Title
RECORDS MANAGEMENT: RECORD SOURCE IMPLEMENTATION

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Ass't Project Mgr. (OPs/WIs) Date	Project Manager (SPs) Date	QA Manager (SPs/OPs/WIs) Date
H A-	*N.Macruff* 2-28-92	*Kent B Johnson fu* 2/28/92
I have read, understood, and complied with SP 1.1, Rev. ____, ICN # ____, in accomplishing my responsibilities in this procedure.	I have read, understood, and complied with SP 1.1, Rev. _6_, ICN # _N/A_, in accomplishing my responsibilities in this procedure.	I have read, understood, and complied with SP 1.1, Rev. _6_, ICN # _c_, in accomplishing my responsibilities in this procedure.

1.0 PURPOSE

This procedure describes the methods for identifying and preparing Yucca Mountain Site Characterization Project (YMP) records for submission to the Las Vegas Local Records Center (LRC) operated by the Management & Operations Contractor. (Hereinafter, the "Las Vegas LRC" shall be referred to as "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 participant personnel who create, generate, submit, maintain, or retrieve records while performing non-quality affecting work.

2.3 This procedure applies to subcontractors and other contractors who generate, submit, maintain, or retrieve records while performing work under the T&MSS Quality Assurance Program Description.

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

    3.1.1 Records Management Policies and Requirements, DOE/RW-0194

    3.1.2 Records Management Plan, YMP/CC-0016, Rev. 3

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

    3.1.4 Project Glossary, YMP-89-15

    3.1.5 Technical and Management Support Services Quality Assurance Program Description (QAPD), SAIC-90/8002

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3.1.6   Control of Classified Documents and Information, DOE Order 5635.1A

3.1.7   Records Disposition, DOE 1324.2A

3.2   DEFINITIONS

3.2.1   The definitions of Standard Terms may be found in the T&MSS QAPD and the Project Glossary referenced in 3.1.3.

3.2.2   Authentication - 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. When a QA record is authenticated by a record source it means that the record is validated as accurate, legible, and completed appropriate to the work accomplished.

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 are 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   Legibility - Is a characteristic of a record that enables it to be read or the contents deciphered. If all the contents can be determined, either directly or through deduction, then the record shall be considered legible.

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   Oversized Records - Oversized records are records that have a minimum dimension greater than 14 inches.

3.2.7   Records Package Identifier - A records package identifier is an alpha-numeric code used to identify records packages. The records package identifier is written as "___.X.X.X", where "___" is the three-digit alpha code used to identify the type of records package (i.e., QRP for Quality Related Package; or RTP

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for Records 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.

3.2.8 Records Package Segment - A records package segment is a record or a group of records that shall be included as part of a record package.

3.2.9 Records Package Tracking Number - A records package tracking number is a number used by the LRC and the record source(s) to track and control records package segment collection and the building of records packages in the LRC. This number becomes obsolete upon completion of the records package, and is not to be entered into the records system.

3.2.10 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 YMP records, or receiving YMP records from an entity within or from outside the YMP.

3.2.11 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.

4.0 BACKGROUND

This procedure applies to record sources. It provides step by step instructions that will enable record sources to meet the requirements that apply to creating, maintaining, protecting, submitting, and retrieving YMP records. In addition to the responsibilities of record sources, Assistant Project Managers (APMs), or their designees, have responsibilities assigned in this procedure.

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5.0 PROCEDURE

5.1 IDENTIFICATION AND PREPARATION OF RECORDS

5.1.1 Identification of Records

RESPONSIBILITY	ACTION

APM
(or designee)

5.1.1.1 Ensure, by review, that design specifications, procurement documents, task plans, study plans, test procedures, implementing procedures, instructions, or other documents directing the conduct of quality related activities identify the records and/or records packages to be generated, supplied or maintained.

NOTE: For examples of documents that are not records refer to Exhibit 1.

5.1.1.2 Identify a record source responsible for collecting, authenticating (if applicable), and submitting the records and records packages for activities within a specific area of responsibility.

Record Source

5.1.1.3 Complete steps 5.1.1.4 and 5.1.1.5 if documents to be generated are to be part of a records package; otherwise go to step 5.1.1.6.

5.1.1.4 If the LRC is to maintain the records package, contact the LRC to obtain a records package tracking number and provide the LRC with the following information.

a. A records package title,

b. A records package identifier,

c. A record source name and organization, and

d. A quality-affecting designation (i.e., QA or QA: NA).

