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OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT IMPLEMENTING LINE PROCEDURE

TITLE:

Quality Records Center Implementing Line Procedure

Procedure No.:

12.17.01

Revision:

1

Date:

01/17/91

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Associate Director, OCRWM**Date:**

1/2/91

Director, OQA**Date:**1/10/91
for D.H.

1.0 PURPOSE

The purpose of this Implementing Line Procedure (ILP) is to define the responsibilities and provide the methodology for the receipt, control, and maintenance of quality assurance (QA) records for the Quality Records Center (QRC) of the Office of Civilian Radioactive Waste Management (OCRWM).

2.0 SCOPE

This ILP is applicable to all QRC personnel engaged in the receipt, control, transmittal, protection, storage, and retrieval of QA records for OCRWM Headquarters (HQ) and OCRWM-HQ direct-support contractors.

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

- 3.1.1 OCRWM QAAP 17.1, Quality Assurance Records Management.
- 3.1.2 DOE/RW-0214, Quality Assurance Requirements for the Civilian Radioactive Waste Management Program (QARD).
- 3.1.3 DOE/RW-0215, Quality Assurance Program Description for the Civilian Radioactive Waste Management Program (QAPD).

3.2 DEFINITIONS

- 3.2.1 The definitions of standard terms may be found in the glossary contained in reference 3.1.2.
- 3.2.2 The definitions of standard record terms may be found in the OCRWM, QAAP 17.1, Quality Assurance Records Management.



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4.0 RESPONSIBILITIES

4.1 ASSOCIATE DIRECTOR FOR THE OFFICE OF PROGRAM AND RESOURCES MANAGEMENT (ADPRM)

The ADPRM is responsible for establishing and maintaining the OCRWM Quality Records Center (QRC), through the Information Management Division, OCRWM.

4.2 QUALITY RECORDS CENTER ADMINISTRATOR

The Quality Records Center Administrator is responsible for:

- (a) the operation of the QRC in accordance with reference 3.1.1 and this procedure; and
- (b) assisting OCRWM and direct-support contractor managers, supervisors, and staff in problem resolution and QA records retrieval.

5.0 GENERAL

OCRWM'S QA records in progress shall be maintained at the QRC until the associated QA records packages are complete, verified, and ready for submittal to the Central Records Facility (CRF). The QRC is a temporary storage facility for QA records. In accordance with OCRWM QAAP 17.1, the originating organization sends a copy of QA records to the QRC as well as to the (CRF). Individual records received by the CRF are microfilmed. Completed microfilm reels are developed and a copy of the reel is retained by the off-site film processing supplier. This process ensures that duplicate storage requirements are met. QA records received by the QRC are maintained until a records package has been validated as complete by the originator. Upon completion of a records package, the QRC sends the package to the CRF for microfilming.

6.0 PROCEDURES

6.1 QUALITY RECORDS CENTER (QRC)

The QRC shall collect, organize, and retain QA records forwarded by OCRWM-HQ and OCRWM direct-support contractors.

6.2 PRELIMINARY DOCUMENTATION

- 6.2.1 The QRC Administrator shall verify that the following information is provided by each originating organization (OCRWM-HQ branch, division, or office and OCRWM-HQ direct-support contractor):



- (a) A listing of the types of QA records and records packages expected to be generated by the originating organization. The QRC Administrator retains this written list and receives updated lists from each originating organization as they are developed according to OCRWM QAAP 17.1.
- (b) A signature authentication list identifying those individuals who have prime responsibility for an activity or task and associated records, and any other individuals authorized to review, authenticate, and sign off on QA records packages. This list also includes the written signatures and initials of each designated authenticator. The QRC Administrator retains this list and receives updated signature authentication lists from each originating organization as they are developed according to OCRWM QAAP 17.1.

6.2.2 Records Package Identification

Upon notification of the creation of a records package, the QRC Administrator shall perform the following:

- (a) Assign a unique records package identification number, which includes a package revision number, to each QA records package, and provide this identification number to the originating organization to assist in the proper organization of records. The QRC Administrator may change or cancel assigned records package identification numbers upon written or verbal notification by the Originating Organization.
- (b) Maintain a log (see Attachment I) of the QA records packages established for each originating organization and the associated records package identification numbers. The log shall be used to record relevant information regarding each records package including:
 - 1. name of originating organization;
 - 2. records package identification number;
 - 3. records package title/subject;
 - 4. date records package was opened;



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5. date records package was closed out;
6. total number of pages in records package;
7. date records package was reviewed and reviewer name;
8. date records package sent to CRF;
9. date microfilm received from CRF; and
10. microfilm reel number.

