



MANAGEMENT PROCEDURES MANUAL

CHAPTER 17 - RECORDS MANAGEMENT

SECTION 1 - YMP-USGS RECORDS MANAGEMENT

1. **PURPOSE.** This procedure defines the requirements and responsibilities for achieving USGS compliance with the Yucca Mountain Project (YMP) Records Management Plan (RMP) and the USGS Quality Assurance Program Plan (QAPP).
2. **SCOPE OF COMPLIANCE.** This procedure applies to all USGS personnel and USGS contractors, suppliers, and consultants participating in the YMP. This procedure covers the capture, processing, maintenance, preservation, and storage of all YMP-USGS records (including superseded records) and record packages. This procedure does not concern the acceptance of records, data and documents which were generated prior to the effective date of the initial YMP QA Plan (August 1980) all of which are processed in accordance with USGS-QMP-17.02. Project records generated, purchased, received, and/or maintained prior to issuance of this procedure shall be processed into the Automated Records System in a manner to be determined on a case-by-case basis.
3. **DEFINITIONS.**
  - 3.1 **Abstract:** A summary that identifies the prominent points, results, conclusions, or other subject matter that constitutes record contents.
  - 3.2 **Accession Number:** A unique identifier for each indexed YMP 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)
  - 3.3 **Authentication:** The act of attesting that the information contained within a document is accurate, complete, and appropriate to the work accomplished. A document cannot become a Quality Assurance (QA) record until it has been authenticated.
  - 3.4 **Authorized Personnel List:** A list prepared by the USGS, Branch of YMP, and approved by the QA Manager, of signatures and initials of persons authorized to authenticate YMP-USGS records.
  - 3.5 **Automated Records System (ARS):** The 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/HQ and the project office(s). The complete text of the records is on microfilm at OCRWM/Headquarters (HQ), the Project office(s), and the YMP participant LRCs. The ARS provides for on-line access to the index and abstracts with access through the LRC.
  - 3.6 **Backup Data:** All of the documents, records and data items regardless of medium, that support a particular record, manuscript, or activity

whether physically stored in one location (e.g., a file-cabinet drawer) or stored in multiple locations.

- 3.7 Central Records Facility (CRF): An entity within the Technical and Management Support Services (T&MSS) Contractor that is responsible for receiving, processing, storing, preserving, and retrieving YMP.
- 3.8 Correspondence: All USGS incoming and outgoing mail pertaining to the YMP received or generated by USGS and contract personnel. This information includes mail received via the U.S. Postal Service or through the internal USGS system, and telephone messages resulting in significant technical, scientific, and/or managerial decisions that should be submitted to the record.
- 3.9 Draft Document: A document that proposes or reflects a YMP position, policy, plan, or intended purpose and that is transmitted by a supervisory official of the originating organization for formal concurrence within the Project, or formally transmitted outside the Project for review and/or comment, or, in the case of YMP participants, provided to the Project Office as a scheduled deliverable. Draft document also includes a nonfinal document circulated for concurrence or signature which did not become a record due to objections or revisions by someone other than the original author and in which the original author or others in the concurrence process have nonconcurred.
- 3.10 Indeterminate (IND): A QA designation for records or record packages which has been reviewed but a Quality Level (QL) could not be assigned at the time of review. The record or record package may be evaluated at a later date to obtain a QA designation.
- 3.11 Information Copy: Documents that are circulated or transmitted for information purposes only and shall be so marked "Information Copy".
- 3.12 Internal Records: Records directly associated with USGS work on the YMP, whose distribution remains internal, including: (1) training/ seminar approvals; (2) USGS concurrence copies of letters; (3) interoffice memos related to the Project unless transmitted by official letterhead as an attachment; and (4) unpublished reports and documents, unless transmitted to the Project Office for formal review.
- 3.13 Limited-Value Material: Those classes of documentary or other material which will not be captured by the ARS and which may be disposed of without special authority (see Attachment 1).
- 3.14 Litigation Discovery: The act of reviewing selected YMP-USGS files relating to siting guidelines, environmental assessments, and other issues for litigation purposes or use by opposing counsel.
- 3.15 Local Records Center (LRC): An entity within each YMP participant's organization that is responsible for collecting and receiving YMP participant records, verifying the completeness of records, protecting QA records in accordance with the YMP QAP, Section 17.0, transmitting YMP records to the CRF, and retrieving YMP records in response to internal YMP participant requests.

- 3.16 Manuscript Package: All backup records (reviews and raw data) and the USGS published report, map, paper submitted to scientific journals for publication, or proceedings of symposia giving interpretations of YMP work completed by the USGS.
- 3.17 Non-Processed Materials: Materials that will not be captured by the records system (see Attachment 2).
- 3.18 Non-OA Record: A record which does not require authentication and who's subject does not deal with a QA Level.
- 3.19 One-Of-A-Kind Record: A QA record that cannot be duplicated or micro-filmed or would lose its meaning when microfilmed (i.e., a radiograph, multi-colored map, and map overlay).
- 3.20 Preliminary Draft Document: A document that is under development or preparation reflecting work in progress. The process of finalization may require iterations and revisions that may be transmitted freely within the U.S. Department of Energy (including the program participants) if the document is marked "Preliminary Draft". Preliminary drafts are excluded from capture.
- 3.21 Project Records: All YMP records generated or received by the USGS except for those that are designated as non-processed (see Attachment 2), personal, or limited-value material (see Attachment 1). All project records are classified as lifetime.
- 3.22 QA Implementation Records: Records associated with or required by the eighteen criteria areas of the USGS QAPP.
- 3.23 QA Record: An individual record or record package that has been executed, completed, and approved and that furnishes evidence of (1) the quality and completeness of data (including raw data), items, and activities affecting quality; (2) records prepared and maintained to demonstrate implementation of QA programs (e.g., audit, surveillance); (3) procurement records; (4) other records such as plans, correspondence, documentation of telecons, specification, technical data, books, maps, papers, photographs, and data sheets; (5) items such as magnetic media; and (6) other materials that provide data and record quality regardless of the physical form or characteristics.
- 3.24 Record: For this procedure, a document or item (with supporting documentation) that will receive no more entries, whose revisions would normally constitute a reissue of the record, and that is authenticated. Records are all books, documents, 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 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 documents are not included.