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RESPONSIBILITY   ACTION

Record Source   5.1.1.5   If the record source is to maintain the records
                             package until complete, then ensure the following:

                             a. Store non-QA records or documents that will
                                 become QA 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 with
                                 manufacturer's specifications) and (2)
                                 temperatures and humidity. Also prevent loss
                                 of documents by maintaining access controls.

                                 NOTE: If at anytime records, or documents
                                        destined to become records, cannot
                                        be properly stored and protected by
                                        the record source, submit those
                                        records to the LRC in advance of
                                        records package completion.

                             b. Completed QA, records when not in actual use
                                 by record sources, shall be 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, or dual storage
                                 shall be provided.

                                 NOTE: When providing dual storage, records
                                        must be protected and stored in
                                        separate locations as a safeguard
                                        against both copies being destroyed in
                                        the same fire, flood, or similar event.

                   5.1.1.6   Generate or receive documents that will become
                             records. Provide adequate care, as identified in
                             Step 5.1.1.5.a and Step 5.1.1.5.b.

                             NOTE: When materials received from outside
                                    entities become records or part of a record
                                    package, they shall be prepared and
                                    submitted to the LRC in accordance with
                                    this procedure.

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5.1.2 Preparation of Hard Copy (Paper) Records

RESPONSIBILITY	ACTION

Record Source   **5.1.2.1**   Prepare documents generated or received that will become records according to the following requirements for completeness and legibility.

> NOTE: Step 5.1.2.1 applies to all record types. For additional requirements for specific types of records (e.g., magnetic media, microform, and one-of-a-kind) go to Section 5.1.3.

5.1.2.2   Complete the following for all final technical and scientific reports:

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

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

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

    c.   The designation "readily available" may be printed in lieu of the accession number. Contact the LRC to obtain the accession numbers for cited references which have already been submitted to the RIS, or if unsure if the reference has been submitted previously.

    d.   Indicate an accession number (placed within the citation) for all cited references except for references that are readily available to the general public (i.e. dictionaries, codes and regulations, etc.).

RESPONSIBILITY	ACTION

Record Source

5.2.2.2 e. Submit cited references that have not been previously submitted in order to obtain an accession number.

5.1.2.3 Clearly mark DRAFT on the first page of draft documents.

5.1.2.4 Place the correct WBS number to at least the third level, and quality-affecting designation of QA or QA:NA in the upper right portion of the first page of the record.

NOTE: Identify the WBS to highest level possible to identify the activity and place the decimal in the appropriate place.

5.1.2.5 Ensure corrections to documents that will become records are authenticated by an authorized individual or organization as follows:

   a. Line through the incorrect information with black ink.

   b. Place the correct information (if applicable) in close proximity of the crossed out information.

   c. Initial and date the correction. Insertions and write overs are considered corrections.

   d. Documents being reviewed with suggested changes, line-outs, deletions and writing in margins are not considered corrections and do not have to be dated and initialed.

5.1.2.6 On the Transmittal/Receipt Acknowledgment, Form TMSS/010 (Exhibit 2) and the table of contents (Exhibit 3), the titles of the document must concisely identify and describe the contents of the document in order to enable future identification and timely retrieval.

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RESPONSIBILITY   ACTION

Record Source   5.1.2.7   Verify that documents are complete and include all
                           attachments or enclosures.

                           NOTE: If an attachment or enclosure is not
                                   included because it is not record material
                                   or will be later submitted as part of a
                                   record package, state this where the
                                   enclosures or attachments are listed. If
                                   attachment has been previously submitted
                                   and processed, identify an accession number
                                   or a document identification number.

                 5.1.2.8   Verify that no portions of a page are missing due
                           to tearing or folding of record edges, and that no
                           information is obliterated.

                 5.1.2.9   If the original hardcopy is not available for
                           processing, the copy submitted for processing
                           shall emulate the original to the degree possible.
                           The copy image must be aligned properly on the
                           page.

                 5.1.2.10 Colored paper shall not be submitted as a
                           recording medium. The record shall be copied to a
                           first generation copy; use "auto contrast" button
                           on copier if available.

                           NOTE: The only exception to this requirement is
                                   oversize records that are of a color that
                                   can be filmed on a 35-mm planetary camera
                                   for aperture card production. These
                                   exceptions require special handling and
                                   require approval by the CRF manager prior
                                   to submittal for microfilming.

