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Office of Civilian Radioactive Waste Management
Program Management System

Records Management Policies and Requirements

Revision 2

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OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT
PROGRAM CHANGE CONTROL BOARD
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TABLE OF CONTENTS

		Page
1.0	Purpose	1
2.0	Scope and Applicability	1
3.0	References	1
4.0	Definitions	2
5.0	Responsibilities	7
6.0	Policies and Requirements	10
Appendices		14
A.	Program Criteria for Records Management and System Implementation	1-A
B.	Program Criteria for Acceptance of Source Documents for Processing and Microfilming	1-B
C.	List of Typical Post-Closure and Lifetime Records	1-C
D.	Program Micrographics Requirements	1-D
E.	Requirements for Packaging and Turnover of Program Records	1-E
F.	Local Records Center Requirements	1-F
G.	Storage Requirements for Machine-Readable Records	1-G

1.0 PURPOSE

The purpose of these Records Management Policies and Requirements (RMPR) is to establish policies and requirements and assign responsibility for the identification, collection, organization, processing and storage of records of the civilian radioactive waste management program in order to document and facilitate the review of program activities.

2.0 SCOPE AND APPLICABILITY

These RMPR cover the control, indexing, microfilming, storage, retention, preservation and protection of records generated by OCRWM and of program-related documents generated and received from other entities, such as regulatory agencies, States and Indian Tribes. The RMPR are applicable to OCRWM Headquarters and OCRWM Project Offices.

3.0 REFERENCES

a. Nuclear Waste Policy Act (NWPA) of 1982, as amended. (HQZ.870228.7174)

b. 10 CFR Part 50, Appendix B, Quality Assurance Program Requirements for Nuclear Power Plants and Fuel Reprocessing Plants (Criterion XVII). (HQX.881028.0047)

c. 36 CFR Subchapter B, Records Management, Parts 1220 - 1234. (HQX.881028.0048)

d. HQ 1324.1A, Records Management, June 8, 1987. (HQX.881028.0049)

e. DOE 1324.2A, Records Disposition, September 13, 1988. (HQX.881028.0050)

f. DOE 1324.5, Records Management Program, January 6, 1987. (HQX.881028.0051)

g. DOE 1324.6, Automated Electronic Recordkeeping, July 8, 1987. (HQX.881028.0052)

h. DOE 1360.4A, Scientific and Technical Computer Software, October 7, 1987. (HQX.881028.0053)

i. DOE 1430.2A, Scientific and Technical Information Program, December 14, 1987. (HQX.881028.0054)

j. DOE 1700.1, Freedom of Information Program, November 19, 1979. (HQX.881028.0055)

k. DOE 5500.7A, Vital Records Protection Program, January 9, 1987. (HQX.881028.0056)

l. DOE 5635.1A, Control of Classified Documents and Information, February 12, 1988. (HQX.881028.0057)

m. ANSI/ASME NQA-1 (1986), Quality Assurance Requirements for Nuclear Facilities (Requirement 17 and 17S-1, Quality Assurance Records). (HQX.881028.0058)

n. "Quality Assurance Requirements for the Civilian Radioactive Waste Management Program," (QAR) DOE/RW-0214, 1988.

4.0 DEFINITIONS

4.1 Document

Any written or pictorial information describing, defining, specifying, reporting or certifying activities, requirements, procedures or results.

4.1.1 Draft Document

A document (other than a final document) that proposes or reflects a DOE/OCRWM position, policy, plan, or intended purpose and that is transmitted by a supervisory official of the originating organization for formal concurrence within DOE, or formally transmitted outside DOE for review and/or comment, or, in the case of Program participants, provided to OCRWM as a scheduled deliverable. Draft document also includes a nonfinal document circulated for concurrence or signature which did not become a final document 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.

4.1.2 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 DOE (including the Program participants) if the document is marked "PRELIMINARY DRAFT." Preliminary drafts are excluded from capture in the records system and will not be retained beyond completion of a subsequent iteration.

4.2 Limited-Value Material

Limited-value material includes those classes of documentary or other material which will not be captured in the records system and which may be disposed of without special authority, including, but not limited to:

a. Information copies of correspondence and other materials on which no documented administrative action is taken or required. Materials transmitted solely for information purposes must be clearly marked "Information Copy."

b. Materials documenting such fringe activities as employee welfare activities and charitable fund drives.

c. Reading file copies of correspondence.

d. Tickler, follow-up or suspense copies of correspondence.

e. Duplicate copies of all documents maintained in the same file.

f. Extra copies of printed or processed material, official copies of which have been retained for record purposes.

g. Superseded manuals or other directives maintained outside the issuing office.

h. Routing slips.

i. Working papers.

j. Transmittal sheets, Federal Optional Form 41, unless used to provide specific instructions or criteria.

k. Blank forms.

l. Transcribed stenographic material.

m. Processed or published material received from other activities or offices, and which requires no action and is not needed for documentary purposes (the originating office or activity is required to maintain record copies).

n. Catalogs, trade journals, and other publications or papers that are received from Government agencies, commercial firms, or private institutions, and which require no action and are not part of a case upon which action is taken.

o. 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.

p. Reproduction materials such as stencils and offset masters.

q. Physical exhibits, artifacts, and material lacking documentary value.

r. Telecopies (facsimiles) of materials. If Telecopies (facsimiles) of signed documents are sent, the original of the signed document(s) (including draft documents), must be forwarded immediately through the mail system.

4.3 Central Records Facility

A facility at Headquarters or Project Office(s) responsible for receiving, controlling, processing, storing, preserving, retrieving, distributing, and disposing of the official program record(s).

4.3.1 Local Records Center

A unit within each Program participant's organization designated to collect, protect and retrieve program record material, assign accession numbers, if designated, verify the completeness of the record material, and forward the record material to a designated Central Records Facility.

4.4 Originating Organization

For the purpose of draft document retention, the originating organization is defined to mean an OCRWM organizational unit (Branch, Division or Office), a Project Office(s), or a Program participant office at a specific location.

4.5 Program

Program, when used, shall mean the U. S. Department of Energy's Civilian Radioactive Waste Management Program.

4.6 Program Participants

All contracted organizations performing activities associated with the Program, including prime and subcontractors, national laboratories, other U.S. Government organizations, etc.

4.7 Project Office

A DOE field organization supporting the Civilian Radioactive Waste Management Program. For purposes of this document, such organizations include both designated Project Offices and other field elements within DOE Operations Offices supporting the Program which do not have official Project Office status.

4.8 Quality Assurance Record

An individual document or other item that has been executed, completed, and approved and that furnishes evidence of the quality and completeness of data (including raw data), items, and activities affecting quality; documents prepared and maintained to demonstrate implementation of quality assurance programs (e.g., audit, surveillance, and inspection reports); procurement documents; other documents such as plans, correspondence, documentation of telecons, specification, technical data, books, maps, papers, photographs, and data sheets; and items such as magnetic media, physical samples (such as rock, core, and water); and other materials that provide data and document quality regardless of the physical form or characteristics. Physical samples, such as core samples, may be tracked, stored, protected, and controlled by a separate facility and system within various participants' organizations.

