in the upper right-hand corner,

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RESPONSIBILITY

ACTION

Record Source

NOTE: Assign a record package identifier based on the information provided within the definition (see 3.2.4).

- e. record source name.
- f. a quality affecting designation of either QA or QA: N/A,
- g. record package title or description,
- h. record package date, Record Source
- i. a list of individual records or groups of records that constitute the package,
- j. individual page counts and dates for those records or groups of records,
- k. subtotal page counts on each continuation page.
- l. a total page count of the record package (including the table of contents),
- m. any special codes or identification numbers,
- n. a signature and date to indicate that the record package has been prepared in accordance with this procedure,

NOTE: If a Non-QA record(s) does not meet the requirements of this procedure and you cannot obtain a better or corrected record(s), documentation may be provided on the table of contents that explains the attached record is the best record available for submittal.

- 5.2.3.3 Provide a complete description and the storage location of one-of-a-kind records that are part of a record package, but still in use (and, therefore, not yet submitted).

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ACTION

Record Source

5.2.3.4 Provide a complete description of special process or oversized records that are part of a record package, but are handled separately in accordance with section 5.2.4 of this procedure.

5.2.3.5 Submit record packages upon completion of the activity or phase of the activity (i.e., within 10 working days of completion of the last record in the package).

5.2.4 Submittal of Oversized and Special Process Records

Record Source

5.2.4.1 Submit two copies of oversized records with Special Instruction Sheet, Form TMSS/009/1 to the LRC.

5.2.4.2 Insert a copy of the SIS in the record package where that record would have been placed.

5.2.4.3 Submit two copies of electronic records, film records, and other special process records as soon as they become inactive or whenever they cannot be maintained properly in accordance with this procedure.

5.2.5 Submittal of One-of-a-Kind Records

Record Source

Submit one-of-a-kind records when no longer in use.

5.3 RESOLUTION OF DISCREPANCIES

Record Source

5.3.1 Resolve discrepancies with the LRC. Make the necessary corrections as requested on the LRC Bounce Back Form (BBF) or regenerate or correct the record to ensure the record is acceptable. Return the BBF with the corrected or new record to the LRC within 10 working days of receipt.

NOTE: The LRC will elevate the discrepancy to the Technical Project Officer (TPO) if not resolved within 30 working days.

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RESPONSIBILITY

ACTION

Record Source

5.3.2

Return the BBF with the Non-QA records that cannot be corrected or regenerated to the LRC within 10 days of receipt. State on the BBF the reason(s) why the record cannot be corrected or regenerated.

NOTE: Do not stamp the record(s) "Best Available Copy".

5.4 RECORD STORAGE

Record Source

5.4.1

Store and protect records prior to submittal to the LRC in one hour fire-rated containers bearing the UL label (or equivalent) certifying 1 hour protection or be certified by a person competent in the technical field of fire protection.

NOTE: This applies to records that have not been previously processed that are going to be included as part of a record package that is being compiled without the assistance of the LRC or individual records being held after completion or authentication. The records may remain in temporary storage until the record package is complete. At that time, the completed record package must be transmitted to the LRC within 10 working days.

5.4.2

Take precautions to prevent materials that will become records from being damaged by excessive light, stacking, electromagnetic fields, temperature, and humidity, as appropriate.

5.5 RETRIEVAL OF RECORDS

Record Source

5.5.1

Contact the LRC (e.g., via telephone, in person, electronic mail, interoffice mail) to retrieve a record(s) or complete a Retrieval Request Form and submit it to the LRC.

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RESPONSIBILITY

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Record Source

- 5.5.2 Provide adequate information that will identify the record(s) (e.g., record date, author, organization, title, subject, etc.).
- 5.5.3 Provide a specific date or time that the record(s) is required.
- 5.5.4 Obtain assistance from the LRC to use the microfilm reader/printer to retrieve the record from microfilm if the request volume is large.

NOTE: There are many factors that will determine the timely retrieval of records. These include, but are not limited to, the following: volume, priority, location of storage, specific information provided, and record location.

6.0 EXHIBITS AND LIST OF FORMS REFERENCED

6.1 EXHIBITS

Exhibit 1, List of Materials Not Processed Into the Records System

6.2 FORMS

- TMSS/010/2 - Record Source Transmittal Form and Continuation Page
- TMSS/011/1 - LRC Bounce Back Form Reminder Notice
- TMSS/012/1 - LRC Bounce Back Form
- TMSS/015/1 - Record Retrieval Request
- TMSS/137/2 - Table of Contents/Record Package Transmittal Form and Continuation Page
- TMSS/009/1 - Special Instruction Sheet

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7.0 RECORDS

RESPONSIBILITY

ACTION

Record Source

- 7.1 Submit the following records, when providing documentation of why a record can not be corrected or regenerated, to the LRC for processing along with the corresponding record(s) within 10 working days of receipt from the LRC:
- a. LRC Bounce Back Form
 - b. LRC Bounce Back Form Reminder Notice
- 7.2 Submit a Record Source Transmittal Form (RSTF) with each QA individual record or record/package segment within 10 working days of completion or receipt from outside entities.
- 7.3 Submit a Table of Contents/Record Package Transmittal Form to the LRC with each completed record package within 10 working days of completion of the last records to be contained in the package.

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EXHIBIT 1

LIST OF MATERIALS NOT PROCESSED INTO THE RECORDS SYSTEM

A.0 PURPOSE AND APPLICABILITY

This exhibit is a list of some non-processed materials. This list is a guideline to be used to determine whether materials should be processed into the records system. Contact the T&MSS LRC to resolve differences involving interpretation of this guidance.

A.1 LIST OF NON-PROCESSED MATERIALS

The following materials shall not be captured in the records system and may be disposed of without special authority, except when the procedure governing the activity specifically requires the submission 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 should be identified as "Information Copy" (or designated information copy through a buckslip/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, such as requests for publications and communications on hotel reservations.
3. Tickler, follow-up, suspense, or reading file copies of records; duplicate copies of all records maintained in the same file; 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.
6. Electronic mail.
7. Working papers, such as personal notes, reminders, or handwritten drafts.

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8. Transmittals sheets, which do not require action, unless used to transmit materials for action.
9. Blank forms.
10. Initial stenographic notes after the transcription is available.
11. Processed or published material received from other activities or offices, which 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, which require no action and are not part of a case (activity or Project task) upon which action is taken.
13. Reproduction materials such as stencils and offset masters.
14. Physical exhibits, artifacts, and material lacking documentary value.
15. Telecopies (facsimiles). If telecopies (facsimiles) 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 prior to contract award, Source Evaluation Board materials, proposal information), except as required as a QA record.
17. Personnel records, except as required as QA records (e.g., qualification and training records).
18. Business sensitive (financial or commercial) information.
19. Information that has been classified pursuant to an Executive Order or statute, which is so marked. Hard copies of such material, when used in the conduct of Project business, shall be stored and handled in accordance with DOE Order 5635.1A.
20. Personal correspondence (unless submitted by the individual for processing).
21. Preliminary drafts when so marked.

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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.
25. Travel vouchers, travel authorizations, purchase orders, 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 Project for routine concurrence or coordination, whose subject matter does not relate specifically or exclusively to the Project.