                 5.1.2.11 Ensure that the documents are legible, including
                           photo reductions. If a record is not legible,
                           then one of the following actions is required:

                           NOTE: For records that are to be microfilmed, the
                                   microfilm image becomes the official
                                   program record, therefore the microfilm
                                   image must be legible. To produce a
                                   legible microfilm image, the hard copy
                                   record must have a sufficient contrast

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RESPONSIBILITY _____ ACTION _____

Record Source   5.1.2.1   NOTE: between the data on the record and the background media. To assist in determining sufficient contrast, copy the record at normal settings and if the copy is legible, the record will meet the legibility requirements.

a.   Determine if information can be deduced through the context in which the information is used or through reference numbers such as form numbers and purchase order numbers that can lead to the discovery of the information from within the same record or record package.

b.   Regenerate or obtain a legible copy.

c.   Correct the record by enhancing or transcribing the illegible information. The enhancement or transcription is considered a correction which must be processed in accordance with procedures which provide for appropriate review or approval by the originating organization. The correction shall include the date and the identification (signature or initials) of the person authorized to issue such corrections.

d.   If the record cannot be corrected or regenerated, documentation must be provided stating the impact of the lost information, due to being illegible, on future, in-process, or completed work. This documentation must be signed and dated by the individual responsible for the record and approved by the record sources supervisor. This documentation must accompany the deficient record to the LRC. Use of a "Best Available Copy" stamp is inappropriate.

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RESPONSIBILITY _____ ACTION _____

Record Source   5.1.2.12   Record data on records and drawings in black ink
against a light background.

NOTE: Information recorded on certain data
records may be accepted in other than black
ink. Such uses shall be handled on a
case-by-case basis and approved in advance.
If appropriate, blanket approval may be
obtained from the YMPO.

5.1.2.13   Complete data to be recorded on drawings in
accordance with American National Standards
Institute (ANSI) Y 14.2.

5.1.2.14   Create blackline drawings as opposed to blueprint
or sepia copies.

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

5.1.2.16   Fill in all applicable blanks on the documents,
including signature, or enter NA, unless the
record clearly states that given a certain
response only a portion of the record needs to be
completed or the individual responsible for the
record or record package states that having
reviewed the record it is determined that all the
blanks are intentional. This statement must be
signed and dated by the individual. Forms that go
through a phased approach in completing should
only be submitted when all parts have been
completed (e.g., QA deficiency reports, document
review sheets, etc.).

NOTE: As an alternative to writing N/A in each
blank space, N/A may be placed in the first
space and an arrow drawn down through all
following spaces, which are also N/A. The
arrow shall stop where information other
than N/A is applicable.

5.1.2.17   Avoid folding oversized documents (i.e., minimum
dimension greater than 14").

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5.1.3 Preparation of Magnetic Media

RESPONSIBILITY   ACTION

Record Source   5.1.3.1   Convert all magnetic media (excluding video and
                          audio tapes) to 9 track magnetic tape reels that
                          are new or recertified and have been rewound under
                          controlled tension.

                          NOTE: Media must be tested and certified no more
                                 than 6 months before using them to record
                                 information designed for permanent
                                 retention. Generate two copies for
                                 submittal to LRC.

                5.1.3.2   Media must be written in ASCII, with all
                          extraneous control characters removed from the
                          data (except record length indicators for variable
                          length records or marks designating a datum word,
                          field, block, or file), and blocked no higher than
                          30,000 bytes per block, at 800, 1600, or 6250 bpi.
                          Labeled externally to include the following:

                          a. The name of the organizational unit
                              responsible for the data.

                          b. File title(s)

                          c. Dates of creation and coverage

                          d. The recording density

                          e. Types of internal labels

                          f. If applicable, data set name(s), volume serial
                              number, number of tracks, character
                              code/software dependency, record length, block
                              size, and reel sequence (if the file is part
                              of a multi-reel set).

                          g. Verified as error-free.

                5.1.3.3   Machine-readable files, which have been designated
                          for preservation and maintained on a direct access
                          storage device, must comply with the requirements
                          of this procedure.

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RESPONSIBILITY | ACTION

Record Source

5.1.3.4 Temporary records shall not be submitted on the same magnetic tape as permanent records.

5.1.3.5 Documentation adequate for servicing and interpreting machine readable records that have been designated for preservation shall be transferred along with the machine-readable file. This documentation shall include, but not be limited to, the following:

a. Narrative description of the file(s)

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

e. A record layout that should break down the file 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).

   NOTE: Floppy disks and microfiche are not an acceptable storage media for records.