- 3.25 Record Contact: A USGS employee or designee who is the contact between the LRC and the USGS entities to assist with records management concerns.
- 3.26 Record Package: A collection of backup data supporting one topic (subject) which are filed as a case file (i.e., QA Audit file, contract or procurement file, engineering drawing package). The file will be held by the originating office or individual until the transaction is completed. It will then be indexed and processed as one record.
- 3.27 Record Source: Any individual or organizational entity employed by a YMP participant who is responsible for generating records or receiving records from an entity outside the YMP.
- 3.28 Record Tracking Sheet: A form used by LRC staff to identify document problems and resolutions. When used, this form becomes a QA record that is transmitted to the CRF (see Attachment 3).
- 3.29 Record-Type List: A list containing all types of records and record packages expected to be generated by the USGS for Project activities.
- 3.30 Records Coordinator: An individual designated by the USGS to represent the USGS at YMP records management meetings and to design, manage, and implement the USGS records management system.
- 3.31 Records Storage: The manner in which records are permanently or temporarily retained to prevent damage, loss, or destruction.
- 3.32 Special Processed Records: Records that cannot be microfilmed on 16mm rolls of film. These records may be filmed on aperture cards (i.e. oversized maps and logs) or they may be duplicated and stored in dual storage (i.e., negatives, color photographs, magnetic media).
- 3.33 Turnover Package: A grouping of records (not a record package) submitted to the LRC at one time for processing (e.g., certifications, correspondence, procurement, data items).
- 3.34 Validation: The act of reviewing a QA record (authenticated record) to assure that it is legible, identifiable, reproducible, and microfilmable (when required). Validation is complete when all criteria are met in accordance with the LRC Quality Verification Checklist (Attachment 4).
- 3.35 Working files: YMP-related files kept or created by a YMP employee in the performance of their official duties. To be designated as such, the files must be in the possession of the individual, completely segregated from, and in addition to, the official office files.

4. RESPONSIBILITIES.

4.1 The Chief, Branch of YMP is responsible for assuring full USGS compliance for the following:

1. Establishing and implementing a records management system and procedure to implement the ARS which complies with the YMP QAP, the YMP RMP, and this procedure.
2. Ensuring that procedures regarding litigation discovery are established.
3. Ensuring that associated contractors, suppliers, and consultants maintain records management systems and practices consistent with the records management requirements contained in this procedure.
4. Establishing and managing operations of a Local Record Center (LRC) within the USGS.
5. Identifying and submitting, to the Records Administrator, Project Office, a list of YMP QA record types (including record package types), which includes the identification of the procedure that will generate those records, and updating this list, as appropriate.
6. Submitting completed records and record packages to the LRC in accordance with individual YMP participant procedures governing submittal of records.
7. Identifying and submitting, to the LRC, a list of the person or persons having the authority to sign and to authenticate and validate QA records and record packages, and generating and updating the LRC's signature log.
8. Submitting, to the Office of Scientific and Technical Information and the National Energy Software Center (NESC), a duplicate of all reports published as a result of YMP activities and submitting, to the NESC, a copy of all final scientific and technical computer software.

4.2 The YMP Central Records Facility (CRF) assumes full Project responsibility for all records transmitted from the USGS to the Project Office, and assigns the Project accession number to Project records for filing and retrieval purposes.

4.3 The USGS Local Records Center (LRC) is responsible for collecting, receiving, processing, and verifying the completeness of records; maintaining, protecting, and storing; as well as transmitting Project records to the CRF, and retrieving Project records for requestors. Responsibilities include:

1. Developing records management procedures which satisfy the requirements of the YMP QAP, the YMP-USGS QAPP, the YMP RMP, and this procedure.

2. Maintaining the QA record type (including record package type) list and, as appropriate, transmitting an updated duplicate of the list to the Records Administrator, Project Office.
3. Maintaining the signature log of persons having the authority to authenticate and validate records.
4. Maintaining the LRC access authorization list.
5. Ensuring that records that were received or generated for the YMP are collected.
6. Ensuring that records are protected from deterioration, loss, or damage.
7. Reviewing records for appropriate authentication and validation.
8. Ensuring that records conform to the standards defined in Appendix A of AP-1.7Q.
9. Copying and transmitting completed records to the CRF within 10 working days of receipt from the Record Source.
10. Assisting in retrieving records from the ARS as requested.

4.4 All Personnel (USGS Record Source) are responsible for assuring that all records pertinent to the Project are prepared, collected and submitted to the USGS LRC on a regular basis, verifying that records are complete and capable of being microfilmed, and providing appropriate indexing information. Certain Project activities may be assigned to an employee or entity (e.g., a Records Contact) by project management. The Record Source is responsible for the following:

1. Providing a list to the LRC of QA records and/or applicable record packages to be generated resulting from the use of USGS procedures.
2. Ensuring that records are protected from deterioration, loss, or damage.
3. Creating a table of contents for each record package which describes each record contained within the package.
4. Assigning a Work Breakdown Structure (WBS) number to each record or record/manuscript package.
5. Designating the QA status of records.
6. Designating the QA level of each record package (QL I, QL II, or QL III, as defined in the YMP QAP).
7. Authenticating and validating each record package and stamping the package "Validated."

8. Ensuring that records conform to the standards defined in Attachment 5 of this procedure.
9. Transmitting all records created or received to the LRC within designated time frames.

- 4.5 The Quality Assurance (QA) Manager is responsible for maintaining QA records in compliance with this procedure. The QA Manager coordinates resolution of problems relating to QA records, reviews all procedures for compliance with QA records requirements (e.g., identification of records to be generated), and approves an Authorized Personnel List for authentication of QA records.
- 4.6 The Records Contact (a delegate for NHP, GD and the QA Office, etc,) is responsible for coordinating submittal of records and record packages to the LRC from their respective USGS entity. This includes checking records to ensure completeness of records requirements prior to submittal to the LRC. This individual will directly assist the Record Source with meeting requirements of this procedure.
- 4.7 The Records Coordinator is responsible for drafting records management procedures and implementation of the USGS records management system under the direction of the Chief, Branch of YMP. This includes instituting a program to review records to ensure their legibility, and for retention processing. The Records Coordinator is responsible for receipt control, internal indexing, processing, and timely submittal of appropriate USGS records to the CRF.

NOTE: All stamps identified for use within this procedure shall be no larger than 1/2" high and 3" long.

5. PROCEDURE. USGS records are produced by specific organizational entities: USGS technical personnel, the QA Office, or the USGS Branch of YMP, etc. Each of these record producing entities are referred to definitionally as the Record Source and each supply records to the LRC for processing and subsequent submittal to the CRF.
  - 5.1 Preparation of Records for Submittal to the LRC: Documents shall be created, identified, validated, authenticated and transmitted as records or record packages, to the LRC by the Records Source in accordance with the following:
    - 5.1.1 RECORD IDENTIFICATION AND SUBMITTAL: The USGS generates and maintains records within the following groupings: correspondence, QA implementation, litigation discovery, record packages, manuscript packages, and working files.
      - 5.1.1.1 Correspondence - All Incoming and Outgoing mail received or generated by USGS personnel which pertains to the YMP shall be submitted to the LRC, at least weekly, in a Turnover Package. Correspondence will be filed by an assigned LRC number.
      - 5.1.1.2 QA Implementation Records - Quality Management Procedures, task plans, activity plans, scientific investigation

plans, study plans, etc., shall identify all records that will be generated through the use of that document. (The QA records produced as a result of each procedure or plan shall comprise the Records-Type List. The Record Source shall provide the LRC with updates to the lists as changes occur.) The original records in this category shall be maintained by the LRC on behalf of the USGS. These QA implementation files are subdivided into appropriate subjects based upon the eighteen criteria of the YMP-USGS QAPP to facilitate the timely submittal and maintenance of groupings or packages to the CRF. The QA implementation records shall be prepared by the QA Office, and submitted to the LRC as appropriate, no less than annually (ref. Para. 5.1.9.2).