- (c) Maintain a list of individual records in each package, and retain this list at the front of each records package file. This inventory may assist in the compiling of the records package table of contents (see Attachment II).

6.3 RECEIPT OF RECORDS

6.3.1 QA Record Transmittal

Upon receipt of one or more QA records from the originating organization through a QA Record Transmittal (see Attachment III), the QRC staff shall review each Record Transmittal to ensure that all records listed on the transmittal are the actual records received, and that the transmittal has provided all required information. If there are no discrepancies, the QRC staff shall sign and date the Record Transmittal, retain a photocopy for QRC files, and return the original to the originator. Any discrepancies shall be resolved in accordance with Section 6.4.

6.3.2 QRC Record Receipt Inspection

The QRC staff shall inspect each received QA record to ensure that a written/taped record is legible, reproducible, and microfilmable according to the following criteria:

- (a) A distinct image of the character or pictorial information is formed on the recording medium (paper).
- (b) The record is recorded with an indelible medium, preferably black ink, against a light background.



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- (c) Information on the record can be read without speculation or magnification.
- (d) The record does not contain correction fluid or correction tape of any kind.

6.3.3 Receipt of Special-Process and One-of-a-Kind Records

Special-process and one-of-a-kind records shall be received and handled in accordance with this procedure as appropriate, except for the following:

- (a) The QRC staff shall expect to receive from the originator two (2) copies of special-process records. If the cost or difficulty of generating a duplicate copy prohibits the originator from producing a duplicate, the QRC staff shall expect to receive information indicating that condition on the Record Transmittal for the single copy, according to OCRWM QAAP 17.1.
- (b) Special-process and one-of-a-kind records are addressed on a case-by-case basis. The QRC Administrator shall determine any special handling requirements and shall communicate them to responsible QRC staff through memorandum and training.

6.4 PROBLEM RESOLUTION FOR QA RECORDS

6.4.1 Resolving Problems

The QRC staff shall resolve record problems with the originating organization. Corrections to records shall not be made by the QRC staff.

6.4.2 Unacceptable Record or Record Transmittal

If the QRC staff identifies a record and/or record transmittal as being unacceptable based on the review procedures outlined in Section 6.3 the record originator shall be contacted. If a discrepancy cannot be resolved through direct interaction with the record originator (via telephone or in person), the QRC staff shall:

- (a) Prepare a Rejection Record (RR) (see Attachment IV) for the deficient record and/or deficient record transmittal, assigning a sequential tracking number to the RR.



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- (b) Photocopy the deficient record (or appropriate parts, such as the title page and the table of contents for lengthy documents) and/or the deficient record transmittal.
- (c) Enter the relevant information regarding the rejected record activities in the Rejected Record Log (see Attachment V).
- (d) Send the prepared RR and the photocopied deficient document (or appropriate parts) and/or deficient record transmittal to the record originator, retaining the original record and a copy of the RR.
- (e) Follow up by contacting the record originator to determine the status of the replacement action, if the QRC has not received an acceptable replacement copy within ten (10) working days.
- (f) When the QRC receives an acceptable replacement copy, document the receipt in the Rejected Record Log and add the replacement record to the file along with the rejected record. (The deficient record will be removed by the authenticator during the final records package review.).
- (g) If the QRC does not receive an acceptable replacement copy before close-out of the package, the record originator or designated package authenticator shall remove the deficient record from the package. The deficient record shall be processed as a missing record in accordance with Section 6.6.2.

6.5 QA RECORDS PACKAGE ASSEMBLY

6.5.1 List of QA Records

Upon written or verbal notification by the originating organization that the activity for a given records package is complete, the QRC Administrator shall provide the originating organization with a records list of all QA records that have been received and retained under the corresponding records package identification number (see Section 6.2.2.c).



6.5.2 Records Package Review with Originating Organization

The QRC staff may assist the designated package authenticator during the records package review by identifying one-of-a-kind or special-process records, if any, that are to be indexed to the records package and included in the records package table of contents. Complete a Record Notice Sheet (see Attachment VI) to describe and indicate the location of a one-of-a-kind record that cannot be duplicated.