5.1.4 Submittal of Oversized and Special Process Records

Record Source

5.1.4.1 Submit two copies of oversized records rolled with a Special Instruction Form, TMSS/009/1 (Exhibit 4) to the LRC.

5.1.4.2 Insert a copy of Form TMSS/009/1 in the record package where records would have been placed.

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Record Source 5.1.4.3 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.

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

5.1.4.5 Records shall be sent unbound or loose-leaf when possible.

5.1.5 <u>Authentication and Preparation of Records for Submittal</u>

Record Source 5.1.5.1 Authenticate QA records if all requirements listed above have been met.

5.1.5.2 Determine if the record is part of a records package. If yes, then go to Step 5.1.1.4. Otherwise, go to step 5.2.

5.1.5.3 Determine if the record package is being maintained at the LRC or by the record source.

a. If at the LRC, then go to Step 5.1.1.4.

b. If by the record source, then include the record within the package, and continue to store in accordance with Step 5.1.1.5.b, and go to Step 5.1.1.5.

5.1.5.4 Determine if the record(s) or record package(s) are identified as privileged records. If yes, then go to step 5.2.1.

5.1.5.5 If the record package is complete, then prepare a table of contents which contains the following (at a minimum):

a. Record Package Identifier (upper right-hand corner) (See Section 3.2.7 of this procedure.)

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Record Source   5.1.5.5   b. QA Designation (QA or QA:N/A) (upper right-hand corner directly under the Record Package Identifier)

c. Descriptive Title

d. Individual listing of the contents

NOTE: The table of contents is to be the first item listed.

e. Individual page count

f. Total page count.

g. Signature (and date) of the person preparing the table of contents indicating authentication (QA record/record package) or submittal (non-QA record/record package) in accordance with this procedure.

NOTE: See Exhibit 3 for a sample table of contents.

5.2 RECORD SUBMITTAL

Records identified and prepared under this procedure shall be submitted to the LRC with the exception of records created or initially received at the Yucca Mountain Site. These records shall be submitted to the Yucca Mountain Site Office (YMSO) DRC.

Record Source   5.2.1   Identify all privileged records and ensure that they are clearly labeled as such.

5.2.2   Submit privileged records on a separate form TMSS/010 and identify them as "Privileged" on the form.

5.2.3   Submit individual non-QA records and record packages with a completed Form TMSS/010 no later than 10 working days after the date of completion or receipt.

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Record Source 5.2.4 Submit QA records and record packages with a completed Form TMSS/010 no later than 10 working days after authentication.

5.2.5 Determine if any additional segments will be submitted for records packages being compiled by the LRC.

NOTE: Record package segments may be submitted to the LRC with a completed Form TMSS/010 anytime during creation of the record package.

5.2.6 If the package is complete, notify the LRC and review the segments to ensure all applicable requirements of this procedure have been met. sign and date the table of contents and have the table of contents authenticated.

5.3 RECORD DISCREPANCIES

Record Source 5.3.1 After submittal of records to the LRC, resolve any discrepancies stated on the LRC Record Rejection Notice within 10 working days of receipt of the Rejection Notice.

NOTE: Notify the LRC if the discrepancy(ies) cannot be resolved within the allowable time.

5.3.2 Notify the LRC of any errors found in previously processed records or record packages. Submit the corrected, modified, or supplemental records, referencing the accession number of the previously processed record or record package, to the LRC.

5.3.3 Submit a written statement to the LRC which provides an explanation for lost or damaged records which cannot be regenerated or replaced. Submit the statement to the LRC in place of the lost or damaged record.

5.4 RETRIEVAL OF RECORDS

RESPONSIBILITY		ACTION

Record Source   5.4.1   Contact the LRC (e.g., via telephone, in person, electronic mail, interoffice mail) to retrieve a record(s) or to complete a Records Request Form (available in the LRC) and submit it to the LRC.

  a. Provide adequate information that will identify the record(s) {e.g., record date, author, organization, title, subject, etc.}.

  b. Provide a specific date or time that the record(s) is required.

5.4.2   Provide appropriate authorization or identification for retrieval of privileged records (i.e., training records, qualification records).

  NOTE: To obtain access to privileged records, authorization must be approved by Director of Office of Quality Assurance (OQA) or OCRWM, unless otherwise directed.

5.4.3   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 RECORDS

No records are generated as a result of this procedure.

Record Source   6.1   Submit the signed documentation along with deficient record(s) when a record cannot be corrected or generated.