4.9 Record

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 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 documents preserved only for convenience of reference and stocks of publications and of processed documents are not included.

4.9.1 One of a Kind Record

These are records as previously defined that cannot be duplicated or microfilmed or lose their meaning when microfilmed. Such records include but are not limited to the following: radiographs, multicolor maps and map overlays.

4.9.2 Special Process Records

These are records that cannot be filmed on 16 mm roll film. These records may be filmed on .35mm (oversize documents) or they may be capable of duplication without the loss of meaning and stored in dual storage facilities.

4.10 Records Package

A records package is a collection of records supporting one topic (subject) that is filed as a case file; e.g. QA audit file, contract or procurement file, engineering drawing package. Individual records are to be submitted to the LRC or CRF as approved and issued or accepted. Associated records are also collected and subsequently submitted as a records package. Records packages include program records which, under the terms of a contract, interagency agreement, memorandum of understanding, or similar instrument, are submitted by a Program participant at intervals, not to exceed annually, to the appropriate OCRWM HQ or Project Office records management facility prior to closeout of the contract or other agreement. A contractor's records package consists of all data first produced or specifically used in the performance of the contract.

5.0 RESPONSIBILITIES

5.1 Office of Program Administration and Resources Management, OCRWM

The Office of Program Administration and Resources Management, OCRWM, is responsible for the development of the necessary procedures and instructions that govern the implementation and control of the records system activities at OCRWM HQ.

5.1.1 Management Systems and Support Division (MSSD)

5.1.1.1 In coordination with the Information Resources Management Division, other OCRWM elements, and Departmental records management officials, manages the development, coordination, implementation and maintenance of overall OCRWM records management policies and procedures.

5.1.1.2 Performs central correspondence and document control functions, and records inventory and disposition schedule (RIDS) activities for OCRWM HQ.

5.1.1.3 Designates a task manager for the records management task who is responsible for oversight and coordination of the records management contractor's activities in support of OCRWM HQ records management.

5.1.2 Information Resources Management Division (IRMD)

5.1.2.1 Establishes plans, policies, and procedures for OCRWM program-wide information resources management, including those for automated records management systems.

5.1.2.2 Manages OCRWM's information systems which includes automated information systems.

5.1.2.3 In coordination with the MSSD and the Director, Office of Quality Assurance, develops program-wide quality assurance records policies, plans and procedures.

5.1.2.4 Designates an OCRWM contract manager, who is responsible for program-wide implementation of IRM information systems, including the record system, and the overall management of the supporting IRM contractors.

5.1.2.5 In coordination with the Office of General Counsel and OCRWM Program staff, manages the development, processing, and control of administrative record packages.

5.2 Records Management Contractor

5.2.1 Assists in the planning, implementation, and administration of the OCRWM records management program.

5.2.2 Assists in the preparation of the OCRWM RMPR, implementing procedures, and the records lists.

5.2.3 Provides centralized handling and processing functions for records, including identifying, collecting, assigning accession numbers, processing, storing and retrieving the records, and prepares and, following OCRWM approval, implements quality assurance plans for its records management activities.

5.2.4 Assists in maintaining the computerized index and retrieval system for records.

5.2.5 Provides for the storage of records, including off-site permanent storage of master copies of microfilm, magnetic/optical media and off-site temporary storage as requested.

5.2.6 Operates and manages a central records facility (CRF) at the OCRWM HQ or Project Office(s).

5.3 OCRWM Elements

OCRWM HQ and Project Office(s) are responsible for implementing a records management program in compliance with the requirements of these policies and procedures, and with the necessary procedures and instructions that govern the implementation and control of the records system for their activity.

5.3.1 Project Manager, Yucca Mountain Project Office (YMPO)

5.3.1.1 Establishes a central records facility at the Yucca Mountain Project Office, and a local records facility at each participants' office.

5.3.1.2 Implements a records management program in compliance with the requirements of this document, including the development and preparation of a records management plan and the necessary procedures and instructions that govern the implementation and control of a records system for the Office's activities.

5.3.2 Director, Repository Technology and Transportation Division (RTTD/CH)

5.3.2.1 Establishes a central records facility at the RTTD, and a local records center at the participant's office as required.

5.3.2.2 Implements a records management program in compliance with the requirements of this document, including the development and preparation of a records management plan and the necessary procedures and instructions that govern the implementation and control of a records system for the Division's activities.

5.3.3 Associate Directors, OCRWM HQ Offices.

Ensure that their respective offices implement HQ procedures for records management as specified by these procedures, and provide adequate safeguards against unauthorized removal, alteration, or destruction of program records.

5.3.4 Director, Information Services Division, OCRWM HQ

Assigns an accession number to all program published public documents in coordination with the Central Records Facility, and ensures that a copy of each publication is forwarded to the Central Records Facility.

5.3.5 FOIA Officer, OCRWM HQ and Project Offices

Provides a copy of all FOI responses to the Central Records Facility.

5.4 QA Managers

The OCRWM HQ and Project Office(s) QA Managers shall review records management plans and conduct periodic site reviews and audits of the records management program.

5.5 Program Participant

Each Program participant shall be responsible for the following:

a. Establishment of a local records center within its organization.

b. Establishment of procedures for the control, processing, storage and dissemination of records. These procedures are subject to the approval of OCRWM HQ or the Project Office(s), as appropriate.

c. Ensure compliance with applicable requirements for managing records.

d. Transfer records and/or records packages to the specified Program central records facility.

e. Ensure that records identified as QA records are protected against deterioration, loss, or damage until transmitted to the central records facility.

f. Verify that each record is complete prior to distribution and processing it into the records system.

6.0 POLICIES AND REQUIREMENTS

6.1 The objectives of records management are: (1) to preserve adequate records that document the organization, its functions, policies, decisions, procedures, and essential transactions, including record material containing information appropriate for preservation because of its administrative, legal, scientific, research, or historical value: and (2) to help ensure Program compliance with the NWPA, as amended, and to meet operational needs.

6.2 Limited-value materials, such as information copies of documents, shall not be maintained. Unnecessary delay in disposal of such material, as defined in Section 4.2, increases the need for on-site storage and adds to overhead costs.

6.3 The Program shall maintain a centralized, microfilm-based, computer-indexed records system at OCRWM HQ and the Project Office(s). Records shall be microfilmed in accordance with National Archives and Records

Administration (NARA) standards (36 CFR 1230) for efficient storage and retrieval of the program record. This system shall provide a basic records foundation for such special needs and technology systems as the Licensing Support System (LSS) and for the timely disposition of hardcopy documents and records.[1]

6.4 All limited-value material, as defined in Section 4.2, and the following materials will not be captured in the records system:

a. 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 quality assurance record. This material must be clearly marked "Pre-Award";

b. Personnel records, except as required as quality assurance records; for example, qualification and training records;

c. Business-sensitive (financial or commercial) information which is so marked;

d. 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 Program business, will be stored and handled in accordance with DOE 5635.1.

e. Personal correspondence, which is so marked (unless submitted by the individual for processing);

f. Preliminary drafts or working papers, facsimiles, and documents circulated or transmitted for information purposes, when so marked;

g. Circulation/direct distribution mail, subscriptions, periodicals, press releases and news clippings;

h. International draft correspondence, documents, brochures and literature. Final reports and official documents are not excluded.