6.6 CORRECTIONS TO QA RECORDS AND RECORDS PACKAGES

Record discrepancies shall be resolved with the record originator. Corrections shall not be made by the QRC staff.

6.6.1 QA Record Correction

- (a) If a correction to a QA record is submitted by the record originator, after the original record has been sent to the QRC, the QRC staff shall process both the original record and the corrected record into the final records package. (The corrected record shall be processed as a new and separate record.)
- (b) Corrections made to a QA record, after submittal of the corresponding records package to the CRF, shall be processed as a revision to the previously submitted records package (see Section 6.8).

6.6.2 Missing QA Records

The QRC staff shall assist in the review, verification, and insertion of missing records in records packages. A records package may be held until the missing records are inserted or it may be processed in accordance with the following:

- (a) A slip sheet (see Attachment VII) shall be inserted for each missing record identifying the missing document title, date or revision number (if any), and accession number (if assigned and known).
- (b) Each slip sheet shall be included on the table of contents with a note that a missing record will be submitted as a subsequent revision to the records package.



- (c) The missing record, once obtained, shall be processed in accordance with this procedure and shall be submitted as a records package revision (see Section 6.8).

6.7 QA RECORDS PACKAGE TRANSMITTAL TO CRF

Following authentication of the records package, the QRC staff shall:

- (a) Prepare a QRC Records Package Transmittal (see Attachment VIII) identifying the records package being transmitted to the CRF.
- (b) Place a photocopy of the Records Package Transmittal in a binder.
- (c) Send the records package, along with the QRC Records Package Transmittal, to the CRF.
- (d) Receive the signed transmittal back from the CRF, and file the transmittal in the binder for reference, discarding the previous photocopied transmittal.

6.8 REVISIONS TO RECORDS PACKAGES

If additional, missing, and/or corrected records are submitted to the QRC after the records package has been sent to the CRF, the QRC staff shall process these records as a revision to the original records package in the following manner:

- (a) Assign the revised records package a sequential revision number. The original records package will be assigned Revision 0.
- (b) Assist the record originator in preparing a table of contents for the new revision.
- (c) Provide accession numbers of the original and/or previous package revisions (if applicable).
- (d) Obtain authentication of the new table of contents from the record originator.
- (e) Transmit the table of contents with the revised records package to the CRF for processing.



6.9 MICROFILM OF RECORDS PACKAGES

The QRC shall obtain one diazo copy of microfilm containing QRC records packages from the CRF. This microfilm copy is maintained as the official OCRWM working file. The diazo copy shall be used for hardcopy duplication and other daily working tasks. The CRF shall be contacted for a replacement of any damaged or lost microfilm.

6.10 ACCESS TO QA RECORDS

The QRC Administrator shall maintain an authorization list for access to any QA records by other than the originator. Access to any QA records packages in progress by other than the originator shall require written authorization from the originator or the supervisor of the originating organization. Access to records by individuals other than OCRWM Program staff and participants shall be authorized by the QRC through the OCRWM Technical Project Officer, cognizant Program staff and/or FOIA Officer.

6.11 STORAGE OF QA RECORDS

QA records received by the QRC for processing shall be stored in the following manner:

- (a) QA records packages shall be secured in cabinets and placed in a 1 hour fire rated records room.
- (b) One-of-a-kind records shall be stored in cabinets in a 1 hour fire rated records room until released for transmittal to the CRF.
- (c) Special-processed records shall be stored in ways that prevent damage from excessive light, stacking, electromagnetic fields, temperature, and humidity.
- (d) Microfilm copies of records packages shall be stored in locked metal microfilm cabinets.

6.12 PROTECTION OF QA RECORDS

Records received for processing at the QRC shall be protected from deterioration, loss, and damage in the following manner:

- (a) When unstaffed, the QRC records room shall be locked. The QRC Administrator shall maintain a listing of the personnel authorized to retain keys to the QRC records room.



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- (b) The QRC Administrator shall maintain a listing of the personnel authorized access to the QRC records room (see Section 6.10). No other personnel are permitted to access or remove records from the QRC storage location.
- (c) Smoking, foods, and liquids shall be prohibited when handling QA records.
- (d) The QRC file copy of records shall not leave the QRC. Upon request for a record, a photocopy may be issued. When removing records from the file for photocopying, an outcard is completed and placed in the location from where the record was removed to ensure the record is returned to the correct location.

