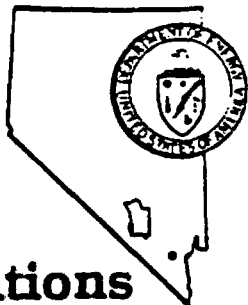
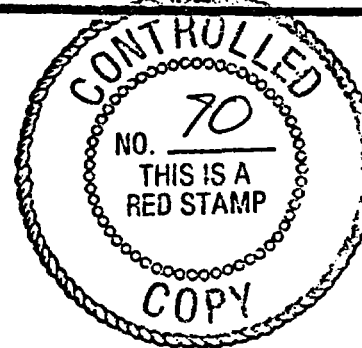


**Nevada
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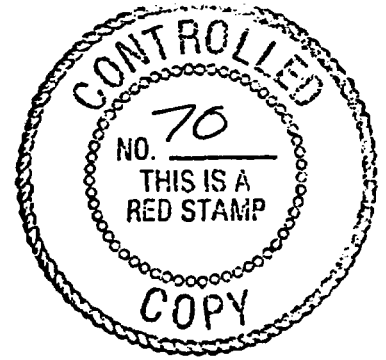
**RECORDS
MANAGEMENT
PLAN**

JULY 1988

**UNITED STATES DEPARTMENT OF ENERGY
NEVADA OPERATIONS OFFICE
LAS VEGAS, NEVADA**

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NEVADA NUCLEAR WASTE STORAGE INVESTIGATIONS PROJECT

RECORDS MANAGEMENT PLAN

SIGNATURE PAGE

James Blaylock
WMPO PROJECT QUALITY MANAGER

7/13/88
DATE

Carl [Signature]
PROJECT MANAGER, WMPO

7/14/88
DATE

EFFECTIVE DATE:

7/14/88

NNWSI/88-15

NNWSI/88-15

NEVADA NUCLEAR WASTE STORAGE INVESTIGATIONS PROJECT

RECORDS MANAGEMENT PLAN

JULY 1988

CONTROLLED

UNITED STATES DEPARTMENT OF ENERGY
NEVADA OPERATIONS OFFICE
LAS VEGAS, NEVADA

OVERVIEW

The Office of Civilian Radioactive Waste Management/Headquarters (OCRWM/HQ) requires that a program-wide records management system be established. This system is to consist of common elements at the Nevada Nuclear Waste Storage Investigations (NNWSI) Project and OCRWM/HQ. These requirements dictate that the NNWSI Project implement an integrated records management system to support management of NNWSI Project information.

This document constitutes the NNWSI Project plan for conducting records management functions and defines the responsibilities and requirements for ensuring that NNWSI Project records are controlled and managed in an integrated fashion. These records shall be managed in accordance with the NNWSI Project Quality Assurance Plan.

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1.0 PURPOSE

The purpose of the Nevada Nuclear Waste Storage Investigations (NNWSI) Project Records Management Plan (RMP) is to provide requirements and describe the responsibilities of the NNWSI Project for integrated records management.

2.0 SCOPE

The NNWSI Project RMP addresses the following: records creation and identification; records receipt and processing; records storage and preservation; record retrieval; record disposition; training; and facilities for the NNWSI Project.

3.0 APPLICABILITY

The NNWSI Project RMP applies to records generated and received by the NNWSI Project.

4.0 GOVERNING DOCUMENTS

The following documents constitute the source of the requirements stipulated in this Plan:

DOE (U.S. Department of Energy), 1987. Nevada Nuclear Waste Storage Investigations Project Quality Assurance Plan, NNWSI/88-9, Revision 0.

DOE (U.S. Department of Energy), 1988. Office of Civilian Radioactive Waste Management Records Management Policies and Requirements, June 1988, Washington, D.C.

36 CFR Part 1230 (Code of Federal Regulations), 1985. Title 36, "Parks, Forests, and Public Property," Part 1230, "Micrographics," U.S. Government Printing Office, Washington, D.C. (As it applies to microfilm.)

5.0 DEFINITIONS

5.1 ACCESSION NUMBER

An accession number is a unique identifier for each indexed NNWSI Project record. The accession number is composed of a three-character data element (followed by a period) for location, a two-character data element for year, a two-character data element for month, a two-character data element (followed by a period) for day, and a four-character data element for a sequential identification number (e.g., NNA.880601.0025).