5.1.1.3 Litigation Discovery - Select YMP-USGS record packages shall be designated for collection by DOE/YMP in support of possible litigation and these records shall be maintained in the LRC. In the discovery records manuscripts are filed by date and journal articles are filed by author. Processing of requests for Litigation Discovery records is according to an administrative procedure.

5.1.1.4 Manuscript Packages - USGS manuscripts, (e.g., publications, maps, journal articles, abstracts, seminar presentations, etc.) and all USGS records associated with the preparation, research, review and publication of the manuscript comprise the package. The backup data package, which includes all supporting records to the manuscript, is submitted by the Record Source to the LRC upon publication of manuscript. The LRC shall file manuscript packages by date and Journal articles by the authors name.

5.1.1.5 Working Files - YMP records which are retained by a Record Source on an ongoing basis. These files are additional to, or duplicates of, final report packages and individual records which are submitted to the LRC. Working files are forwarded to a designated PI upon termination of the original assigned PI from the Project or the USGS. These working files may be retained by the new PI for continuation of work or submitted to the LRC for YMP retention. The LRC shall retain all working files by PI name.

5.1.2 PROTECTION OF RECORDS PRIOR TO SUBMITTAL TO THE LRC: Measures shall be taken by the Record Source to ensure that documents and data items which are to become or are YMP records (both QA and non-QA) are protected from deterioration, loss, larceny, or damage through exposure to environmental extremes (e.g., light, humidity, temperature, etc.) in accordance with the YMP QAP, Section 17.0. and AP-1.7Q, Appendix B. It is recommended that the YMP records, record package segments, and record packages shall be protected by the Record Source by using the following guidance:

1. Liquids shall be placed a reasonable distance from records to protect against accidental spillage.

2. Lighted smoking materials (e.g., cigars, cigarettes, pipes) shall be placed a reasonable distance from records to protect against any resulting damage.
3. Magnetic records shall be placed a reasonable distance from sources of magnetic fields (including telephones).
4. When not in use, documents, records, data items, magnetic records, record package segments, and record packages shall be retained in a secured area (e.g., preferably locking desk drawer, locking file cabinet, office with a locking door, etc.).
5. Immediately upon completion, store duplicate copies of documents and other media items in sufficiently remote locations (e.g. the LRC) to prevent exposure to possible hazards (e.g., fire and water damage).

5.1.3 AUTHENTICATION OF RECORD COMPLETENESS: The USGS personnel responsible for generation of a record shall ensure that the record has been prepared (i.e., written, reviewed, etc.) in accordance with governing USGS Project procedures and, if it is a QA record, that it has been authenticated by authorized personnel. Authentication is accomplished by one of the following methods: (1) a stamped, initialed or signed, and dated document; (2) a statement by the responsible individual or organization; or (3) issuing a document which is clearly identified as a statement by the reporting individual or organization.

5.1.4 INDEXING PARAMETERS: The Record Source shall ensure that the following indexing parameters for each Project record are available on the record prior to submittal to the LRC:

- o Record date (date the record is created).
- o Record title (indicate a subject line) for memoranda, letters, etc.
- o Record receiver name and/or organization (if the record is an item of correspondence, a procurement item, or a report requiring action).
- o Record author name and/or organization (if the record is an item of correspondence or a report).
- o QA designation for correspondence (for QA Level I and II records designate "QA: QA" or for QA Level III, N/A or IND records designate "QA: N/A")
- o QA designation for packages ("QA levels I, II, III, N/A, or IND").
- o The Work Breakdown Structure (WBS) designation (through six digits when appropriate and separated by decimal points) of the subject of all QA records with periods.

To assist in qualifying data for the licensing process, the Record Source shall also ensure that raw data items are identified by record date, record identification (e.g. Pump Test Tape), QA Level and WBS number.

5.1.4.1 Outgoing Correspondence and Incoming Correspondence - The appropriate WBS number (through six digits when appropriate and separated by decimal points) and QA designation shall be typed on the front page of the outgoing correspondence and in the upper right hand corner.

EXAMPLE: WBS #: 1.2.9.1.3.6  
QA: N/A

Incoming Correspondence received from outside the Project requires the same indexing parameters as outgoing correspondence. The Record Source shall use black ink and write the WBS number and QA designation in the upper right corner of the record and submit the record to the LRC.

5.1.4.2 Record and Manuscript Packages - Place the WBS number in the upper right-hand corner of the table of contents of each record/manuscript package. Identify record packages as such by using the identifier "RP.X.X.X". "RP" equals record package and "X.X.X" designates the first three digits of the WBS number which correctly corresponds to the subject activity. Ensure the use of periods to distinguish the correct number. Example of indexing requirements for packages:

RP.1.2.3.  
WBS #: 1.2.3.9  
QA: QL I

5.1.5 YMP ACCESSION NUMBER ISSUANCE FOR PUBLICATIONS: Survey approved publications as a result of Project activities, shall be issued an accession number by the DOE/YMP upon approval to publish. An accession number will be printed on all publications, including open-file reports, separate map publications, and will be included in articles submitted for publication in outside scientific journals. If the accession number is not provided by YMP when the report is approved, the LRC shall be requested by the USGS Division Reports Specialist to obtain the accession number from the CRF Manager. The accession number shall be printed on the inside of the back cover of the report, using the following statement, as formatted:

Department of Energy, Yucca Mountain Project  
Accession Number: NNA.YYMMDD.NNNN.

Referenced material cited in the publication shall be listed and identified by an accession number only in the published manuscript copies required for DOE distribution. (Readily available references such as encyclopedias, dictionaries, engineers handbooks, etc., are excluded.) The USGS Division Reports specialist shall provide a list of the cited references to the LRC at the time the draft is submitted

for DOE approval. The LRC shall verify existence of an accession number within the ARS and/or request accession numbers for each cited reference as required, from the CRF Manager. The LRC shall list the assigned accession numbers on a copy of the cited reference. The LRC shall provide this complete information to the appropriate Division Reports Specialist for submittal with the publication for DOE required distribution copies. A list of the cited references identified as having no accession number in the ARS and which have not previously been submitted to the CRF shall be provided to the author for collection purposes. The LRC staff shall assist the author in identifying the location where copies of these references may be obtained. The LRC staff shall obtain references and submit them to the CRF as part of the manuscript package.

**5.1.6 RECORD DISCLOSURE SAFEGUARD:** The Record Source shall determine if the record is to be protected from general disclosure (e.g., records that are privileged because of attorney-client privilege, executive privilege, company proprietary privilege, etc.). If so, the Record Source shall stamp the first page of the record "Privileged" so that unauthorized persons shall not gain access to the record. "Privileged" records are to be submitted to the LRC.

**5.1.7 RECORD INSPECTION:** The Record Source responsible for submitting the record (QA and/or non-QA) to the LRC shall inspect the record(s) prior to submittal to ensure the following:

**5.1.7.1 Completeness -** That all pages of the record, including attachments or enclosures, are accounted for and that all blocks on forms (including signature lines) are filled in or "NA" (not applicable) is entered.

