
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. The acceptance of records, data and documents which were generated prior to the effective date of the initial YMP QA Plan (August 1980) are processed in accordance with QMP-17.02.
3. **DEFINITIONS.**
 - 3.1 **Accession Number:** A unique identifier, issued by the YMP Central Records Facility (CRF), for each indexed YMP record and for a cited reference in a published report.
 - 3.2 **Authentication:** The act of attesting (by initialing, stamping, or signing and dating a record) that the information contained therein is accurate and appropriate to the work accomplished. A record cannot become a QA record until it is authenticated.
 - 3.3 **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 records.
 - 3.4 **Automated Records System (ARS):** The Project-wide computerized indexing, search, and retrieval system for records management.
 - 3.5 **Backup Data:** All of the documents and data items regardless of medium that support a particular report whether physically stored in one location (e.g., a file-cabinet drawer) or stored in multiple locations.
 - 3.6 **Central Records Facility (CRF):** The DOE/YMP central receiving, processing, storage, preserving, and retrieval facility for YMP records at a location designated by and for the Project.
 - 3.7 **Completed Record:** 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.
 - 3.8 **Correspondence:** All USGS incoming and outgoing mail pertaining to the YMP received or generated by USGS and contract personnel. This information includes electronic mail (FAX), 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 Indeterminate (IND): A designation for record packages under consideration that cannot be assigned a Quality Level at the time of submittal to the LRC because no QA Level has yet been determined or ascertained.
- 3.10 Information Copy: Information copies are documents that are circulated or transmitted for information purposes only.
- 3.11 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 YMPO for formal review.
- 3.12 Limited-Value Material: Those classes of documentary or other Project material which will not be captured by the ARS and which may be disposed of without special authority (see Attachment 1).
- 3.13 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.
- 3.14 YMP-USGS Local Records Center (LRC): An entity within the USGS which provides the capability for a centralized USGS records collection, processing, maintenance, storage, retrieval, and transmittal of records to YMPO/CRF.
- 3.15 Non-Processed Materials: Materials that will not be captured by the records system (see Attachment 2).
- 3.16 Non-QA Record: A record which does not require authentication and who's subject does not deal with a QA Level.
- 3.17 One-Of-A-Kind Record: A QA record that cannot be duplicated or microfilmed or would lose its meaning when microfilmed (i.e., a radiograph, multi-colored map, and map overlay).
- 3.18 Preliminary Draft: A document that is under development or preparation reflecting work in progress. If the document is marked "Preliminary Draft" it may be transmitted freely for review and comment. Preliminary drafts are excluded from capture.
- 3.19 Project Records: All YMP records generated or received by the USGS except for those that are designated as internal, non-processed (see Attachment 2), personal, or limited-value material (see Attachment 1). All project records are classified as lifetime.
- 3.20 Published Manuscripts (Reports): USGS published reports, papers submitted to scientific journals for publication, or proceedings of symposia giving interpretations of YMP work.

- 3.21 QA Implementation Records: Records associated with or required by the USGS QAPP.
- 3.22 Quality Assurance (QA) Record: An individual record or record package that has been executed, completed, approved, authenticated, 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, and inspection reports); (3) procurement records; (4) other records such as plans, correspondence, documentation of teleconferences, specifications, 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.
- 3.23 Record: A term to include QA as well as non-QA records which is inclusive of all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics. Records are preserved to provide evidence of the Project organizations, functions, policies, decisions, procedures, and operations; or because of the informational value of the data within the record. A record is formally recognized and defined upon validation and release. 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.
- 3.24 Records Coordinator: An individual designated by the USGS to represent the USGS at YMP records management meetings and to manage and implement the USGS records management system.
- 3.25 Record Package: A collection of Backup Data supporting one subject (e.g., audit report, published manuscript, technical procedure) which is assembled as a package and submitted to the LRC at the end of a specific activity, project stage, or contract (e.g. Individual or Manuscript Record Package). The package is indexed and processed as one record by the LRC.
- 3.26 Record-Type List: A list containing all types of records and record packages expected to be generated by the USGS for Project activities.
- 3.27 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).
- 3.28 Record Source: Any YMP-USGS Project employee or designated entity responsible for generating YMP records or receiving project related records from an entity outside the YMP.
- 3.29 Records Storage: The manner in which records are permanently or temporarily retained to prevent damage, loss, or destruction.
- 3.30 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).

- 3.31 Turnover Package: A grouping of records (not a record package) submitted for processing (e.g., certifications, correspondence, procurement, data items).
- 3.32 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 the LRC Quality Verification Checklist (Attachment 4).