5.2 AUTOMATED RECORDS SYSTEM (ARS)

The ARS is the Office of Civilian Radioactive Waste Management (OCRWM) program-wide computerized index, search, and retrieval system for records management. The ARS provides the means to store the index and abstracts of records at OCRWM/Headquarters (HQ) and the project office(s). The complete text of the records is on microfilm at OCRWM/HQ and the project office(s). The ARS provides for on-line access to the index and abstracts.

5.3 CENTRAL RECORDS FACILITY (CRF)

The CRF is the central receiving, processing, storage, and retrieval facility for NNWSI Project records. In addition, the CRF is responsible for assigning record accession numbers. The CRF is maintained by the Technical and Management Support Services (T&MSS) Contractor.

5.4 LIMITED-VALUE MATERIAL

Limited-value material includes those classes of documentary or other material which will not be captured in the ARS and which may be disposed of without special authority, including the following:

1. Information copies of correspondence on which no documented administrative action is taken.
2. Materials documenting such fringe activities as employee welfare activities and charitable fund drives.
3. Reading file copies of correspondence.
4. Tickler, follow-up, or suspense copies of correspondence.
5. Duplicate copies of all records maintained in the same file.
6. Extra copies of all records maintained in the same file.
7. Superseded manuals or other directives maintained outside the office that is responsible for directives management.
8. Routing slips.
9. Working papers.
10. Preliminary drafts of reports and correspondence including drafts circulated within the NNWSI Project for review and comment, but excluding drafts for formal concurrence.

11. Transmittal sheets.
12. Blank forms.
13. Transcribed stenographic material.
14. Processed or published material received from other activities or offices, and which requires no action and is not required for documentary purposes (the originating office or activity is required to maintain record copies).
15. Catalogs, trade journals, and other publications or papers that are received from Government agencies, commercial firms, or private institutions, and which require no action and are not part of a case upon which action is taken.
16. Correspondence and other records of short term value that, after action has been completed, have neither evidential nor information value, such as requests for publications and communications on hotel reservations.
17. Reproduction materials such as stencils and offset masters.
18. Physical exhibits, artifacts, and material lacking documentary value.

5.5 LOCAL RECORDS CENTER (LRC)

The LRC is an entity within each NNWSI Project participants' organization that is responsible for collecting NNWSI Project participant records, verifying the completeness of records, protecting Quality Assurance (QA) records in accordance with the NNWSI Project Quality Assurance Plan (QAP), forwarding all records to the CRF, and retrieving NNWSI Project records in response to internal NNWSI Project participant requests.

5.6 MAIL AND RECORDS FACILITY (MRF)

The MRF is an entity within the Waste Management Project Office (WMPO) that is responsible for collecting NNWSI Project records from the WMPO, verifying the completeness of records, protecting QA records in accordance with the NNWSI Project QAP, and retrieving NNWSI Project records for the WMPO. In addition, the MRF is responsible for assigning a record accession number to all records collected from the WMPO. The MRF is maintained by the Project Support Documentation Office (PSDO).

5.7 MICROFILM AND ARCHIVAL STORAGE SERVICE FACILITY (MASSF)

The MASSF is the entity that performs microfilming and storage of NNWSI Project records in accordance with the NNWSI Project QAP. Services include, but are not limited to, source document preparation for filming, camera operations, filming, completion of microfilm location indexing, microfilm processing, film quality verification, duplication, and storage. The MASSF is maintained by Holmes & Narver, Inc.

5.8 NNWSI PROJECT PARTICIPANT

As defined in the NNWSI Project QAP.

5.9 QUALITY ASSURANCE (QA) RECORD

As defined in the NNWSI Project QAP.

5.10 RECORD

Records are all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or judged appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of the data contained therein. Library and museum materials made or acquired and preserved solely for reference or exhibition purposes, extra copies of records preserved only for convenience of reference, and stocks of publications and of processed records are not included. In the context of this Plan, the term "records" includes QA as well as non-QA records.

5.11 WORKING FILES

Working files are NNWSI Project-related files kept or created by an employee in the performance of his or her official duties on the NNWSI Project. To be classified as such, the files must be in the possession of the individual, completely segregated from, and in addition to, the official office files.