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8/30/91	[x] STANDARD PRACTICE PROCEDURE	QA: QA
REVISION NO.: 2	[ ] ORGANIZATION PROCEDURE [ ] WORK INSTRUCTION	
	(CONTINUATION PAGE)	

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7.0   EXHIBITS AND FORMS REFERENCED IN THIS PROCEDURE

7.1   EXHIBITS

     Exhibit 1, List of Materials Not Processed Into the Records System
     Exhibit 2, Form TMSS/010 - Transmittal/Receipt Acknowledgment
     Exhibit 3, Sample Table of Contents
     Exhibit 4, Form TMSS/009/1 - Special Instruction Form

7.2   FORMS

     TMSS/009/1 - Special Instruction Form
     TMSS/010 - Transmittal/Receipt Acknowledgment

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EXHIBIT 1

LIST OF MATERIALS NOT PROCESSED INTO THE RECORDS SYSTEM

1.0 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 LRC to resolve differences involving interpretation of this guidance.

1.1 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.

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EXHIBIT 1

LIST OF MATERIALS NOT PROCESSED INTO THE RECORDS SYSTEM (Continued)

7. Working papers, such as personal notes, reminders, or handwritten drafts.

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.

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EXHIBIT 1

LIST OF MATERIALS NOT PROCESSED INTO THE RECORDS SYSTEM (Continued)

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.

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.

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EXHIBIT 2

FORM TMSS/010 -- TRANSMITTAL/RECEIPT ACKNOWLEDGMENT
(SAMPLE)

TMSS/010 03/02/92 Revision No.: 4	TECHNICAL & MANAGEMENT SUPPORT SERVICES TRANSMITTAL/RECEIPT ACKNOWLEDGMENT		Page ___ of ___
Record/ Package Date	Title/Description	Page Count	Tracking Number/ Identifier	Record Filmed
Instructions for access to privileged records				

Record Source:	Participant Organization:	Date:
LRC Receipt:		Date:
LRC Acceptance:		Date:
LRC Transmittal:		Date:
CRF Acceptance:		Date

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EXHIBIT 2

FORM TMSS/010 -- TRANSMITTAL/RECEIPT ACKNOWLEDGMENT (Continued)
(SAMPLE)

TMSS/010 03/02/92 Revision No.: 4	TECHNICAL & MANAGEMENT SUPPORT SERVICES TRANSMITTAL/RECEIPT ACKNOWLEDGMENT (Continuation Page)		Page ___ of ___		
Record/ Package Date	Title/Description	Page Count	Tracking Number/ Identifier	Record Filmed	

| Procedure Number SP 1.36 | Revision Number 7 | ICN Number N/A | Check as [ ] Complete Revision [ ] N/A (Rev. 0) Appropriate [x] Revision Bars X | Effective Date 3/2/92 | Page 23 Of 24 |

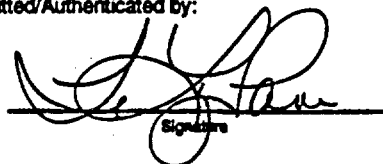## EXHIBIT 3

SAMPLE TABLE OF CONTENTS

QRP.1.2.9.1.4
QA

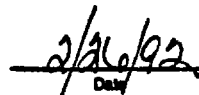### TABLE OF CONTENTS
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Submitted/Authenticated by:

_____   2/26/92
Signature   Date

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EXHIBIT 4

FORM TMSS/009/1 -- SPECIAL INSTRUCTION FORM
(SAMPLE)

TMSS/009/1 06/25/91 REVISION NO.: 1	TECHNICAL & MANAGEMENT SUPPORT SERVICES SPECIAL INSTRUCTION FORM	WBS: _____ QA: _____

THIS SHEET IS USED TO IDENTIFY A RECORD THAT IS NOT ENCLOSED FOR ONE OF THE FOLLOWING REASONS:

[ ]   ONE-OF-A-KIND

[ ]   SPECIAL PROCESSED

[ ]   OVERSIZED

[ ]   OTHER: _____

_____

_____

THE FOLLOWING INFORMATION IDENTIFIES THE RECORD. THE LOCATION OF THE RECORD CAN BE DETERMINED BY THE TYPE OF MEDIA (e.g., MICROFILM, MAG TAPE, ETC.) ON WHICH IT RESIDES.

ACCSN NUM: _____

DETAIL DESC: _____

MEDIA TYPE: _____

REVISION NUM: _____

RECORD DATE: _____

RECORD TITLE: _____

_____

_____

_____

_____

_____

_____

STORAGE LOCATION: _____

_____

_____

_____