**5.1.7.2 Copy Suitability -** That written/typed records are legible, reproducible, and can be microfilmed in accordance with the standards for processing and microfilming outlined in Attachment 5 of this procedure and the following:

- a. The character or pictorial information on the paper (recording medium) must form a clear and distinct image which is readable without magnification or guessing.
- b. The record shall be recorded with an indelible medium, preferably black ink, against a light background. (Pencil is not generally acceptable.)
- c. Records shall not have any information scratched out or obliterated by correction fluids, etc., or have extraneous information hand written on the record (with the exception of corrections made in accordance with Para. 5.1.8 of this procedure). If new information has been added to a record previously submitted to the LRC, it constitutes a new and separate record.
- d. No portion of any page shall be missing due to tearing or folding of the record edges nor, to the extent

feasible, nor shall it contain stamps or other marks that obliterate text or other information.

- e. If a photocopy of a record is to be submitted, the generation of the copy submitted for processing must be as close to the original as possible and, preferably not more than two generations from it (i.e., a copy of a copy of the original).

5.1.7.3 Best Available Copy - The Record Source shall locate and submit the best record available. Some records may not meet all of the requirements outlined in Para. 5.1.7.2 of this procedure. In this case, the best available copy is transmitted to the LRC and shall be stamped "Best Available Copy".

5.1.8 CORRECTIONS TO RECORDS: The Record Source may make corrections to completed written/typed records that have not been processed. Corrections shall be made by scribing a single line through the incorrect information using indelible black ink and entering the correct information in close proximity to the line-out. The incorrect information shall remain legible. The correction shall include the date and initials or signature of the Record Source making the correction. Erasures or correction fluid of any type shall not be used as a means of correcting information on records.

5.1.9 PACKAGE PREPARATION: For YMP packages, the Record Source shall use the following guidelines for preparation of a Record Package or a Manuscript Package:

5.1.9.1 General Requirements - The following requirements apply to submittal of all Packages.

- o Assemble all records or backup data which are to be submitted as a package.
- o Prepare a Table of Contents for each package that lists all records that are contained in the package. In the upper right corner of the first page, list the WBS number under which the Record Source activities are governed and the QA Level corresponding to the subject activity.
- o Review all records prior to submittal against the criteria of this procedure identified in:
  - Criteria for Acceptance of Source Records for Processing and Microfilming (Attachment 5)
  - Authenticate Record Completeness (Para. 5.1.3)
  - Suitability to Copy (Para. 5.1.8.2)
  - Best Available Copy (Para. 5.1.8.3)
  - Corrections to Records Prior to Transmittal (Para. 5.1.9)

- o Complete a Record Transmittal Form (Attachment 6) and attach it to the package. This form shall be signed by the authorized person who is responsible for the package.
- o Verify Record Completeness. The Record Source shall ensure that the record has been prepared in accordance with governing YMP-USGS procedures and, if a QA record, that it has been properly authenticated and validated in accordance with the YMP QAP Section 17.0. The Record Source shall stamp the record "Validated" prior to transmittal to the LRC.

5.1.9.2 QA Implementation Record Package Requirements - The QA office shall collect, inventory, and authenticate those records which comprise a completed process or activity (e.g. preparation: of a Technical Procedure, of an Audit Report, etc.), and shall submit the record package to the LRC within a USGS determined time frame which is appropriate to the record type.

5.1.9.3 Manuscript Package Requirements - The assigned Record Source must ensure that all original backup records are submitted to the LRC as a package upon report publication. The package should be organized per Attachment 7, Package Format. Submittal of the package to the LRC shall be within 10 days following completion of the record package ("completion" is to be interpreted as the receipt of the published report or manuscript by the Record Source).

5.1.10 CORRECTIONS TO PROCESSED RECORDS: The Record Source shall provide immediate written or verbal notification to the LRC of any errors which are identified in previously processed records and shall submit the complete, corrected records to the LRC. Previously processed records shall not be replaced or supplemented. The original record shall remain in the system, but the database shall state that the new record supersedes the old record. The original record and the new record shall be cross-referenced to each other within the database.

5.2 Records Submittal by Record Source: The Record Source shall submit records in accordance with the following:

5.2.1 TRANSMITTAL TO THE LRC: Records shall be forwarded to the LRC no later than 10 working days after either the completion date shown on the record, the date the Record Source receives the published manuscript, or after closeout of a record package (packages require a transmittal form - see Attachment 6). Correspondence is submitted directly to the LRC on an ongoing basis within 10 days of receipt or completion. YMP Records prepared by non-USGS entities shall be submitted to the USGS LRC through appropriate USGS Project departments.

5.2.2 SUBMITTALS TO OSTI: YMP-USGS-QMP-3.04 provides requirements for submittal of two copies of all reports published for YMP activities to the Office of Scientific and Technical Information (OSTI). DOE form

1332 shall be submitted to the LRC as documentation of this transmittal and it shall become a part of the USGS published manuscript package.

5.2.3 SUBMITTALS TO NESC: YMP-USGS-QMP-3.03, or other USGS procedures, will provide for the submittal of a copy of all YMP scientific and technical computer software to the National Energy Software Center (NESC).

5.3 Processing Records at the LRC: The LRC shall collect and/or receive records and perform the functions outlined in the following sections.

5.3.1 QA RECORD TYPE LIST: The LRC shall maintain the QA Record Type List which identifies QA record and package types. The Record Source prepares the list of records and packages and submits it to the LRC (e.g. Para. 6 of all QMPs, written notification to the LRC by PIs of new records, Para. 7 of QMP-5.03). The Records Coordinator reviews the appropriate paragraph for records designation in QMPs and Technical Procedures and subsequently updates the Record Type List as record changes are noted. A duplicate of the list, as it is updated, shall be transmitted to the YMP Records Administrator. This list is filed in the appropriate QA Implementation file.

5.3.2 AUTHORIZED PROJECT PERSONNEL LIST: The LRC shall maintain a list of signatures and initials of persons authorized to authenticate records. This list is prepared by the USGS Branch of YMP and approved by the QA Manager.

5.3.3 RECEIPT CONTROL: The LRC shall receive all records and packages per the following:

- o Correspondence is submitted to the LRC as a "cc" on all generated records as they are completed. Incoming correspondence is forwarded to the LRC as it is received. Correspondence is not considered to be a QA record, therefore the use of the YMP-USGS Records Transmittal form is not required.
- o Record and Manuscript packages are submitted with the YMP-USGS Records Transmittal form.

The LRC shall perform the following:

- o Log all records and record packages received into the LRC records management system. Each record or record package shall receive a USGS generic indexing number which is computer generated. The USGS indexing number shall be structured as follows:

First two letters - the USGS identification code (GS)  
Second two digits - the year of indexing or activity  
One or Two Letters - the document identification/location code  
Final digits - the computer generated Project Office  
accession number

EXAMPLE: GS.88.C.00010

Document identification/location codes shall be as follows:

- C - Correspondence
- Q - QA Implementation
- D - Litigation Discovery
- M - Manuscript Package
- QA - QA Implementation Package
- SP - Study Plan Package

- o Verify that QA records identified by the QA program documents and procedures are received by the LRC for processing and transmittal to the CRF.
- o Verify that all records listed within the Table of Contents to a record package are contained within that record package. The processing requirements for missing records are contained in see Para. 5.3.6.