6.0 RESPONSIBILITIES

6.1 WMPO PROJECT MANAGER

The WMPO Project Manager's responsibilities include the following:

1. Approves and issues the NNWSI Project RMP.
2. Assigns a WMPO Records Administrator to administer the implementation of the NNWSI Project RMP.
3. Approves NNWSI Project records management administrative procedures.

6.2 RECORDS ADMINISTRATOR, WMPO

The WMPO Records Administrator's responsibilities include the following:

1. Provides overall management and administration of the NNWSI Project records management system to meet all requirements.
2. Ensures that the NNWSI Project QA records type list is maintained.
3. Reviews NNWSI Project participant implementing procedures for consistency with this Plan, database requirements, and NNWSI Project policy after they have been reviewed and approved by the respective Technical Project Officer.
4. Provides guidance to the NNWSI Project participants on the content of procedures for litigation discovery.
5. Provides training to NNWSI Project records personnel in NNWSI Project records management procedures, including documented training in QA records management procedures, and in the implementation and maintenance of the NNWSI Project ARS.
6. Develops implementing procedures addressing CRF responsibilities with regard to NNWSI Project records.
7. Provides guidance to the T&MSS Contractor for operations of the NNWSI Project CRF.
8. Provides guidance to the MASSF for microfilming of NNWSI Project records and distribution of masters and microfilm duplicates.
9. Provides guidance to the PSDO for operations of the MRF.

6.3 WMPO QA

The WMPO QA reviews and approves the RMP, and conducts periodic site reviews and audits of the records management program.

6.4 NNWSI PROJECT PARTICIPANTS

The NNWSI Project participants shall establish and implement records management systems which comply with this Plan and its implementing procedures including the following:

1. Develops records management procedures which satisfy the requirements of the NNWSI Project QAP, this Plan, and implementing procedures.
2. Ensures that procedures regarding litigation discovery are established.
3. Ensures that associated contractors, suppliers, and consultants maintain records management systems and practices consistent with the records management requirements contained in this Plan and the associated NNWSI Project Administrative Procedures (APs) which implement it.
4. Establishes and manages operations of an LRC within its organization.
5. Submits all completed records and record packages to the appropriate LRC in accordance with individual NNWSI Project participant procedures regarding submittal of records.
6. Identifies and submits to the WMFO Records Administrator, a list of NNWSI Project QA record types (including record package types).

6.5 LOCAL RECORDS CENTER (LRC)

The responsibilities of the participant LRC with regard to records management include the following:

1. Develops records management procedures which satisfy the requirements of the NNWSI Project QAP, this Plan, the associated NNWSI Project participant QAPP, and implementing procedures.
2. Ensures that NNWSI Project records are collected from their respective organization.
3. Ensures that all in-process NNWSI Project records and record packages are protected against deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0.
4. Transmits records to the CRF.
5. Ensures that duplicates of records sent to the CRF are protected against deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0, until processed by the CRF.

6.6 MAIL AND RECORDS FACILITY (MRF)

The responsibilities of the MRF include the following:

1. Develops records management procedures which satisfy the requirements of the NNWSI Project QAP, this Plan, the WMPO QAPP, and implementing procedures.
2. Ensures that NNWSI Project records are collected from the WMPO.
3. Ensures that NNWSI Project records are assigned a unique accession number prior to processing.
4. Ensures that all in-process NNWSI Project records and record packages are protected from deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0.
5. Interfaces with MASSF for microfilming WMPO records.

6.7 CENTRAL RECORDS FACILITY (CRF)

The responsibilities of the CRF include the following:

1. Develops records management procedures which satisfy the requirements of the NNWSI Project QAP, this Plan, the WMPO QAPP, and implementing procedures.
2. Maintains the NNWSI Project ARS as the computerized index and retrieval tool for NNWSI Project records.
3. Ensures that NNWSI Project records are assigned a unique accession number prior to processing.
4. Ensures that all in-process NNWSI Project records and record packages are protected from deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0.
5. Interfaces with the MASSF for NNWSI Project microfilming.
6. Maintains an on-site hard copy file of all NNWSI Project records.

6.8 MICROFILM AND ARCHIVAL STORAGE SERVICE FACILITY (MASSF)

The MASSF is responsible for the following:

1. Develops records management procedures which satisfy the requirements of the NNWSI Project QAP, this Plan, the associated QAPP, and implementing procedures.