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1 The Department of Energy has elected to make available certain documents in the LSS that may be exempt from public disclosure pursuant to an exemption of the Freedom of Information Act (FOIA). The Department, however, does not waive its right to invoke any applicable FOIA exemptions to other documents maintained in this system.

i. Travel vouchers, travel authorizations, purchase orders, training requests, personnel actions and similar administrative material, where a record copy is retained by another organization;

j. Contractor-generated contract progress reports and telephone logs, except when included as part of a required records package;

k. Documents prepared by another DOE organization and submitted to OCRWM for routine concurrence or coordination, whose subject matter does not relate specifically or exclusively to the Program.

To be excluded, the document and its transmittal envelope must be clearly marked "preliminary draft," "sensitive restricted," "personal," etc.

6.5 Preliminary draft documents, as defined in section 4.1.2, are limited-value material and will not be processed into the records system. Policies governing preliminary draft documents are as follows:

a. Preliminary drafts shall be marked "PRELIMINARY DRAFT" at a minimum on the cover and front page.

b. Comments by a reviewer on preliminary drafts may be placed in the margins of the document.

c. Preliminary draft documents shall not be maintained beyond the completion of a subsequent iteration.

6.6 The Program policy is to collect and retain those draft documents that are transmitted <u>within</u> DOE for formal concurrence as specified below:

a. DOE comments received on concurrence drafts of documents shall be retained with the concurrence draft and the final documents.

b. Draft documents formally transmitted <u>outside</u> DOE for review and/or comment, as well as the comments received in response to such transmittals, shall be retained with the final document.

c. Comments on drafts of major Program documents such as the Site Characterization Plan, shall be transmitted in formalized form, and not by returning the document with handwritten notes.

d. The review and comment format is to be used by OCRWM HQ and the Project Office(s) when a Program participant's draft document submitted for review and approval is rejected.

6.7 Program quality assurance records shall be distinguishable from other Program records in the records system.

6.8 Records Management System Criteria

Records management and system implementation for the Program shall be in accordance with these policies and requirements and the criteria specified in Appendix A and references contained therein.

APPENDICES

A. Program Criteria for Records Management and System Implementation

B. Program Criteria for Acceptance of Source Documents for Processing and Microfilming

C. List of Typical Post-closure and Lifetime Records

D. Program Micrographics Requirements

E. Requirements for Packaging and Turnover of Program Records

F. Local Records Center Requirements

G. Storage Requirements for Machine-Readable Records

APPENDIX A

PROGRAM CRITERIA FOR RECORDS MANAGEMENT AND SYSTEM IMPLEMENTATION

APPENDIX A

CRITERIA FOR RECORDS MANAGEMENT AND

SYSTEM IMPLEMENTATION

A.1.0 The criteria of this Appendix are applicable to all Program elements and represent the minimum acceptable standards for records management and system implementation throughout the Program.

A.2.0 Records System Definition

The Program records system is a common, integrated set of manual and automated activities for creating and identifying, collecting and controlling, processing and organizing, distributing, microfilming, storing and preserving, retrieving, and disposing of Program records.

A.3.0 Systems Requirements

A.3.1 Records Creation and Identification

All records shall be created in accordance with prescribed DOE and OCRWM procedures.

a. The creation and identification of QA records requires that:

(1) All QA records be identified as such by placement of the term "QA" on the front of the record;

(2) All QA records be identified on the front of the record with the WBS Number corresponding to the subject activity;

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

(4) Records shall be considered valid QA records only if stamped, initialed, signed, or otherwise authenticated and dated by authorized personnel. Authentication may take the form of a statement by the responsible individual or organization. Handwritten signatures are not required if the document is clearly identified as a statement by the reporting individual or organization. The records may be originals or legible copies.

b. All final scientific and technical reports shall list and identify, by accession number, referenced material in the report. All referenced material shall be contained in the records system and cross-referenced to the report.

c. All published reports and documents, including controlled documents, shall have an accession number assigned and placed on the inside of the back cover, or as part of the acknowledgement.

d. Appropriate implementing procedures for records creation and identification shall be prepared by OCRWM HQ, the Project Organizations, and Program participants. These procedures shall be coordinated with IRMD to ensure implementation of a common, consistent approach for entry into the records system.

e. Creation of an "Administrative Record" shall be in accordance with these requirements and Appendix E and shall be performed by the program staff in coordination with the Central Records Facility.

A.3.2 Records Collection and Receipt Control

OCRWM HQ and the Project Office(s) are responsible for establishing a central records facility at each of their respective sites, including the establishment of local records centers for each of their Program participants (Appendix F). Procedures will be prepared to ensure a copy of all program records are collected and transferred to the central records facility for processing into the records system as follows:

a. All records and records packages will be inspected and validated at the time of receipt by the central records facility or responsible organization to ensure legibility and completeness, including the required identification. The criteria for inspection are contained in Appendix B.

b. Each record and records package received by the central records facility shall have an accession number placed on it prior to processing into the system, if not previously accessioned by a local records center or other approved entity.

c. The accession number format is XXX.YYMMDD.IIII

(1) XXX = Site Code

The following are the site codes that will be used by the Program:

BWIP	= BW	____
Chicago Operations Office	= CH	____
Headquarters	= HQ	____
MRS	= MR	____
NNWSI	= NN	____
SRPO	= SR	____
YMPO	= YM	____

The third position (as shown by a blank) is to further identify the local records center, or the record origin.

(2) YYMMDD = Six-digit number, preferably the date the record is accessioned

The format for the date is YYMMDD, where YY is used for the year, MM for the month, and DD for the day; for example, May 27, 1987 is depicted as 870527.

(3) IIII = Sequence Number

Each record is accessioned in sequence on a given day. The first record of each day is assigned the number 0001.

A.3.3 Records Processing and Organization

Processing the records and records packages at the central records facility consists of accessioning, developing the bibliographic indexing information and abstracts, entering the information into the computerized index, and microfilming the records, and records packages as follows:

a. The bibliographic indexing information shall consist of a set of common information elements used program wide to ensure consistency and retrievability.

b. Abstracts will be prepared for all reports and those documents whose contents are not totally and accurately described by the title. Abstracts will be provided along with the report when they are submitted to the records facility.

c. The bibliographic information and abstracts will be entered into the records system.

d. All records and records packages will be microfilmed in accordance with the requirements of 36 CFR Part 1230. The microfilm copy (silver master) is the official program record.