6.13 QA RECORDS RETRIEVAL

Authorized personnel may request duplicates of records from the QRC. Such requests shall be processed by the QRC staff as follows:

- (a) Requests shall be recorded on a QRC Record Retrieval Request (see Attachment IX). Record searches and retrieval shall be accomplished using the RIS computerized index.
- (b) A hardcopy shall be made from the microfilm of the record. The QRC shall retain the original request form and send a copy back to the requestor with the copy of the requested record. The Record Retrieval Request shall be filed in a binder within the QRC.
- (c) If the record requested is currently being processed by the CRF, the request is referred to the CRF Manager. The QRC retains the original request form and sends a copy back to the requestor with the copy of the requested record. The Record Retrieval is filed in a binder within the QRC.

7.0 QUALITY ASSURANCE RECORDS

- 7.1 Documentation generated as a result of this procedure shall be collected and maintained in accordance with requirements specified in QAAP 17.1, QA Records Management. At a minimum, Attachments I, IV, V, VIII and IX shall be considered QA records.



8.0 ATTACHMENTS

8.1 The following forms are attached as examples of forms used to implement this ILP. Applicable continuation sheets for such forms are not included.

- 8.1 Attachment I - QA Records Package Log
- 8.2 Attachment II - OCRWM Table of Contents
- 8.3 Attachment III - OCRWM QA Record Transmittal
- 8.4 Attachment IV - Rejection Record
- 8.5 Attachment V - Rejected Record Log
- 8.6 Attachment VI - Record Notice Sheet
- 8.7 Attachment VII - Slip Sheet
- 8.8 Attachment VIII - QRC Records Package Transmittal
- 8.9 Attachment IX - QRC Retrieval Request
- 8.10 Attachment X - QRC Operations Flowchart



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**ATTACHMENT I
QA RECORDS PACKAGE LOG
(Example)**

| ORIGINATING ORGANIZATION | RECORDS PACKAGE ID NO. | PACKAGE TITLE/SUBJECT | DATE PACKAGE STARTED | DATE PACKAGE COMPLETED | DATE SENT TO CRF | REVIEW DATE | REVIEWER | TOTAL PAGES | MICROFILM DATE/REEL NO. |
|-----------------------------|------------------------------|--------------------------|-------------------------|---------------------------|------------------------|----------------|----------|----------------|-------------------------------|
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This logsheet is complete. Initials _____ Date _____

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QUALITY RECORDS CENTER

QA RECORDS PACKAGE LOG



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**ATTACHMENT II
OCRWM TABLE OF CONTENTS
(Example)**

| | | | |
|---|----------------------|----------------------|-----------------|
| OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT U.S. DEPARTMENT OF ENERGY WASHINGTON, D.C. | | | |
| | | SHEET _____ OF _____ | |
| | | WBS NO. _____ | |
| | | RECORDS PACKAGE: | |
| | | I.D. NO.: _____ | |
| | | REVISION NO.: _____ | |
| RECORD PACKAGE TABLE OF CONTENTS | | | |
| RECORD PACKAGE TITLE/DESCRIPTION: _____ | | | |
| _____ | | | |
| _____ | | | |
| NUMBER | RECORD TITLE/SUBJECT | DATE | NO. OF PAGES |
| | | | |
| NOTES: | | | |
| AUTHENTICATED BY: _____ | | DATE _____ | |

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**ATTACHMENT III
OCRWM QA RECORD TRANSMITTAL
(Example)**

| OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT U.S. DEPARTMENT OF ENERGY WASHINGTON, D.C. | | | | | SHEET _____ OF _____ |
|---|----------------------|----------------|---------------|-----------------------------|----------------------|
| QA RECORD TRANSMITTAL | | | | | WBS NO. _____ QA |
| TO: OCRWM QUALITY RECORDS CENTER (QRC) | | | DATE: | | |
| FROM: | | | ORGANIZATION: | | |
| THE FOLLOWING LIST REPRESENTS THE RECORDS BEING TRANSMITTED BY THIS MEMO TO THE QRC FOR PROCESSING. | | | | | |
| RECORD NUMBER | RECORD TITLE/SUBJECT | RECORD DATE | PAGE COUNT | RECORD PACKAGE NUMBER | |
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| SPECIAL INSTRUCTIONS: | | | | | |
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| QRC RECEIPT ACKNOWLEDGEMENT (RETURN SIGNED COPY TO RECORD ORIGINATOR AS INFORMATION COPY) | | | | | |
| QRC PERSONNEL SIGNATURE | | | DATE | | |