2. Reviews records against the microfilm standards defined in Appendix A of this Plan.
3. Microfilms NNWSI Project records in accordance with 36 CFR Part 1230.
4. Provides a facility for off-site microfilm storage which meets the requirements of 36 CFR Part 1230.
5. Enters microfilm index information into the ARS database.
6. Provides microfilm copies of processed NNWSI Project records to the NNWSI Project participants, the WMPO, OCRWM/HQ, and others as directed by the WMPO Records Administrator.

7.0 POLICIES AND REQUIREMENTS

7.1 RECORD CREATION AND IDENTIFICATION

Records are generated and received by NNWSI Project participants and by external sources. All QA records generated by NNWSI Project participants shall, as a minimum, adhere to the following requirements:

1. All individual QA records shall be identified on the front of the record, in the upper right hand corner, with the appropriate WBS number corresponding to the subject activity. The format for the WBS number is: WBS: X.X.X.X.X.
2. All individual QA records shall be identified as such by placement of the term "QA" on the front of the record, in the upper right hand corner, immediately below the WBS number.
3. Records packages shall be identified as such by using the identifier "RP.X.X.X," where "X.X.X" is the WBS No. corresponding to the subject activity. The QA level (QL1, QL2, or QL3) assigned to the activity must also be assigned to the package at the time of creation and must appear on the front of the package. The records package shall contain a table of contents that lists the individual records that constitute the package. The completed package shall be submitted as an entity to the appropriate LRC for incorporation into the ARS.

Records creators shall also, as a minimum, adhere to the following requirements with regarding to records generation:

1. Each procedure, task plan, activity plan, etc. will identify what document(s) resulting from the implementation of that plan or procedure constitute(s) a QA record for incorporation into the records package.

2. All final reports shall list and identify, by accession number, referenced material in the report. All referenced material shall be contained in the records system and cross-referenced to the report.
3. All NNWSI Project published reports and documents shall have an accession number assigned and placed on the inside of the back cover.
4. All in-process NNWSI Project records and record packages shall be protected from deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0.
5. Any working files as defined in Section 5.10 must be turned over to the LRC upon completion of activity, upon termination of employment, or as otherwise directed by the DOE/WMPO.

7.2 RECORD RECEIPT AND PROCESSING

Hereinafter, all references to "record" shall include individual records as well as record packages.

7.2.1 Local Record Centers (LRCs)

All LRC record receipt and processing activities shall be performed in accordance with NNWSI Project participant procedures governing their individual LRC activities. NNWSI Project participant LRCs shall, as a minimum, perform the following required record receipt and processing activities:

1. Receive records from the NNWSI Project participants or external sources.
2. Review the record in accordance with NNWSI Project QAP, Section 17.0.
3. Protect all in-process NNWSI Project records and record packages from deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0.
4. Prepare the appropriate transmittal form and forward the record to the CRF for incorporation into the ARS.
5. Protect duplicates of NNWSI Project records sent to the CRF from deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0, until processed by the CRF.
6. Maintain a hard copy of the record.

7.2.2 Mail and Records Facility (MRF)

All MRF record receipt and processing activities shall be performed in accordance with WMPO procedures governing their individual MRF activities. The MRF shall, as a minimum, performing the following required record receipt and processing activities:

1. Receive records from the WMPO.
2. Review the record in accordance with NNWSI Project QAP, Section 17.0.
3. Assign a unique accession number to each record.
4. Protect all in-process NNWSI Project records and record packages against deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0.
5. Prepare appropriate transmittal form and forward the records to the MASSF for microfilming.

7.2.3 Central Records Facility (CRF)

All CRF record receipt and processing activities shall be performed in accordance with WMPO procedures governing CRF activities. The CRF shall, as a minimum, perform the following required record receipt and processing activities:

1. Receive records from the NNWSI Project participants LRCs.
2. Review the record in accordance with NNWSI Project QAP, Section 17.0.
3. Assign an unique accession number to each record.
4. Index appropriate record information into the ARS database.
5. Protect all in-process NNWSI Project records and record packages from deterioration, loss, or damage, in accordance with NNWSI Project QAP, Section 17.0.
6. Prepare appropriate transmittal form and forward the records to the MASSF for microfilming.
7. Resolve problems with NNWSI Project participant LRCs.