4. RESPONSIBILITIES.

- 4.1 The Chief, Branch of YMP is responsible for assuring full USGS compliance with records requirements as imposed by the USGS QAPP, YMP Records Management Plan, and other management directives.
- 4.2 The Central Records Facility (CRF) assumes full Project responsibility for all records transmitted from the USGS to the YMPO, 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, and processing records, verifying the completeness of records, maintaining and protecting records, transmitting Project records to the CRF, and retrieving Project records.
- 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 Specialist) by project management.
- 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 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 will also be responsible for receipt control, indexing, and timely submittal of appropriate records to the YMPO/CRF when received at the LRC from the Record Source.

5. PROCEDURE. YMP-USGS records are produced by specific organizational entities: YMP-USGS technical personnel, the QA Office, or the USGS Branch of YMP. 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 YMPO/CRF.

- 5.1 Preparation of Records for Submittal to the LRC: Documents shall be created, identified 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, and published manuscripts.

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.

5.1.1.2 QA Implementation Records - QMP-5.03 requires that all Quality Management Procedures, and indirectly all 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 will make up the Records-Type List. The Record Source shall provide the LRC with updates to the lists as changes to the lists occur. The records in this category shall be maintained by the LRC. These QA implementation files are subdivided into appropriate subjects to facilitate the timely submittal of groupings or packages to the CRF. The QA implementation records will be batched as individual record packages by the QA Office, (ref. Para. 5.1.10), and periodically submitted as appropriate, no less than annually.

5.1.1.3 Litigation Discovery - Select YMP-USGS record packages which were designated for collection in support of possible litigation and which are maintained in the LRC. These records have not yet been designated for submittal to the YMPO/CRF. A procedure for processing requests for Litigation Discovery records is available in the LRC.

5.1.1.4 Published Manuscript Reports - All USGS records associated with the preparation, research, review, and publication of an official USGS report shall be submitted as a package. The backup data package including all supporting records is submitted by the Record Source to the LRC upon publication of a manuscript or report of the results and data interpretations. This backup data package shall be considered as a single document submittal by the LRC to the CRF in accordance with this procedure.

5.1.2 PROTECTION OF RECORDS PRIOR TO SUBMITTAL TO THE LRC: Records and record packages shall be protected from deterioration, loss, or damage by the Record Source from the time of generation until transmittal to the LRC.

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.

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 ("QA" or "QA: N/A") for correspondence and designation of the appropriate level ("QA I, II or III" or "QA:N/A") for QA records.
- o The Work Breakdown Structure (WBS) designation of the subject of all QA records (through six digits when appropriate).

5.1.4.1 Outgoing Correspondence and the Table of Contents for Record Packages - The appropriate WBS and QA designations shall be placed on the front page and in the upper right hand corner of the record.

EXAMPLE: WBS #: 129136
QA: N/A

5.1.4.2 Incoming Correspondence - Correspondence received from outside the Project requires the same indexing parameters as outgoing correspondence. The Record Source shall use an inked stamp to place indexing parameters on the bottom right corner of the front page of the record. Each parameter must be appropriately filled in prior to submittal to the LRC.

EXAMPLE: USGS RC/_____/_____/_____
WBS# QA Level Key Words

Date sent: _____

5.1.5 PUBLISHED MANUSCRIPT CONSIDERATIONS: All USGS manuscripts published as a result of Project activities shall receive an accession number prior to publication. If the accession number is not provided by the YMPO when the report is approved, the LRC shall obtain the accession number from the CRF Manager. Copies of USGS publications

submitted to the CRF will have the accession number printed on a gummed label which the LRC will affix to the inside back cover of the report using the following statement as formatted:

"The following number is for OCRWM Records
Management purposes only and should not be used
when ordering this publication:
Accession Number: NNA.YYMMDD.NNNN."

5.1.6 IDENTIFICATION OF AND/OR PROVISION OF REFERENCE DOCUMENTS: Referenced material cited in all published final manuscripts (e.g., OFR, WRIR, Bulletin) shall be listed and identified by an accession number. (Readily available references such as encyclopedias, dictionaries, engineers handbooks, etc., are excluded.) The manuscript author shall provide a list of the cited manuscript references to the LRC at the time the draft is submitted for internal USGS review. The LRC will verify existence of an accession number within the ARS or request accession numbers as required from the Project CRF Manager for each reference. The LRC will list the assigned accession numbers on the published manuscript which is submitted to the CRF. At this time, a list of references identified as having no accession number in the ARS and not previously submitted to the CRF will be given to the author. The LRC shall assist the author in identifying the location where reference copies may be conveniently obtained by the LRC for submittal to the CRF.

5.1.7 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 it. "Privileged" YMP records are to be submitted to the LRC.