   Records that cannot be microfilmed because of their physical form or the degradation to the information in the record shall be maintained in their original form. These records shall be designated "one of a kind" or "special process."

e. All records and records packages will be reviewed and inspected prior to microfilming in accordance with the criteria in Appendix B.

f. The microfilming process will produce, at a minimum, two silver masters and one diazo working copy. All records and records packages will be filmed using 16mm roll film and 35mm film for engineering drawing aperture cards. Microfiche is not an acceptable medium for maintaining the Program record. Each reel of film will be certified.

g. The records and records packages will be organized on the records system by project ID and major subject term.

h. Each record and records package indexed on the records system will have an Access Control Code. This code will identify the availability of the documents or records for distribution and disclosure pursuant to the provisions of the Freedom of Information Act. The following codes shall be used:

PUB = PUBLIC
INT = INTERNAL
PRI = PRIVILEGED

i. Procedures will be developed to ensure that all records are processed and organized in accordance with the above requirements. Access to the information on the records system will be controlled in accordance with approved procedures.

A.3.4 Records Storage and Preservation

The storage and preservation of all Program records shall, at a minimum, meet the following requirements:

a. Dual facilities will be used for the storage of the microfilm silver masters. One copy will be stored at a HQ-approved underground facility that meets the requirements of 36 CFR Part 1230.20 for permanent storage. The second silver master will be stored at the filming location or other approved facility that meets the NQA-1 requirements for dual storage.

The silver master stored at the underground facility is considered the official Program record. The second silver master is used for duplicating purposes.

The diazo copy is the day-to-day working copy available at the records facility.

b. The hard copy of the record that was used for microfilming will be retained for a limited period and then disposed of in accordance with an approved disposition schedule. Once

the record is microfilmed, the microfilm becomes the official program record and shall be protected accordingly.

"One of a Kind" records (Section A.3.3.d) are official program records and shall be stored in a single storage facility meeting the NQA-1 requirements for such a facility.

"Special Process" records (Section A.3.3.d) are official program records and shall be stored in dual storage facilities meeting the NQA-1, ANSI/NFPA232 and Appendix G requirements, as applicable.

c. The silver master(s) of the microfilm will be checked for accuracy, completeness, clarity and legibility prior to storage.

d. Microfilmed records shall be corrected in accordance with written procedures that will provide for a traceable path to the change and preserve the integrity and authenticity of the record.

e. Procedures shall be established to provide for the replacement, restoration, or substitution of lost or damaged records. If restoration or replacement of such records is not practical, this fact shall be documented in accordance with applicable QA requirements.

f. Prior to storage of the records, a written storage procedure shall be prepared, and responsibility assigned for enforcing the requirements of the procedure. This procedure shall include, at a minimum, the following:

(1) A description of the storage facility;

(2) The filing system to be used;

(3) A method for verifying that the records received are identical to the transmittal document and that the records are legible;

(4) A method for verifying that the records are those designated;

(5) The rules governing access to and control of the microfilm files;

(6) A method for maintaining control of and accountability for records removed from the storage facility;

(7) A method for filing supplemental information and disposing of superseded records;

(8) Provisions for periodic verification to ensure readability of the records (microfilm, magnetic medium, or optical medium). Nonconforming characteristics shall be reviewed and recommended dispositions of nonconforming items shall be proposed and approved in accordance with applicable QA requirements;

(9) Provisions to prevent damage to special processed records and one-of-a-kind records that cannot be microfilmed;

(10) Provisions to preclude the entry of unauthorized personnel into the storage area;

(11) A list of designated personnel who shall have access to the records. The list shall include, at a minimum, the following personnel: a Program representative, a Headquarters records facility representative, and a representative from IRMD.

g. Records shall be controlled from the time they are complete until they are stored in a permanent storage facility. Temporary storage, preservation, safekeeping, and retrievability of completed records shall be in accordance with the requirements applicable to the storage of records at permanent facilities. The use of dual records storage is an acceptable alternative to a single fire-rated, environmentally controlled facility.

h. A copy of all final technical and scientific reports shall be transmitted to the Office of Scientific and Technical Information in accordance with DOE 1430.2A.

i. A copy of all final scientific and technical computer software shall be transmitted to the National Energy Software Center in accordance with DOE 1360.4A.

A.3.5 Records Retrieval and Distribution

Records search and retrieval will be accomplished through the computerized index, with microfilm, or hardcopy blow-back from microfilm, of the record(s) provided. Retrieval and distribution of Program records shall meet the following requirements:

a. Retrieval of records will be for official use purposes. Responses to requests from other than Program staff and participants shall be controlled by the cognizant Program staff and/or FOIA Officer.

b. Retrieval of records from the permanent under ground storage facility shall be controlled in accordance with the requirements and procedures of section A.3.4.

c. Utilization of the online search capability by other than Program staff and participants shall be approved by the Director, OCRWM, and shall be controlled in accordance with written procedure.

A.3.6 Records Disposition

Disposition of Program records shall be carried out pursuant to DOE 1324.2 as implemented by the Program Records Inventory and Disposition Schedule (RIDS) and the following:

a. DOE and NARA approval is required prior to the disposal of original records following their microfilming. Disposal of the hardcopy records shall be in accordance with the approved OCRWM RIDS.

b. Notwithstanding records disposal authorizations, records shall be retained until completion, clearance, or settlement of pending litigation, pending audits, investigations, inspections, Congressional requests, and pending Freedom of Information and Privacy Act requests.

c. Program records shall be classified as permanent or temporary in accordance with 36 CFR Part 1220.14. Post-closure, lifetime and nonpermanent records are considered temporary records for NARA archival purposes. All Program records are microfilmed to meet the requirements for permanent archival storage (section A.3.3) which meet or exceed the retention periods for post-closure and lifetime.

d. The retention period for all records shall be indicated on the records system. The retention periods are: permanent, post-closure, lifetime and temporary, as identified by the approved RIDS. A list of typical post-closure and lifetime records is contained in Appendix C. The lists are not intended to be all-inclusive or limiting.

A.4.0 Training

Indoctrination and training programs shall be developed and conducted for all Program personnel responsible for carrying out the records system activities previously defined.

The OCRWM HQ, Project Office(s), and Program participants responsible for developing and conducting the training shall retain accurate and complete documentation of the training, as applicable, for the personnel involved in the records system activities. These records shall reflect qualifications and position descriptions, and a record of the actual training received, date of training sessions, and names of instructors.

A.5.0 Facilities

Adequate facilities shall be provided by OCRWM HQ, Project Office(s), and Program participants to carry out the records system activities previously described.

A.6.0 System Quality Assurance

The records system shall be operated and maintained to meet the requirements of NQA-1 requirements 17 and 17S-1. System implementation to these requirements and the criteria of this Appendix shall be governed by procedures specifically prepared or adopted as routine managerial administrative practices.

APPENDIX B

PROGRAM CRITERIA FOR ACCEPTANCE OF SOURCE DOCUMENTS FOR PROCESSING AND MICROFILMING

APPENDIX B

CRITERIA FOR ACCEPTANCE OF SOURCE DOCUMENTS

FOR PROCESSING AND MICROFILMING

B.1.0 Purpose

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

B.2.0 Scope

These criteria apply to all documents 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."

B.3.0 Definition

A source document is any document submitted to the records systems for processing, microfilming, and retention which is the source of the microfilm record copy. The microfilm record copy for all records is defined as the silver-halide microfilm of each issue of a document.