5.3.4 **QUALITY VERIFICATION:** The LRC shall check the records, using the Quality Verification Checklist (Attachment 4), to ascertain acceptability of records prior to submittal to the CRF. Records which meet the checklist requirements shall be prepared for submittal to the CRF.

5.3.5 **RECORD REJECTION:** If a record discrepancy cannot be resolved through direct interaction by the LRC with the Record Source, the record shall be returned to the Record Source along with the LRC Record Rejection Form (Attachment 8) for Record Source correction. The LRC shall retain a copy of the LRC Record Rejection Form and a copy of the record in a "records rejected" file. The LRC shall notify the CRF manager that records are in "rejection" and the 10 day submittal will not be met. If a corrected copy of the record is not received within 10 working days, the LRC shall follow-up with the Record Source by letter or personal contact. Disputes shall be resolved by the Chief, Branch of YMP or the QA Manager. If a better copy of the record is not available, this shall be noted on the returned Record Rejection form by the Records Source, and the LRC shall stamp the record copy "Best Available Copy" and process the record along with the LRC Record Rejection Form. The LRC Record Rejection Form constitutes verification documentation that a better copy of the record was not available.

5.3.6 **LOST OR DAMAGED RECORDS:** Any record that is lost or damaged to a degree that it is no longer complete or legible must be replaced or restored. If replacement or restoration is not possible, the Chief, Branch of YMP or the QA Manager shall be contacted by the LRC for approval to use substitute information or a regenerated record. The LRC shall notify the CRF manager that records are in "rejection" and the 10 day submittal will not be met. These actions shall be completed within 90 days following determination that a record has been either lost or damaged.

5.4 **Record Transmittal to the CRF:** The LRC shall perform the following activities:

- o Copy all records and protect the duplicates.

- o Prepare a "Record Tracking Sheet" (Attachment 3) to identify the status of records requiring special consideration which was noted during the LRC review and processing.
  - o Generate the LRC Record Transmittal Form (Attachment 9) from the LRC Log listing the individual records and/or record packages being transmitted to the CRF. The LRC shall also include any special instructions or remarks.
  - o Insert the LRC Special Instruction Sheet (Attachment 10) to describe and indicate the location of any one-of-a-kind records that cannot be duplicated and are subsequently being retained by the USGS.
  - o Insert the LRC Special Instruction Sheet (Attachment 10) to identify any Special Processed Records that are being transmitted under separate cover to the CRF.
  - o Attach a copy of the LRC Special Instruction Sheet (Attachment 10) to the original of each Special Processed Record that can be filmed on aperture cards (i.e., oversized maps and logs) and forward the package under separate cover to the CRF.
  - o Identify each Special Processed Record that cannot be filmed (i.e., negatives, color photographs, magnetic media) and contact the CRF Manager to provide information so that the YMP Records Administrator may determine the method required to process the records.
  - o Package the records in the order listed on the transmittal form and place in the shipping envelope or box with the transmittal form. Transmit the completed records to the CRF within 10 working days of receipt from the Record Source.
- 5.5 Retention: Records must be retained by both the Record Source and the LRC until they have been microfilmed. After the LRC receives the microfilm the Record Source may choose to destroy their documents. Records and one-of-a-kind data in the possession of the LRC shall be permanently retained by the USGS LRC.
- 5.6 Records Storage, Preservation, and Safekeeping: The LRC shall ensure that records are protected from deterioration, loss, or damage in accordance with the YMP QAP, Section 17.0. and AP-1.7Q, Appendix B, from the time of receipt from the Record Source until transmittal to the CRF and that all retained duplicates receive the same protection (Attachment 11, Guidance for the Storage and Preservation of Records).
- 5.6.1 RECORDS STORAGE: Those records stored at the LRC shall be stored in permanent facilities constructed and maintained in a manner that minimizes the risk of damage or destruction from natural disasters, such as winds, floods, or fires; and to prevent damage from moisture, temperature, or pressure; and from insects, mold, or rodents (see Attachment 11). Two-hour fire rated safes that meet National Fire Protection Association (NFPA) 232-1975 standard, shall be utilized to store one-of-a-kind data. In process data not stored in the LRC safes will be stored in fully enclosed metal cabinets. Smoke alarms and fire

extinguishers shall be installed in the storage area(s). Provisions shall be made, as required, for storage of special processed records (e.g. photographs, magnetic material, video tapes, etc.).

5.6.2 **PRESERVATION OF ONE-OF-A-KIND RECORDS:** The LRC shall preserve all one-of-a-kind records within the USGS until such time that they are approved for transmittal to the CRF for processing by the USGS Chief, Branch of YMP.

5.6.3 **SAFEKEEPING:** The LRC shall establish measures to preclude the entry of unauthorized personnel in the storage area and all possible effort shall be made to guard against larceny and vandalism. A list shall be posted in the LRC which designates those personnel who may have access to the files. This list shall include the YMP Records Administrator. The LRC shall be locked at all times except when occupied by authorized access personnel. No smoking or eating shall be allowed in the Record Center.

5.7 **Retrieval:** Records may be retrieved from the LRC using the following methods:

5.7.1 **USGS RECORDS RETRIEVAL:** Records retrieval is initiated by the requestor completing an LRC Records Retrieval Form (Attachment 12). Upon receipt of the form, or a phone request (the LRC staff will complete the retrieval form), the LRC staff shall access the record through the USGS records management system and make the required copies or access the record through the ARS and print a hardcopy from microfilm. In addition, the Project personnel may view USGS records or view microfilm at the LRC of any YMP participant record contained within the ARS. Original USGS records also may be examined at the LRC; however, removal of records from the Record Center will require written authorization. Copies of requested records shall be made for persons requiring offsite use.

5.7.2 **NON-USGS PROJECT PARTICIPANT RETRIEVAL:** Retrieval requests of records by non-project personnel shall be authorized through USGS management. Retrieval requests in response to litigation discovery shall be filed in accordance with the applicable USGS procedures governing " Litigation Discovery".

6. **RECORDS MANAGEMENT:**

6.1 **Controlled Documents:** None.