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APPENDIX A

CRITERIA FOR ACCEPTANCE OF SOURCE RECORDS
FOR PROCESSING AND MICROFILMING

Appendix A

Criteria for Acceptance of Source Records for Processing and Microfilming

A.1 PURPOSE

The purpose of these criteria is to ensure that the microfilm record copy of NNWSI Project records is of a quality sufficient to survive as archivally sound, legible, and therefore, retrievable, for its entire retention period.

A.2 SCOPE

These criteria apply to all records submitted to the records system for microfilming and retention, except for one-of-a-kind items defined as "records that cannot be duplicated or microfilmed by currently available technology."

A.3 DEFINITIONS

A.3.1 SOURCE RECORD

A source record is any record submitted to the records system for processing, microfilming, and retention which is the source of the microfilm record copy.

A.3.2 MICROFILM RECORD COPY

A microfilm record copy is the silver-halide microfilm of each issue of a document.

A.4 CRITERIA

It is imperative that source records submitted to the records system be of the highest possible quality. Records submitted to the records system must be of sufficient quality to produce a microfilm image with a quality index level of no less than 5.0 (quality index level 8.0 is preferred) as specified in AIIM/NMA MA-23-1983, "Practice for Operational Procedures/Inspection and Quality Control of First-Generation, Silver-Gelatin Microfilming of Documents."

Practical criteria for acceptability of source records are as follows:

1. Record must be legible; there must be a clear and distinct image with a sharp contrast between the character or pictorial information recorded and the recording medium (paper).

2. Record must be complete; no portions of a page can be missing due to tearing or folding of record edges that obliterates recorded information.
3. Data on drawings shall be recorded in black ink. Blackline drawings are preferred to blue line or sepia copies. If blue line or sepia drawings are the only copies available, they must not be folded but rather rolled for storage or transmittal. Store them on stick files or in flat (plan) files. Creasing the paper creates marks which can obscure data recorded on the drawing.
4. Typewritten or printed text shall be printed using clean multi-strike ribbons.
5. Records shall be sent unbound or loose-leaf when possible.
6. If photocopies are submitted as the record copy, they must be legible. The copy image must be aligned properly; optically skewed images are not acceptable; the angle of the record must be truly reproduced on the photocopy; square corners must appear at right angles.
7. No photo reductions of data are acceptable unless the image is very clear and easily legible. Letters and other characters must be spaced so that the background areas between them are approximately equal. Words shall be clearly separated by space equal to the height of the lettering. Space between letters shall be at least 0.06 inches.
8. Avoid using colored paper as a recording medium. The contrast between the data recorded and the color of the paper is not distinct enough to produce a microfilm image of sufficient quality.
9. NCR-type paper ("no carbon required" or other paper requiring pressure from writing implement, typewriter or printer to produce a legible impression) copies are not acceptable. Only the white first page (original) of an NCR form is acceptable.

NOTE: The only exception to this rule are oversize records which are of a color that can be filmed on a 35mm planetary camera for aperture card production handling and will be considered only on a case-by-case basis. Approval by the responsible manager is required prior to submittal.

10. If the original records are not available for submittal to the records center, the generation of the copy submitted for processing must be as close to the original as possible and not more than two generations from it (i.e., a copy of a copy of the original). Each copy generation removed from the original is of poorer quality.
11. Do not fold drawings, maps, or other "oversize" records (i.e., records with the minimum dimension greater than 14 inches). Such oversize records shall be rolled for transmittal to the records center.

12. Data recorded on drawings shall be completed in accordance with ANSI Y 14.2, the latest issue. As a minimum, data on drawings must comply fully with the project standards for preparation and control of engineering and architectural drawings, latest issue.

General Operability Test

If the record to be microfilmed is photocopied and the photocopy is easily and clearly legible, it will be acceptable for microfilming.

If the quality of source records submitted does not meet the above guidelines, and will, therefore, not produce a microfilm image with a quality index level of no less than 5.0, then the records center shall return the records to the submitter identifying the required corrections to the records before they are acceptable.

If the correction cannot be made, then the records center must determine whether the records shall be microfilmed and retained, and if so, must authorize microfilming and retention of inferior quality records. The original hard copy record of these items will be marked "best available copy," and will be processed for retention.

The following number is for NNWSI Project Records Management purposes only and should not be used when ordering this publication:

Accession Number: NN1.880721.0014