B.4.0 Criteria

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

Criteria for acceptability of source documents are:

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

b. Documents must be complete; no portions of a page can be missing due to tearing or folding of document edges that obliterate recorded information.

c. Data on drawings should be recorded in black ink. Blackline drawings are preferred to blueprint sepia copies. If blue line or sepia drawings are the only copies available, they must not be folded but rather rolled for storage or transmittal. Store them on stick files or in flat (plan) files. Creasing the paper creates marks which can obscure data recorded on the drawing.

d. Typewritten or printed text should be printed using clean multi-strike ribbons.

e. Documents should be sent unbound or loose-leaf when possible.

f. If photocopies are submitted as the record copy, they must be legible to the second generation. The copy image must be aligned properly; optically skewed images are not acceptable; the angle of the documents must be truly reproduced on the photocopy; and square corners must appear at right angles.

g. 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 should be clearly separated by space equal to the height of the lettering. Space between letters should be at least 0.06 inches.

h. 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.

i. 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) or a photocopy of that original of an NCR form is acceptable.
NOTE: The only exception to this rule are oversize documents which are of a color that can be filmed on a 35mm planetary camera for aperture card

production. These exceptions require special handling, and this will be considered only on a case-by-case basis. Approval by the responsible manager is required prior to submittal.

j. 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.

k. Do not fold drawings, maps, or other "oversize" records (i.e., documents with the minimum dimension greater than 14 inches). Such oversize documents should be rolled for transmittal to the records center.

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

B.5.0 General Operability Test

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

If the quality of source documents 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 will return the documents to the submitter identifying the required corrections to the documents before they are acceptable.

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

B.6.0 References

a.	ANSI Y 14.2	Drafting Practices Line Convention and Lettering.
b.	ANSI/AIIM MS-23-1983	Practice for Operational Procedures/Inspection and Quality Control of First-Generation, Silver-Gelatin Microfilm of Documents.

APPENDIX C

LIST OF TYPICAL POST-CLOSURE AND LIFETIME RECORDS

APPENDIX C

LIST OF TYPICAL POST-CLOSURE AND LIFETIME RECORDS

Listed below are typical types of post-closure and lifetime records. These lists are not intended to be all inclusive or exclusive.

C.1 Post-Closure

- Maps which identify site boundaries
- Location of site markers
- Underground facility configuration
- Stored waste inventory and location
- Repository environmental monitoring records
- Waste package desigr, fabrication, testing, and inspection records
- Other records having long-term archival and historical interest
- Safety analysis reports
- Site characterization reports
- Licensing reports
- Long-term performance assessment records

C.2 Lifetime (includes appropriate types of lifetime records identified from ANSI/ASME NQA-1-1986, Appendix 17A-1)

C.2.1 Site and Site Characterization Records

- Drill hole testing procedures
- Drill hole drilling procedures
- Drill hole location surveys or maps
- Drill hole logs and samples
- Drill hole tests results (including evaluations and interpretations)
- Geophysical logs and data
- Geophysical test results
- Self-potential logs and data
- Caliper logs and data
- Radioactive logs and data (gamma, spectral-gamma, neutron-gamma)
- Lithographic logs and data
- Seismic and resistivity survey procedures
- Seismic and resistivity location surveys or location maps
- Seismic and resistivity logs and data
- Seismic and resistivity test results (including evaluations)
- Laboratory testing procedures
- Laboratory record books
- Laboratory testing data and data processing

- Geologic maps and supporting data
- Geologic samples (soil, water, core)
- Geologic and soil sampling procedures
- Geologic test results
- In situ soil test results
- Logs, maps, and geophysical data in support of subsurface correlation
- Trench logs and data (including location surveys, maps, and results)
- Aerial mapping records (photographs and interpreted overlays)
- Microseismic records (paper or magnetic tape)
- Remote imagery reports and results
- Ground-water and hydrologic regime maps and data (including results)
- Seismicity maps and supporting data
- Fault maps and supporting data
- Epicenter maps and supporting data
- Isopach maps and supporting data
- Model definition and development reports
- Model acceptance criteria reports
- Model verification reports
- Model exercise reports and results
- Hydrogeologic test procedures
- Hydrogeologic test results and data
- Atmospheric test procedures
- Atmospheric test results and data
- Environmental study evaluations and results
- Site characteristics reference documents
- Test deviation records
- Unusual occurrence reports

C.2.2 Design Records

- Applicable codes and standards used in design
- Procedures and reports
- Peer review reports and comment resolution
- Design criteria change records
- Technical analyses, evaluations, and reports
- Configuration design reports
- Baseline document index
- Technical computer codes and models, photographs of repository systems, components and structures
- Design drawings
- Design calculations and record of checks
- Approved design change requests
- Design deviations
- Design reports
- Design verification data
- Design specifications and amendments
- Safety Analysis Report

- o Stress reports for code items
- o Systems descriptions
- o Systems processes and instrumentation diagrams.

C.2.3 Procurement Records

- o Procurement specification
- o Contract requisitions
- o Statement of work with amendments
- o Acceptance records
- o Equipment manuals
- o Operating manuals
- o Maintenance manuals
- o Purchase order, including amendments

C.2.4 Manufacturing Records

- o Applicable code data reports
- o As-built drawings and records
- o Certificate of compliance
- o Electrical control verification test results
- o Heat treatment records
- o Liquid penetrant examination final results
- o Location of weld filler material
- o Magnetic particle examination final results
- o Major defect repair records
- o Material properties records
- o Nonconformance reports
- o Performance test procedure and results records
- o Pipe and fitting location report
- o Pressure test results (hydrostatic or pneumatic)
- o Radiograph review records
- o Ultrasonic examination final results
- o Welding procedures

C.2.5 Installation Construction Records

<u>Civil</u>

- o Receiving and storage - nonconformance reports
- o Seal installation records and test reports
- o Shaft alignment measurements
- o Check-off sheets for tendon installation
- o Concrete cylinder test reports and charts
- o Concrete and grout design mix reports
- o Concrete placement records
- o Material property reports on liner and seal

materials
- Material property reports on reinforcing steel
- Material property reports on rock bottom materials
- Rock bolt installation test reports
- Material property reports on reinforcing steel splice sleeve material
- Material property reports on steel embedments in concrete
- Material property reports on structural steel and bolting
- Material property reports on waste package material
- Pile loading test reports
- Reports on high strength bolt torque testing
- Soil compaction test reports

Welding

- Heat treatment records
- Liquid penetrant test final results
- Material property records
- Magnetic particle test final results
- Major weld repair procedures and results
- Radiograph review records
- Ultrasonic test final results
- Weld location diagrams
- Weld procedures

Mechanical

- Code data reports
- Installed lifting and handling equipment procedures, inspection, and test data
- Lubrication procedures
- Material properties records
- Pressure test results (hydrostatic or pneumatic

Electrical and I&C

- Cable separation data
- Cable splicing procedures
- Cable terminating procedures
- Certified cable test reports
- Relay test procedures
- Voltage breakdown test results on liquid insulation

General

- o As-built drawings and records
- o Final inspection reports and releases
- o Nonconformance reports
- o Specifications and drawings.