6.2 **Records Center Documents:** Records associated with this procedure shall be submitted to the USGS Records Center in accordance with this procedure, and include the following:

- o YMP-USGS correspondence
- o QA implementation records
- o Published manuscripts and the related packages
- o LRC Record Rejection Form
- o LRC Record Transmittal Form
- o LRC Special Instruction Sheet
- o Record Tracking Sheet
- o Authorized Personnel List

- o Authorized Access List
- o QA Record Type List
- o YMP-USGS Records Transmittal

7. RELATED DOCUMENTS.

7.1 Superseded Documents: This QMP supersedes YMP-USGS-QMP-17.01, R2, Quality Assurance Records Management.

7.2 References Cited:

- o YMP/88-9, YMP Quality Assurance Plan
- o YMP-USGS-QAPP-01, Quality Assurance Program Plan
- o DOE/YMP AP-1.7Q, YMP Records Management
- o DOE/YMP Records Management Plan, July 1988
- o YMP-USGS-QMP-3.03, Scientific and Engineering Software
- o YMP-USGS-QMP-3.04, Technical Review of YMP-USGS Publications
- o YMP-USGS-QMP-5.03, Development and Maintenance of Quality Management Procedures
- o YMP-USGS-QMP-17.02, Qualification of Existing Data or Data Interpretations not Developed Under the YMP QA Plan

8. ATTACHMENTS.

- Attachment 1: Limited-Value Material  
Attachment 2: Non-Processed Materials  
Attachment 3: LRC Record Tracking Sheet  
Attachment 4: LRC Quality Verification Checklist  
Attachment 5: Criteria for Acceptance of Source Records for Processing and Microfilming  
Attachment 6: YMP-USGS Records Transmittal  
Attachment 7: Manuscript Package Format  
Attachment 8: LRC Record Rejection Form  
Attachment 9: LRC Record Transmittal Form  
Attachment 10: LRC Special Instruction Sheet  
Attachment 11: Requirements for the Preservation and Storage of Records  
Attachment 12: LRC Records Retrieval Form

9. APPROVALS AND EFFECTIVE DATE.

EFFECTIVE DATE: March 3, 1989

JR Williams 2-17-89  
YMP-USGS QA Manager (Date)

Joseph S. Reinhardt 2/17/89  
Assistant Chief (Date)  
Hydrologist for PC&TS

Larry R. Hays 2/17/89  
Chief, Branch of YMP (Date)

Michael W. Reynolds 17 February 1989  
Acting Chief, Office of Regional (Date)  
Geology

Eugene M. Robinson 2/17/89  
Acting USGS Assistant (Date)  
Director for Engineering Geology

LIMITED-VALUE MATERIAL

Limited-value material includes those classes of documentary or other material which will not be captured by the ARS and which may be disposed of without special authority including, but not limited to, 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 records.
5. Duplicate copies of all records maintained in the same file.
6. Extra copies of printed or processed material, official copies of which have been retained for record purposes.
7. Superseded manuals or other directives maintained outside the originating office.
8. Routing slips.
9. Working papers (prior to being a formal record, i.e., preparation of a letter, memo, etc.).
10. Transmittal sheets (buckslips, record rejection forms, etc.).
11. Blank forms.
12. Transcribed stenographic material (original notes, etc.).
13. Processed or published material received from other participating activities or offices which requires no action and is not required for documentary purposes (the originating YMP office or activity is required to maintain record copies).
14. 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 upon which action is taken.
15. Correspondence and 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.
16. Reproduction materials such as stencils and offset masters.
17. Physical exhibits, artifacts, and material lacking documentary value.

### NON-PROCESSED MATERIALS

Non-processed materials are materials that will not be captured by the records system including the following:

1. Pre-award information and documents (i.e., information on a procurement prior to contract award, Source Evaluation Board materials, proposal information, etc.) except as required as a QA record. This material must be clearly marked "Pre-Award".
2. Personnel records, except as required as QA records.
3. Proprietary information and business-sensitive (financial or commercial) information which is so marked.
4. Information which 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 YMP business, will be stored and handled in accordance with DOE 5635.1.
5. Personal correspondence which is so marked (unless submitted for processing).
6. Preliminary drafts or working papers, facsimiles, and records circulated or transmitted for information purposes when so marked.
7. Circulation/direct distribution mail, subscriptions, periodicals, press releases, and news clippings.
8. Travel vouchers, travel authorizations, purchase orders, training requests, personnel actions, and similar administrative material, where a record copy is retained by another organization (e.g., the personnel department).
9. Contractor-generated contract progress reports and telephone logs, except when included as part of a required records turnover package.
10. Documents prepared by another DOE organization, not DOE/HQ-OCRWM or DOE/YMP, and submitted to the YMP for routine concurrence or coordination, whose subject matter does not relate specifically or exclusively to the Project.

NOTE: To be considered Non-Processed Material, the record itself and/or its transmittal envelope must be clearly marked "preliminary draft", "personal", etc.

WBS: 1.2.9.1.4.G  
QA: N/A

LRC RECORD TRACKING SHEET

LRC Staff \_\_\_\_\_ Date \_\_\_\_\_

Document/Data Item \_\_\_\_\_

Check

( ) This is a data item and cannot be duplicated in microfilm format.

Location: \_\_\_\_\_

( ) This document can be found with the backup data for report number \_\_\_\_\_ by \_\_\_\_\_.

( ) This document is an "information copy" and not within the scope of YMP-USGS document processing responsibilities.

( ) This record does not meet quality standards. Issue an LRC Record Rejection Form.

( ) This document could not be located. The QA record has been processed without it.

Comments: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

LRG QUALITY VERIFICATION CHECKLIST

Check

- \_\_\_\_\_ 1. Verify that all records listed on the Transmittal and package Table of Contents are enclosed.
- \_\_\_\_\_ 2. Ensure that all records are acceptable for processing and microfilming in accordance with Attachment 7 of this procedure.
- \_\_\_\_\_ 3. Acquire the most legible copy of records and stamp those records that cannot be replaced by a copy of acceptable legibility as "Best Available Copy".
- \_\_\_\_\_ 4. Ensure that draft records are stamped "Draft" if they are to be submitted.
- \_\_\_\_\_ 5. Ensure that all records are complete; that they contain all pages and all referenced attachments and/or enclosures, and that all cited references in published reports are submitted with the final report unless those cited references are already contained within the ARS.
- \_\_\_\_\_ 6. Verify that all records are properly signed and that QA records have been properly identified, and authenticated. Compare signatures to the required record signature authentication list.
- \_\_\_\_\_ 7. Verify that all blocks on forms (including signature) are filled in or "NA" (not applicable) is entered.
- \_\_\_\_\_ 8. Review QA records to ensure that a WBS number is indicated.
- \_\_\_\_\_ 9. Review Record Packages to ensure that the RPXXX (X = first three digits of the WBS number) is indicated.
- \_\_\_\_\_ 10. Review records to ensure that a QA designation ("QA" or "QA: N/A") or QA level for records packages (QL I, QL II, or QL III, as defined in the Project QAP) is indicated.

Upon satisfactory completion of the above checklist, prepare the record(s) for submittal to the CRF according to Para. 5.3.8 of this procedure.

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

LRG Staff \_\_\_\_\_ Date \_\_\_\_\_

YMP CRITERIA FOR ACCEPTANCE OF SOURCE RECORDS  
FOR PROCESSING AND MICROFILMING

- A. Purpose - The purpose of these criteria is to ensure that the microfilm record copy of YMP-USGS Project records is of a quality sufficient to survive as archivally sound, legible, and therefore, retrievable, for its entire retention period.
- B. 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."
- C. Definitions - 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 microfilm record copy is the silver-halide microfilm of each issue of a document.
- D. Criteria - It is imperative that source records submitted to the records system be of the highest possible quality.

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 blueline or sepia copies. If blueline 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 LRC or CRF.
12. Data recorded on drawings shall be completed in accordance with QMP-5.02.