5.1.8 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:

5.1.8.1 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.

5.1.8.2 Copy Suitability - That written/taped 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. 5.1.9 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, it must be a clear and distinct image.

5.1.8.3 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. 5.1.8.2. In this case, the best available copy is transmitted to the LRC and shall be stamped "Best Available Copy".

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

5.1.10 RECORD PACKAGE PREPARATION: For Project record packages, the Record Source shall use the following guidelines for preparation of Individual Record Packages or Manuscript Record Packages:

5.1.10.1 General Requirements - The following requirements apply to submittal of either Individual Record Packages or Manuscript Record Packages.

- o Assemble all records which are to be submitted as a record package.
- o Prepare a Table of Contents for each record package that lists the records that are contained in the record 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 record package. This form shall be signed by the authorized person who is responsible for the report.

5.1.10.2 Individual QA 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.

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

5.1.11 CORRECTIONS TO PROCESSED RECORDS: The Record Source shall immediately notify the LRC of any errors in previously processed records and shall submit the complete, corrected records to the LRC. Submittal of corrected records should be annotated to indicate whether to replace, supersede, or supplement a previously submitted record.

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, date of Record Source receipt of the published manuscript, or after closeout of the pertinent record package (record packages require a transmittal form - see Attachment 6). Correspondence and QA implementation records are submitted directly to the LRC on an ongoing timely basis appropriate to 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: 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 report package.

5.2.3 SUBMITTALS TO NESC: 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 records and package types. A duplicate of the list, as it is updated, shall be transmitted to the Records Administrator, YMPO. 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 and approved by the USGS Branch of YMP and approved by the QA Manager.

5.3.3 RECEIPT CONTROL: The LRC shall perform the following:

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

- o 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 code
Final digits - the computer generated YMPO accession number

EXAMPLE: GS.88.C.00010

Document identification codes shall be as follows:

C - Correspondence
Q - QA Administration
D - Litigation Discovery
M - Manuscript Report Package
QA - QA Administration Report 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 accep-

tability prior to submittal to the CRF. Each "complete" record shall be stamped "Validated".

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). The LRC shall retain a copy of the LRC Record Rejection Form and a copy of the record in a "records rejected" file. 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 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 evidence 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 must be contacted for approval to use substitute information or a regenerated record. 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 YMP 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 record packages being transmitted to the CRF. The LRC shall also include any special instructions or remarks.
- o Identify record packages as such by using the identifier "RP.X.X.X", where "X.X.X" designates the first three digits of the WBS number corresponding to the subject activity.

EXAMPLE: RP.1.2.3.

- 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 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 Records Administrator, YMPO, can determine the method required to process the records.
- o Package the records in the order listed on the transmittal form and place in the box with the transmittal form. Transmit the completed records to the Project 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 from the time of receipt from the Record Source (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). Storage at dual facilities for each record shall be provided to eliminate the chance of destruction during a disaster. 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. All remaining data not included in the above alternatives 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 until such time that they are approved by the USGS for transmittal to the YMP/CRF for processing.

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. An access list shall be posted that designates those personnel who may have access to the files. This list shall include the Records Administrator, YMPO. The LRC shall be locked at all times except when occupied by authorized access personnel.

- 5.7 Retrieval: Records may be retrieved through the LRC using the following methods:

5.7.1 USGS RECORDS RETRIEVAL: The records retrieval is initiated by the requestor completing a 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 ARS and print a hardcopy from microfilm. In addition, the Project personnel may view microfilm of any YMP record contained within the ARS at a location provided by the LRC. Original USGS records also may be examined at the LRC; however, removal from the Records Center will require written authorization. Copies of completed documents 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 filled in accordance with the applicable USGS procedures governing "Discovery".

6. RECORDS MANAGEMENT:

- 6.1 Controlled Documents: None.

- 6.2 Records Center Documents:

LRC Record Rejection Form

LRC Record Transmittal Form

LRC Special Instruction Sheet

Record Tracking Sheet

Authorized Personnel List

Authorized Access List

QA Record Type List

YMP-USGS Records Transmittal

7. RELATED DOCUMENTS.

- 7.1 Superseded Documents: This QMP supersedes NNWSI-USGS-QMP-17.01, R1, Quality Assurance Records Management.