C.2.6 Preoperational Test Records

- o Automatic emergency power source transfer procedures and results
- o Final system adjustment data
- o Main and auxiliary power transformer test procedures and results
- o Off-site power source energizing procedures and test reports
- o On-site emergency power source energizing procedures and test reports
- o Power transmission substation test procedures and results
- o Preoperational test procedures and results
- o Primary and secondary auxiliary power test procedures and results

C.2.7 Operation Records

- o Records and drawings changes identifying facility design modifications made to systems and equipment described in the Final Safety Analysis Report
- o Facility radiation and contamination survey results
- o Radiation exposure records for individuals entering radiation control areas
- o Training and qualification records for current members of the plant operating staff
- o In-service inspection records
- o Records of reviews performed for changes made to procedures or equipment, or reviews of tests and experiments
- o Meeting minutes of the plant nuclear safety committee and company nuclear review board
- o Surveillance activities, inspections, and calibrations required by the technical specification records
- o Changes made to Operating Procedures
- o Records and logs of maintenance activities, inspections, repair, and replacement of principal items of structures systems, and components
- o Licensee event reports
- o Fire protection records

- Nonconformance reports
- Plant equipment operations instructions
- Security plan and procedures
- Emergency plan and procedures
- Records of activities required by the security plan and procedures
- Records of activities required by the emergency plan and procedures
- Applicable records noted in other sections of this appendix for any modifications or new construction applicable to structures systems, or components
- Evaluation of results of reportable safety concerns as required by regulations
- Annual environmental operating report
- Annual plant operating report
- Operational, shift supervisor and control room logs
- Quality Assurance and Quality Control Manuals
- Off-site environmental monitoring survey reports
- Records of transient or operational cycles for those facility components designed for a limited number of transients or cycles
- Radioactive waste receipt/shipment records

APPENDIX D

PROGRAM MICROGRAPHICS REQUIREMENTS

APPENDIX D

PROGRAM MICROGRAPHIC REQUIREMENTS

D.1.0 The criteria of this Appendix are applicable to all Program elements and represent the minimum acceptable standards for microfilming of Program records.

D.2.0 Records System Definition

The Program records system is a common, integrated set of manual and automated activities for creating and identifying, collecting and controlling, processing and organizing, distributing, microfilming, storing and preserving, retrieving, and disposing of Program documents and records.

D.3.0 Micrographic Requirements

D.3.1 General Requirements

a. All Program records will be microfilmed in accordance with the standards set forth in 36 CFR Part 1230. The storage conditions for the master silver shall adhere to the standards of 36 CFR Part 1230.20.

b. Microfiche is not an acceptable medium for Program records.

c. These requirements are applicable to Program records and record material that are capable of being microfilmed and not one-of-a-kind or special process records.

D.3.2 Film Type and Specifications

a. Film utilized for the microfilming of normal size Program records shall be of thin-based (2.5 mils thickness), dimensionally stable, strong polyester base 16 mm roll film.

b. Length of each 16 mm roll of microfilm shall be 215 feet of usable film.

c. Film stock (16 mm) used to make microfilm of permanent records for the purpose of disposal of the original document shall conform to the following:

(1) Federal Standard No. 125D and be on safety-base permanent record film as specified in ANSI PH1.25-1984, Specifications for Safety Photographic Film;

(2) ANSI PH1.28-1984, Specifications for Photographic Film for Archival Records, Silver Gelatin Type on Polyester Base;

(3) Tested in accordance with ANSI PH1.29-1971, Methods for Determining the Curl of Photographic Film;

(4) Tested in accordance with ANSI PH1.31-1973, Method of Determining the Brittleness of Photographic Film; and

(5) Procedures for testing covered in Federal Standard No.170B, Film Photographic, Black and White, which cites ANSI standards.

d. Engineering drawings and all other oversized documents shall be microfilmed on 35mm microfilm and mounted in aperture cards. The aperture card header shall be identified with the aperture card number and if applicable, the drawing number. The film type and format shall meet the requirements of 36 CFR 1230.14.

D.3.3 Microfilming

a. Maintenance and operation of microfilm equipment shall be performed in accordance with the equipment manufacturer's recommendations.

b. Documents shall be prepared for filming by sorting, taping holes, flattening, and removing fasteners such as paper clips, staples, bindings, or any other physical attachments, prior to microfilming.

c. The following attached targets shall be utilized during the microfilming process:

(1) Start of Roll Target (D1)
(2) Resolution Target (D2)
(3) Density Target (Plain Bond)
(4) Certificate of Authenticity, Intent and Purpose

Target (D3)
(5) End of Roll Target (D4)
(6) Certificate of Authenticity, End Target (D5)
(7) Cross Reference Target (D6)
(8) Correction Target (D7)
(9) Correction Complete Target (D8)

d. As a minimum, the microfilming process will produce two silver masters and one diazo working copy.

e. Oversized documents which exceed 11-1/2 inches on more than one edge and which, if reduced to 8-1/2 x 11 inches, would not be legible shall be filmed on 35mm microfilm and placed into aperture cards.

D.3.4 Processing and Testing

a. Microfilm shall be processed so that the residual thiosulfate ion concentration will not exceed 0.007 grams per meter in a clear area. Tests conducted shall meet this requirement by performing the methylene blue test specified in ANSI PH4.8-1984, Methylene Blue Method for Measuring Thiosulfate and Silver Densitimetric Method for Measuring Residual Chemicals in Films, Plate and Papers.

b. The method of determining minimum resolution on microfilms of source documents shall conform to the Quality Index Method for determining resolution and anticipated losses when duplicating as described in the ANSI/AIIM MS23-1983, Practice for Operational Procedures/Inspection and Quality Control of First Generation Silver-Gelatin Microfilm of Documents. The following additional resolution requirements are required for permanent records:

(1) A Quality Index of five is required at the third generation level;

(2) Resolution tests shall be performed using the NBS 1010a Microcopy Resolution Test Chart or equivalent, and the patterns will be read following the instructions provided with the chart; and

(3) The character used to determine the height used in the Quality Index formula shall be the smallest character used to display record information.

c. The background photographic densities on microfilms shall be appropriate to the type of documents being

filmed. Recommended background densities are as follows:

Classification	Description of Documents	Background Density
Group 1 -	High-quality printed books periodicals, and dense typing.	1.1 - 1.3
Group 2 -	Fine-line originals, letters, typed with a worn ribbon, pencil writing with a soft lead, and documents with small printing.	1.0 - 1.1
Group 3 -	Pencil drawing, faded printing, graph paper with pale, fine colored lines, and very small printing, such as footnotes.	.90 - 1.0
Group 4 -	Very weak pencil manuscripts and drawings and poorly printed, faint documents.	.80 - .90
Group 5 -	COM	1.2 - 1.5

NOTE: The procedure for density measurement is described in ANSI/AIIM MS-23-1983.

d. The following formats are mandatory standards for microforms produced by or for OCRWM:

(1) The formats described in ANSI Standard MS14.1978, Specifications for 16 and 35mm Microforms in Roll Form, shall be used for microfilming source documents on 16mm roll film. A reduction ratio of 24:1 shall be used whenever document size permits.