#### General Operability Test

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 of these items will be marked "Best Available Copy", and will be processed for retention.

# YMP - USGS RECORDS TRANSMITTAL

WBS: 1.2.9.1.1.1  
 QA: N/A  
 Page \_\_\_\_\_ of \_\_\_\_\_

Columns 1 through 3 must be completed for each document or package submitted. This transmittal must be signed (authenticated) by the Authorized Project Personnel.			Transmittal Number
1. Document/Package Type	2. Number	3. Title and Author or Originator	For LRC Use Only 4. Number

Authenticated By: \_\_\_\_\_ Signature\* \_\_\_\_\_ Organization \_\_\_\_\_ Date \_\_\_\_\_

Received By:  
 LRC Staff Member \_\_\_\_\_ Signature \_\_\_\_\_ Organization \_\_\_\_\_ Date \_\_\_\_\_

\* This signature affirms that all of the backup-data pertaining to the associated report(s) are provided in this transmittal, that there is an explanation for any missing data, and that the records are ready for processing by the Local Records Center.

YMP-USGS-QMP-17-01, R3  
 Attachment 6  
 Page 1 of 1

**MANUSCRIPT PACKAGE FORMAT**

Records Transmittal Form (Attachment 6)

Published Report (Manuscript) including the errata sheet(s)

Table of Contents (contents of report package)

Backup Data

Support Package

- DOE Form 1332
- DOE approval or concurrence letter
- Notification of USGS Director's approval
- Other YMP participant approval letters (optional)
- Manuscript routing sheet
- Results of technical reviews (2 each)
  - Technical reviewers appraisal form
  - Review comments (separate form or memorandum) (optional)
  - Authors response to review comments
- Final approval or concurrence draft of the manuscript which is sent forward to DOE

Raw Data Package

- Data Items (computer printouts, logs, charts, films, photographs, etc.)
- Tracking Sheets
- Evidence of any data conversion (calculations/manipulations)
- Scientific notebook and/or log book (copies or pertinent sections thereof)

**NOTE:** Packages prepared prior to 01/01/89 may not require inclusion of all items due to variations in early project requirements.

WBS: 1.2.9.1.4.G  
QA: N/A

LRC RECORD REJECTION FORM

Date: \_\_\_\_\_  
To: \_\_\_\_\_  
From: \_\_\_\_\_

SUBJECT: RECEIPT INSPECTION OF THE FOLLOWING RECORD:

\_\_\_\_\_  
\_\_\_\_\_

This record has been inspected and was determined not acceptable for further processing and inclusion in the LRC for the Reason(s) marked below:

- INCOMPLETE (Pages or Attachments missing)
- INCOMPLETE DATA AVAILABLE FOR RECORD INDEXING: Record date - Record Title/Subject Line - Record Receiver Name and/or Organization - Record Author Name and/or Organization - QA Designation - WBS Designation - Abstract
- RECORD QUALITY IS POOR AND WILL NOT PROVIDE AN ADEQUATE MICROFILM IMAGE.
- OTHER (Specify): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

PLEASE TAKE THE APPROPRIATE CORRECTIVE ACTION AND RETURN THE RECORD TO THE LRC ON OR BEFORE: \_\_\_\_\_.

COMMENT: The LRC staff is available to assist you in preparing records for processing.

---

RECORD SOURCE REPLY:

- ACCEPTABLE COPY ATTACHED
- "BEST" AVAILABLE COPY", PROCESS AS IS

\_\_\_\_\_  
Record Source Signature

\_\_\_\_\_  
Date



WBS: 1.2.9.1.4.G  
QA: N/A

LRC SPECIAL INSTRUCTION SHEET

This sheet is used to identify a record that is not enclosed for one of the following reasons:

- ONE-OF-A-KIND RECORD
- SPECIAL PROCESSED
- OTHER (Specify): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

---

The following information is a bibliographic index of the record and the location of where the record may be obtained:

DESCRIPTION: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
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LOCATION: \_\_\_\_\_  
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\_\_\_\_\_  
\_\_\_\_\_

REQUIREMENTS FOR THE PRESERVATION AND  
STORAGE OF YMP/USGS RECORDS

- A. All YMP-USGS Project records shall be managed in a manner to meet the requirements for QA Level I records.
- B. Preservation - Records shall be stored in a manner approved by the YMP/USGS. In order to preclude deterioration of the records, the following requirements shall apply:
1. Provisions shall be made in the storage arrangement to prevent damage from moisture and temperature. Normal room temperatures and humidity levels which prohibit condensation of moisture shall be maintained.
  2. Provisions shall be made to prevent damage from infestation of insects and rodents. Food shall be prohibited in, and proper sealing maintained in the storage facility.
  3. Records shall be firmly attached in binders or placed in folders or envelopes for storage in steel file cabinets or on shelving in containers.
  4. Provisions shall be made, as required, for special processed records (e.g., radiographs, photographs, negatives, microfilm, magnetic material, etc.) to prevent damage from excessive light, stacking, electromagnetic fields, temperature, mold and humidity.
- C. Safekeeping
1. Measures shall be established to preclude the entry of unauthorized personnel in the storage area. These measures shall guard against larceny and vandalism. A list of authorized personnel shall be maintained and posted.
  2. Measures shall be taken to provide for replacement, restoration, or substitution of lost or damaged records. These measures shall be accomplished within 90 days following determination that either a record has been lost or a record has been damaged to a degree that it is no longer complete or legible.
  3. Two-hour fire rated vaults and two-hour fire rated Class B file containers that meets National Fire Protection Association (NFPA) 232-1975 shall be utilized for one-of-a-kind items.
  4. If storage at dual facilities for each record is provided, then the facilities shall be at locations sufficiently remote from each other to eliminate the chance of exposure to a simultaneous hazard.



MANAGEMENT PROCEDURES MANUAL

TABLE OF CONTENTS

---

	<u>Page No.</u>
Assignment Control Sheet . . . . .	i
Statement of Policy . . . . .	ii
Table of Contents . . . . .	iii
Revision Record . . . . .	vii

  

	<u>Document Number</u>
<b>CHAPTER 1 - ORGANIZATION AND INTERFACES</b>	
Section 1 - Organization Procedure . . . . .	QMP-1.01, R1
<b>CHAPTER 2 - QUALITY ASSURANCE PROGRAM</b> [See also Chapter 4 for other training procedures]	
Section 1 - Management Assessment of the NNWSI-USGS Quality Assurance Program . . . . .	QMP-2.01, R1
Section 2 - Indoctrination and Training . . . . .	QMP-2.02, R1
Section 3 - Certification of USGS and USGS Contractor Personnel for the NNWSI Project . . . . .	QMP-2.03, R1
Section 5 - Qualification of Audit and Surveillance Personnel . . . . .	QMP-2.05, R2
Section 6 - Control of Readiness Reviews . . . . .	QMP-2.06, R1
<b>CHAPTER 3 - SCIENTIFIC INVESTIGATION AND DESIGN CONTROL</b> [See also Chapter 5 for related procedures]	
Section 1 - Procedure for Identification of Research/ Experimental Activities . . . . .	QMP-3.01, R1
Section 2 - USGS QA Levels Assignment (QALA) . . . . .	QMP-3.02, R1
Section 3 - Scientific and Engineering Software . . . . .	QMP-3.03, R0
Section 4 - Technical Review of NNWSI-USGS Publications . . . . .	QMP-3.04, R1