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**ATTACHMENT IV
REJECTION RECORD
(Example)**

QUALITY RECORDS CENTER

REJECTION RECORD

DATE: _____

TO: _____

FROM: Gladys Ruffin
QRC Administrator (202) 586-8991
Koh Systems, Inc. Room GH-099

SUBJECT: QRC Receipt of the Following Record:

Records Package No. _____

Rejected Record Tracking No. _____

The above mentioned record has been reviewed and was determined not acceptable for further processing and inclusion in the Quality Records Center for the reasons marked below:

_____ Record Transmittal form (missing or incomplete)

_____ Incomplete record (pages or attachments missing)

_____ Record quality is poor and will not provide an adequate microfilm image

_____ OTHER (specify) _____

PLEASE RETURN THIS COMPLETED FORM WITH A REPLACEMENT RECORD AS APPROPRIATE TO THE QRC ON OR BEFORE:

>>> Originating Organization <<<

_____ Acceptable Copy Attached

Record Originator Signature

Date



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ATTACHMENT V
REJECTED RECORD LOG
(Example)

QUALITY RECORDS CENTER
REJECTED RECORD LOG

PAGE _____

| RR TRACKING NO. | ORIGINATING ORGANIZATION | TITLE/SUBJECT | PACKAGE ID NO. | RR DATE | RESOLUTION DUE DATE | DATE OF REPLACEMENT | COMMENTS |
|--------------------|-----------------------------|---------------|-------------------|---------|------------------------|------------------------|----------|
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[Revision 0 ** 05/07/90]

This log sheet is complete. Initials _____ Date _____

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ATTACHMENT VI
RECORD NOTICE SHEET
(Example)

QUALITY RECORDS CENTER

RECORD NOTICE SHEET

(PLACE HOLDER PAGE FOR SPECIAL PROCESS AND
ONE-OF-A-KIND RECORDS THAT CANNOT BE MICROFILMED)

ACCESSION NUMBER _____

AUTHOR(S)/ORGANIZATION _____

DETAIL DOCUMENT CODE _____

DOCUMENT DATE _____

DOCUMENT ID NUMBER(S) _____

MEDIA TYPE _____

SOURCE ORGANIZATION _____

TITLE _____

VERSION _____

COMMENTS _____



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ATTACHMENT VII
SLIP SHEET
(Example)

QUALITY RECORDS CENTER
MISSING RECORD SLIP SHEET

This slip sheet is inserted in place of a missing QA record.

SLIP SHEET NO. _____

RECORDS PACKAGE IDENTIFICATION NO. _____

TITLE/SUBJECT: _____

RECORD DATE/REVISION DATE (if known): _____

ACCESSION NUMBER (if known): _____

>>> Originating Organization >>>

Record Originator Signature

Date



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**ATTACHMENT VIII
ORC RECORDS PACKAGE TRANSMITTAL
(Example)**

**QUALITY RECORDS CENTER
RECORDS PACKAGE TRANSMITTAL**

Date: _____

TO: Central Records Facility (CRF)

FROM: Quality Records Center (QRC)

The enclosed records are being transmitted by this memo to the CRF for processing.

RECORDS PACKAGE ID NO. _____

Transmitted to the CRF by:

QRC Personnel Signature

Date

QRC Receipt Acknowledgement (Return signed copy to QRC as information copy):

CRF Personnel Signature

Date

Special Instructions/Remarks: _____



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ATTACHMENT IX
ORC RECORD RETRIEVAL REQUEST
(Example)

QUALITY RECORDS CENTER

RECORD RETRIEVAL REQUEST

Date _____

Requestor _____

Phone No. _____

Record ID Number(s) _____

Record Date _____

Author _____

Organization _____

Receiver _____

Organization _____

Subject/Title _____

Records Package Accession Numbers

Date Required _____

Do you want the Attachments Yes _____ No _____

Do you want the Concurrence Copy _____ or the Final _____

COMMENTS _____

>>> FOR QRC PERSONNEL ONLY <<<

Date In _____

Date Out _____

Search Strategy _____



ATTACHMENT X
ORC OPERATIONS FLOW CHART

Activities are performed by the QRC staff except where otherwise noted.