(2) The formats described in ANSI Standard MS14.1978, Specifications for 16 and 35mm Microforms in Roll Form, shall be used for microfilming source documents on 35mm film for aperture card applications, format 2 prescribed in MIL-STD 399A, Military Standard-Microfilm Formats, shall be mandatory.

(3) Format 3 prescribed in MIL-STD 399A shall be used for aperture cards.

D.3.5 Quality Control

After the microfilming, processing and testing activities are completed the following quality control inspections shall be performed:

a. An inspection of the hard copy documents to verify that the microfilm number is inprinted on each page, or frame-by-frame comparison between the microfilm image and the source documents filmed to ensure that all documents/pages are accounted for.

b. Faults identified, such as missed pages, blurred or cut off data, missed 2-sided media, incompleteness, etc., shall be corrected as necessary. Should refilming of documents or pages be necessary, correction and/or refilming targets shall be used as appropriate.

D.3.6 Storage

a. Dual facilities shall be used for the storage of the microfilm silver masters. One copy (archival silver) will be stored at a HQ-approved underground facility that meets the requirements of 36 CFR Part 1230.20. The second silver master shall be stored at the filming location or other approved facility that meets the requirements of ANSI/ASME NOA-1-1986 Supplement 17S-1, for dual storage and ANSI/NFPA in accordance with 232, Protection of Records.

b. The facility selected for the storage of the second silver master must provide for the same temperature and humidity requirements as those specified in 36 CFR Part 1230.20.

D.3.7 Inspection

Inspection of the master silver (archival copy) shall be conducted in accordance with the requirements of 36 CFR Part 1230.22.

APPENDIX E

REQUIREMENTS FOR
PACKAGING AND TURNOVER OF PROGRAM RECORDS

APPENDIX E

PACKAGING AND TURNOVER OF PROGRAM RECORDS

E.1.0 The criteria of this Appendix are applicable to all Program elements and represent the minimum acceptable standards for packaging and turnover of Program records.

E.2.0 Records System Definition

The Program records system is a common, integrated set of manual and automated activities for creating and identifying, collecting and controlling, processing and organizing, distributing, microfilming, storing and preserving, retrieving, and disposing of Program documents and records.

E.3.0 Requirements

Records packages shall be required for:

a. QA records;

b. When specified by written procedure or plan, as in the case of controlled documents governed by formal change control procedures; or

c. At the direction of an OCRWM Associate Director.

E.3.1 Records Package (Federal Originators)

a. Documents or record materials that are related to one topic (subject) shall be organized as a case file and be packaged together; e.g. QA audit file, contract or procurement file, engineering drawing package.

b. Records packages shall be generated in accordance with procedures, plans, or other prescriptive documents. Each procedure, task plan, activity plan, etc. shall identify document(s) resulting from the implementation of that plan or procedure that constitute(s) a QA record for incorporation into records packages.

c. Magnetic tapes that are considered a part of a records package shall be duplicated, identified, and prepared for storage in accordance with Appendix G, Storage Requirements for Machine Readable Records.

Note: Two copies of all magnetic tapes must be submitted at turnover.

E.3.2 Contractor Records Packages

a. Under the terms of a contract, interagency agreement, memorandum of understanding, or similar instrument, a collection of records and record material (not previously submitted) shall be assembled and submitted by a program participant at intervals, not to exceed annually, to the appropriate OCRWM HQ or Project Office central records facility prior to closeout of the contract or the agreement.

b. A contractor records package consists of all data first produced or specifically used in the performance of the contract.

c. In addition to technical data specified in the contract as deliverables, the contractor may, at any time during the contract performance or within 1 year after final payment, be requested to deliver technical data produced or specifically used in the performance of the contract.

d. Magnetic tapes that are considered a part of a records package shall be duplicated, identified, and prepared for storage in accordance with Appendix G, Storage Requirements for Machine Readable Records.

Note: Two copies of all magnetic tapes must be submitted at turnover.

E.3.3 Package Identification

a. Records packages shall be identified by a alphanumeric code to identify them as "records packages." The identifier shall be formatted as follows:

" _ _ _ .X.XX"

The first three spaces (_ _ _) are to be identified with one of the following codes:

"QRP" - Quality Records Package

"ARP" - Administrative Records Package

"RTP" - Non-QA Records Package

The spaces identified as .X.XX are to be the Work Breakdown Structure (WBS) number corresponding to the subject activity to which the package pertains.

b. The Quality Assurance indicator must also be assigned to the package at the time of creation, and must appear on the front of the package.

c. The records package shall contain a table of contents, listing the individual documents or records that make up the package.

d. The package identification (identifying number and QA indicator) shall be placed in the upper right-hand corner of the table of contents page.

e. For OCRWM Headquarters QA records packages, a records package identification number shall be assigned by the Records Management Contractor for control purposes.

E.3.4 Records Package Source

Organizations or individuals responsible for the creation of record packages shall be responsible for the following:

a. Ensuring that documents that are to become Program records packages (both QA and non-QA) are protected from deterioration, loss, larceny, or damage from exposure to environmental extremes prior to submittal for processing.

b. Ensuring that records packages are identified in accordance with Section E.3.3 of this Appendix.

c. Ensuring that each QA records package is authenticated and conforms with all quality assurance program requirements.

d. Ensuring that records packages conform to standards defined in Appendix B, Program Criteria for Acceptance of Source Documents for Processing and Microfilming.

e. Ensuring that records packages are transmitted to the LRC or CRF, as appropriate, following the completion of all actions related to the package.

f. Ensuring that record packages receive a final review for technical adequacy, completeness, legibility, and conformance to established standards prior to submittal for processing. The reviewer shall sign and date the table of contents page to indicate that this review was performed.

E.3.5 Corrections to Packages

Records within packages, or entire packages, requiring corrections, additions or supplemental information shall be identified with a reference to the original package identifier, and submitted as a new package. This will ensure traceability within the records system.

E.3.6 Turnover of Records Packages to the LRC or CRF

a. Records packages shall be forwarded/transmitted (using a transmittal form) to the LRC or CRF, as appropriate.

b. Upon receipt by the LRC or CRF the following review shall be performed:

1. An accountability check using the table of contents page, to verify all pages transmitted have been received.

2. A review of documents to assure that they are in compliance with the requirements of Appendix B, Program Criteria for Acceptance of Source Documents for Processing and Microfilming.

3. Resolution of discrepancies with the Records Package Source prior to continued processing.

4. An accession number shall be placed on each records package received by a CRF prior to processing into the system, if not previously accessioned by a LRC or other approved entity.

E.3.7 Turnover of an Administrative Record Package

An administrative record is a collection of documents and record material used by management in a key program decision process. An administrative record is subject to the review and approval of the Office of General Counsel. An approved administrative record shall be turned over as a package to the HQ Central Records Facility in accordance with the requirements of this appendix.