TABLE OF CONTENTS - (continued)

CHAPTER 3 (continued)

- Section 5 - Work Request for NTS Contractor Services . . . QMP-3.05, R1  
(Criteria Letter)
- Section 6 - Scientific Investigation Plan . . . . . QMP-3.06, R0
- Section 7 - Technical Review Procedure . . . . . QMP-3.07, R1

CHAPTER 4 - ADMINISTRATIVE OPERATIONS AND PROCUREMENT

[See also Chapter 2 for indoctrination, training, and certification]

- Section 1 - Procurement Document Control . . . . . QMP-4.01, R1

CHAPTER 5 - INSTRUCTIONS, PROCEDURES, PLANS, AND DRAWINGS

[See also Chapter 3 for related procedures]

- Section 1 - Preparation of Technical Procedures . . . . . QMP-5.01, R1
- Section 2 - Preparation and Control of Drawings and . . . QMP-5.02, R1  
Sketches
- Section 3 - Development and Maintenance of Quality . . . QMP-5.03, R3  
Management Procedures
- Section 4 - Preparation and Control of the YMP-USGS . . . QMP-5.04, R1  
Quality Assurance Program Plan

CHAPTER 6 - DOCUMENT CONTROL

[See also Chapter 3 for review, Chapter 8 for control of data, Chapter 17 for records management]

- Section 1 - Document Control . . . . . QMP-6.01, R2

CHAPTER 7 - CONTROL OF PURCHASED ITEMS AND SERVICES

- Section 1 - Control of Purchased Items and Services . . . QMP-7.01, R1

CHAPTER 8 - IDENTIFICATION AND CONTROL OF ITEMS, SAMPLES AND DATA

- Section 1 - Identification and Control of Samples . . . . . QMP-8.01, R2
- Section 3 - Identification and Control of Transmitted . . . QMP-8.03, R0  
Data

TABLE OF CONTENTS - (continued)

---

CHAPTER 9 - CONTROL OF PROCESSES

. . . . . No Procedures

CHAPTER 10 - INSPECTION

. . . . . No Procedures

CHAPTER 11 - TEST CONTROL

Section 1 - Preparation and Issuance of Tentative. . . . . QMP-11.01, R1  
Technical Procedures

CHAPTER 12 - CONTROL OF MEASURING AND TEST EQUIPMENT

Section 1 - Instrument Calibration . . . . . QMP-12.01, R2

CHAPTER 13 - HANDLING, SHIPPING, AND STORAGE

Section 1 - Handling, Storage, and Shipping of . . . . . QMP-13.01, R0  
Instruments

CHAPTER 14 - INSPECTION, TEST AND OPERATING STATUS

. . . . . No Procedures

CHAPTER 15 - CONTROL OF NONCONFORMING ITEMS

Section 1 - Control of Nonconforming Items . . . . . QMP-15.01, R2

CHAPTER 16 - CORRECTIVE ACTION

Section 1 - Control of Corrective Action Reports . . . . . QMP-16.01, R2

Section 2 - Control of Stop Work Orders . . . . . QMP-16.02, R0

Section 3 - Trend Analysis . . . . . QMP-16.03, R0

CHAPTER 17 - RECORDS MANAGEMENT

Section 1 - YMP-USGS Records Management . . . . . QMP-17.01, R3

Section 2 - Acceptance of Data Not Developed Under . . . . . QMP-17.02, R0  
the NNWSI QA Plan

TABLE OF CONTENTS - (continued)

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CHAPTER 18 - AUDITS

Section 1 - Audits . . . . .	QMP-18.01, R2
Section 2 - Surveillances . . . . .	QMP-18.02, R0

MANAGEMENT PROCEDURES MANUAL

REVISION RECORD

Record for Quality Assurance Program Plan (QAPP)

<u>QAPP Number</u>	<u>Effective Date</u>
NWM-USGS-QAPP-01, R0	11/01/80
NWM-USGS-QAPP-01, R1	07/15/83
NNWSI-USGS-QAPP-01, R2	08/24/85
NNWSI-USGS-QAPP-01, R3	10/27/86
NNWSI-USGS-QAPP-01, R4	01/05/88

Record for Quality Management Procedures (QMP)

<u>QMP Document Number</u>	<u>Effective Date(s)</u>					<u>Amendment</u>	
	<u>Rev. 0</u>	<u>Rev. 1</u>	<u>Rev. 2</u>	<u>Rev. 3</u>	<u>Deleted</u>	<u>No.</u>	<u>Date</u>
NNWSI-USGS-QMP-1.01	08/24/85	10/27/86					
NNWSI-USGS-QMP-1.02	10/27/86				11/04/88		
NNWSI-USGS-QMP-2.01	08/24/85	10/27/86					
NNWSI-USGS-QMP-2.02	08/24/85	10/27/86					
NNWSI-USGS-QMP-2.03	08/24/85	10/27/86					
NNWSI-USGS-QMP-2.04	08/24/85				10/27/86		
YMP-USGS-QMP-2.05	08/24/85	10/27/86	10/25/88				
YMP-USGS-QMP-2.06	11/04/88	02/01/89					
NNWSI-USGS-QMP-3.01	08/24/85	10/27/86					
NNWSI-USGS-QMP-3.02	08/24/85	10/27/86					
NNWSI-USGS-QMP-3.03	10/27/86						
NNWSI-USGS-QMP-3.04	08/24/85	10/27/86					
NNWSI-USGS-QMP-3.05	08/24/85	10/27/86					
NNWSI-USGS-QMP-3.06	10/27/86						
YMP-USGS-QMP-3.07	10/27/86	11/04/88					
NNWSI-USGS-QMP-4.01	08/24/85	10/27/86				01	07/28/87
NNWSI-USGS-QMP-5.01	08/24/85	10/27/86					
YMP-USGS-QMP-5.02	10/27/86	11/04/88					
YMP-USGS-QMP-5.03	10/27/86	02/17/88	10/04/88	02/17/89			
YMP-USGS-QMP-5.04	11/22/88	02/17/89					
YMP-USGS-QMP-6.01	08/24/85	10/27/86	11/04/88				
NNWSI-USGS-QMP-7.01	10/27/86	11/04/88					
NNWSI-USGS-QMP-7.02	10/27/86				11/04/88		
NNWSI-USGS-QMP-7.03	10/27/86				11/04/88		
NNWSI-USGS-QMP-8.01	08/24/85	10/27/86	02/19/88				
YMP-USGS-QMP-8.03	11/04/88						
NNWSI-USGS-QMP-9.01	10/27/86				12/12/88		
NNWSI-USGS-QMP-10.01	08/24/85	10/27/86			11/04/88		
NNWSI-USGS-QMP-11.01	08/24/85	10/27/86					
YMP-USGS-QMP-12.01	08/24/85	10/27/86	10/25/88				