- 7.2 References Cited:

YMP-USGS-QAPP-01, Quality Assurance Program Plan

DOE/YMPO AP-1.7Q, YMP Records Management

YMP-USGS-QMP-3.03, Scientific and Engineering Software

YMP-USGS-QMP-3.04, Technical Review of YMP-USGS Publications

YMP-USGS-QMP-5.03, Development and Maintenance of Quality Management Procedures

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: Report Package Format

Attachment 8: LRC Record Rejection Form

Attachment 9: LRC Record Transmittal Form

Attachment 10: LRC Special Instruction Sheet

Attachment 11: Guidance for the Preservation and Storage of Records


Attachment 12: LRC Records Retrieval Form

9. APPROVALS AND EFFECTIVE DATE.

EFFECTIVE DATE:


YMP-USGS Quality Assurance Manager

10-6-88
Date


Chief, Branch of YMP

10/07/88
Date

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.
10. Transmittal sheets (buckslips, record rejection forms, etc.).
11. Blank forms.
12. Transcribed stenographic material.
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, 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/YMPO, 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", "sensitive", "restricted", "personal", etc.

LRC RECORD TRACKING SHEET

LRC Staff _____ Date _____

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 document quality standards. Issue an LRC Record
Rejection Form.

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

Comments: _____

LRC QUALITY VERIFICATION CHECKLIST

1. Ensure that all records are acceptable for processing and microfilming in accordance with Attachment 7 of this procedure.
2. 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".
3. Ensure that draft records are stamped "Draft" if they are to be submitted.
4. 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.
5. 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.
6. Verify that all blocks on forms (including signature) are filled in or "NA" (not applicable) is entered.
7. Review QA records to ensure that a WBS number is indicated.
8. Review Record Packages to ensure that the RPXXX (X - first three digits of the WBS number) is indicated.
9. 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.

Stamp the QA record or the QA record package Table of Contents "Validated" upon satisfactory completion of the Quality Verification Checklist. Prepare the record(s) for submittal to the CRF according to Para. 5.3.8.

YMPO 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

Page ____ of ____

Columns 1 through 3 must be completed for each document or package submitted.

The transmittal must be signed by the Authorized Project Personnel and the Local Record Center Staff.

Columns 1 through 3 must be completed for each document or package submitted. The transmittal must be signed by the Authorized Project Personnel and the Local Record Center Staff.			Transmittal Number
1. Document/Package Type	2. Published Report Number	3. Title/Description	For LRC Use Only 4. Number

Transmitted By:
 Authorized Project Personnel _____ Signature* _____ Organization _____ Date _____

Received By:
 LRC Staff Member _____ Signature _____ Organization _____ Date _____

*This signature affirms that all of the backup data files 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 YMP USGS Local Records Center.

YMP-USGS-QMP-17.01, R2
 Attachment 6
 Page 1 of 1

REPORT 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 10/01/88 may not include all items.

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

LRC RECORD TRANSMITTAL FORM

Date: _____

Page ____ of ____

To: YMP Project Central Record Facility (CRF)

From: YMP-USGS Local Records Center

The following list represents the records being transmitted by this Letter to the YMP Project CRF for processing.

<u>PKG/ REC</u>	<u>RECORD DATE</u>	<u>RECORD TITLE/SUBJECT</u>	<u>RECORD PAGE COUNT</u>	<u>RECORD ID NO. (IF APPLICABLE)</u>
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
[COMPUTER GENERATED FORM]				
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

(Use Continuation Sheet if Necessary)

TRANSMITTED TO THE YMP CENTRAL RECORDS FACILITY (CRF) BY:

LRC Personnel Signature

Date

YMP CRF RECEIPT ACKNOWLEDGEMENT (Return signed copy to LRC as INFORMAL INPUT):

CRF Personnel Signature

Date

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:

LOCATION:

GUIDANCE 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, temperature, and pressure. 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 for special processed records (e.g., radiographs, photographs, negatives, microfilm, magnetic material, etc.) to prevent damage from excessive light, stacking, electromagnetic fields, temperature, 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.
 - 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.
- D. Storage Facility - The following requirements apply to both permanent and temporary USGS record storage facilities:
 - 1. YMP-USGS Project records shall be stored in facilities constructed and maintained in a manner that minimizes the risk of damage or destruction from natural disasters, such as winds, floods, or fires; environmental conditions such as high and low temperatures and humidity; and infestation of insects, mold, or rodents.

2. 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.
3. 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.

To: YMP-USGS Local Records Center, MS-410

LRC RECORDS RETRIEVAL FORM

Date: _____ Requestor Party: _____

Agency: _____ Phone Request Time: _____

Mailing Address: _____

LRC INDEX NUMBER: _____
[if known]

ORIGINATOR/AUTHOR: _____ RECIPIENT: _____

DATE: _____ DOE REPORT NUMBER: _____

TITLE: _____

WHAT WAS THE DOCUMENT CONCERNED WITH? _____

POSSIBLE KEYWORDS/IDEAS? _____

INITIALS _____

LRC initials _____

Time in _____

Time out _____

= copies _____