APPENDIX F

LOCAL RECORDS CENTER (LRC) REQUIREMENTS

APPENDIX F

LOCAL RECORDS CENTER REQUIREMENTS

F.1.0 The criteria of this Appendix are applicable to all Program elements and represent the minimum acceptable standards for establishment and operation of a Local Records Center.

F.2.0 Records System Definition

The Program records system is a common, integrated set of manual and automated activities for creating and identifying, collecting and controlling, processing and organizing, distributing, microfilming, storing and preserving, retrieving, and disposing of Program documents and records.

F.3.0 Requirements

F.3.1 Central Records Facility (CRF)

a. A CRF is a facility at Headquarters or Project Office(s) responsible for receiving, controlling, processing, storing, preserving, retrieving, distributing, and disposing of official Program records.

F.3.2 Local Records Center (LRC)

a. A LRC is a unit (one or more individuals) within each Program participant's organization designated to collect, protect and retrieve program record material, assign accession numbers, if designated, verify the completeness of the record material, and forward the record material to a designated CRF.

b. Participants authorized to establish and operate a LRC shall establish procedures for the collection, control, processing, storage and dissemination of records. These procedures must incorporate the applicable requirements of this document.

c. Participant procedures for the maintenance and operation of a LRC are subject to the review and approval of the OCRWM HQ or the Project Office(s), as appropriate.

d. Participants authorized to establish and operate a LRC shall ensure that records identified as QA records are protected against deterioration, loss, or damage until they are transmitted to the CRF.

e. Participants authorized to establish and operate a LRC shall transfer records and/or records packages to the specified CRF.

f. Participants authorized to establish and operate a LRC shall verify that program records are complete prior to transmittal to the specified CRF.

g. Participants authorized to establish and operate a LRC shall verify that the preparation and identification of record packages comply with the requirements of Appendix E, "Requirements for Packaging and Turnover of Program Records."

h. Participants' records that have not been previously accessioned shall be accessioned prior to transmitting to a specified CRF. (Note: The accession number format is identified in Appendix A, Program Criteria for Records Management and System Implementation.)

i. The Participant's LRC shall be the primary interface with the specified CRF for all matters relating to Program records. This includes the LRC's coordination activities necessary to resolve discrepancies identified by the specified CRF.

j. Participant LRCs submitting magnetic media shall assure compliance with the requirements for the preparation and identification of magnetic media as specified in Appendix G. Storage Requirements for Machine-Readable Records.

F.3.3 Record Retrieval

The LRC shall be responsible for retrieving Program records from the Records System.

APPENDIX G

STORAGE REQUIREMENTS FOR MACHINE READABLE RECORDS

APPENDIX G

STORAGE REQUIREMENTS FOR MACHINE-READABLE RECORDS

G.1.0 The criteria of this Appendix are applicable to all Program elements and represent the minimum acceptable standards for storage of machine readable Program records.

G.2.0 Records System Definition

The Program records system is a common, integrated set of manual and automated activities for creating and identifying, collecting and controlling, processing and organizing, distributing, microfilming, storing and preserving, retrieving, and disposing of Program documents and records.

The requirements applicable to the preparation for storage and the storage of machine readable records, such as magnetic tapes, are identified herein.

G.3.0 REQUIREMENTS FOR PREPARATION AND STORAGE

G.3.1 Preparation for Storage

Two copies, one master and one security backup, of all machine-readable files shall be prepared by the originator for storage by the CRF in accordance with the following requirements:

a. To ensure that permanently valuable information stored on magnetic tape is preserved, machine readable files shall be scheduled for storage as soon as possible after the tapes are written.

b. Machine-readable files shall be transferred to the approved central records facility as soon as they become inactive, or whenever the organization cannot provide proper care and handling of magnetic tapes to guarantee the preservation of the information they contain.

c. Magnetic tapes that are sent to the central records facility shall comply with the following requirements:

(1) Be on one-half inch 7 or 9 track tape reels;

(2) Be written in ASCII or EBCDIC, with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum word, field, block, or file), blocked no higher than 30,000 bytes per block, at 800, 1600, or 6250 bpi; and

(3) Tapes on which the data are recorded shall be new or recertified tapes which have been passed over a tape cleaner before writing and shall be rewound under controlled tension.

d. When a machine-readable file that has been designated for preservation is maintained on a direct access storage device, the file shall be written to tape in accordance with the following requirements:

(1) Be written on new or recertified one-half inch 7 or 9 track tapes; and

(2) Written in ASCII OR EBCDIC, with all extraneous control characters removed from the data (except record length indicators for variable length records, or marks designating a datum word, field, block, or file), blocked no higher than 30,000 bytes per block, at 800, 1600, or 6250 bpi.

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

(1) Completed Standard Form 277, Computer Magnetic Tape File Properties, or its equivalent;

(2) Where it has been necessary to strip data of extraneous control characters, the code book specifications defining the data elements and their values must match the new format of the data; and

(3) Any additional applicable documentation requirements in section G.3.2(h) of this Appendix.

G.3.2 **Care, Handling, and Storage Requirements**

The following standards shall be observed in centralized computer rooms as well as decentralized computer support activities:

a. Dual facilities shall be used for the storage of the machine readable records. One copy shall be stored at a HQ-approved underground facility that meets the requirements of 36 CFR Part 1234.4, and the second backup copy shall be stored at another facility that meets the requirements of ANSI/NFPA 232, Protection of Records.

NOTE: The facility selected for the storage of the second backup copy must provide for the temperature and humidity requirements specified in section G.3.2(j) of this Appendix.

b. Test and certify media no more that 6 months before using them to record information designated for permanent retention.

c. When writing tapes, verify them as error-free.

d. Annually read a 3 percent statistical sample of all reels of tape to identify any loss of data and to discover its causes. If errors are detected, attempt to eliminate them and the causes of the errors. Replace tapes with 10 or more errors and, when possible, restore lost data.

e. Ensure that information is not lost because of changing technology or deteriorating magnetic media by updating magnetic media to provide compatibility with OCRWM's hardware and software.

f. Label magnetic media externally to include:

(1) The name of the organizational unit responsible for the data;

(2) File title(s);

(3) Dates of creation and coverage;

(4) The recording density;

(5) Type of internal labels; and

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

g. Separate magnetic media containing permanent records from those containing temporary records.

h. Maintain adequate and up-to-date technical documentation with the file. Minimum documentation is defined as:

(1) Narrative description of the file(s);

(2) Physical file characteristics;

(3) Recording mode information, including the coding structure (code books);

(4) Recording system information; and

(5) A record layout that should break down the file by fields. Each field will have a name, size, starting position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric).

i. Keep a duplicate copy of the data at an off-site location for security backup.

j. Maintain the operating, storage, and test areas for computer magnetic media at the following recommended temperatures and relative humidities:

(1) Constant temperature - 60 to 72 degrees F

(2) Constant relative humidity - 40% to 50%

k. Allow only authorized personnel to enter storage libraries and computer rooms. Prohibit smoking, eating, and drinking in computer rooms, storage libraries, and rehabilitation areas, and keep them as clean as possible.

l. Prevent the loss or damage to information on the tapes by incorporating appropriate anti-static and anti-magnetic designs into the storage facilities.