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Procedure Records Management

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Office of Civilian Radioactive Waste Management

QA: QA

PROCEDURE

RECORDS MANAGEMENT

AP-17.1Q

Revision 4 ICN 5

Effective Date: 03/09/2007

Preparer:

[Redacted]

S.A. Morris

Date

Approval:

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Date

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 2 of 64

1.0 PURPOSE

This procedure describes the process for the identification, creation, maintenance, and disposition of Office of Civilian Radioactive Waste Management (OCRWM) records. This procedure also describes the process for maintaining the OCRWM records retention and disposition information. Processes for special handling of record categories and media types are addressed in Attachment 1, Special Handling Requirements for Records.

2.0 APPLICABILITY

This procedure applies to individuals who generate, receive, identify, maintain, use, or disposition OCRWM records.

3.0 OTHER DOCUMENTS NEEDED/REFERENCES

- 44 U.S.C. 3301, Definition of Records
- 10 CFR 1008, Energy: Records Maintained on Individuals (Privacy Act)
- 36 CFR 1228, Parks, Forests, and Public Property: Disposition of Federal Records
- 36 CFR 1232, Parks, Forests, and Public Property: Audiovisual Records Management
- U.S. Nuclear Regulatory Commission Regulatory Guide 3.69, *Topical Guidelines for the Licensing Support Network*
- DOE O 200.1, *Information Management Program*
- *Quality Assurance Requirements and Description*, DOE/RW-0333P
- *Augmented Quality Assurance Program (AQAP)*, DOE/RW-0565
- AP-16.1Q, *Condition Reporting and Resolution*
- AP-17.3Q, *Managing Electronic Mail Records*
- AP-SEC-001, *Identification, Protection, Distribution, and Use of Sensitive Unclassified and Classified Information*
- AP-SIII.3Q, *Submittal and Incorporation of Data to the Technical Data Management System*
- IT-PRO-0011, *Software Management*
- RM-PRO-1002, *Processing Records*
- RM-PRO-5002, *Use of Copyright-Protected Materials*
- RM-PRO-6001, *Managing Licensing Support Network Relevant Records*

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 3 of 64

- SV-BC-2009, *Processing of Employee Status Change Notification (ESCN)*
- *Records Management and Document Control Program Description and Plan*, PLN-ADS-AD-000001
- *Vital Records and Records Disaster Mitigation and Recovery Plan*, PLN-CRW-AD-000013

4.0 **RESPONSIBILITIES**

4.1 The OCRWM Director, Office of Government Services, is responsible for the preparation, change, and approval of this procedure.

4.2 The following organizations or positions are responsible for activities identified in Section 5.0 of this procedure:

- a. Bechtel SAIC Company, LLC (BSC) Office and Administrative Services (O&AS) Manager or Representative
- b. Responsible Manager
- c. Records Coordinator
- d. Record Source
- e. Responsible Individual
- f. Appropriate BSC Manager
- g. Records Processing Center (RPC) Staff
- h. Departing or Transferring Individual
- i. Records Outreach
- j. Records and Correspondence—East Coast

5.0 **PROCESS**

Acronyms and abbreviations used in this procedure are defined in Attachment 2, Acronyms and Abbreviations. Terms used in this procedure are defined in Attachment 3, Definitions.

Process Outline

	Page
5.1 IDENTIFYING RECORDS AND ESTABLISHING FILE SYSTEMS.....	5
5.2 CREATING AND RECEIVING RECORDS.....	7
5.3 MAINTAINING RECORDS	9

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 4 of 64

5.4 CORRECTING A COMPLETED RECORD..... 11

5.5 RECORDS DISPOSITION..... 12

5.6 MAINTAINING RECORDS RETENTION AND DISPOSITION INFORMATION..... 16

5.7 PROGRAM ASSESSMENT..... 17

5.8 SEPARATION CHECKOUT FORM FOR DEPARTING OR TRANSFERRING
INDIVIDUALS..... 17

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

5 of 64

5.1 IDENTIFYING RECORDS AND ESTABLISHING FILE SYSTEMS

5.1.1 Organizational File Plan Development

**BSC O&AS
Manager or
Representative**

[1] **Assist** organizations with development of their Organizational File Plans, hereafter referred to as File Plan, using Attachment 4, Organizational File Plan.

[2] **Assist** organizations with records storage space planning and selection of files equipment and supplies as needed.

[3] **Solicit** on an annual basis, at the beginning of the fiscal year, current Records Coordinator designations from Responsible Manager.

**Responsible
Manager**

[4] **Designate** annually (at the beginning of the fiscal year) **AND document** in writing (e-mail or hard copy) a Records Coordinator(s) for the organization. The number of Records Coordinators shall be determined by the organization's needs.

[5] **Update** Records Coordinator designation during the year, as necessary.

[6] **Forward** the annual or updated written designation to the BSC O&AS Manager or Representative.

[7] **Identify** official File Stations to maintain the organization's records. The number and location(s) are to be determined by the organization's needs.

[8] **Consult** with the BSC O&AS Manager or Representative for guidance regarding best practices in files storage equipment and supplies.

**BSC O&AS
Manager or
Representative**

[9] **Collect AND maintain** written designations of Records Coordinators.

[10] **Submit** to RPC annually per Section 6.0.

**Records
Coordinator**

[11] **Contact** the BSC O&AS Manager or Representative for a list of probable record series for the applicable functional area being represented, as well as applicable records retention schedules.

[12] **Enter** those record series generated and maintained by the organization in the File Plan (Attachment 4) **AND include** all records, regardless of media (e.g., videotapes, cassette tapes, photographs, electronic files such as databases and records-in-process).

[13] **Match** each record series listed on the File Plan with the record series cited in the records disposition schedule.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

6 of 64

[14] **IF** the record series is not found in the records disposition schedule,

THEN complete Attachment 5, Record Series Action (RSA), **AND enter** "U" for the unscheduled record series in Block 12 of the File Plan.

[15] **Identify** nonrecords **AND list** separately from record series on the File Plan.

[16] **Determine** whether any of the record series on the file plan are Vital Records (reference the definition in Attachment 3 for guidance in determining Vital Records).

[17] **Flag** each Vital Record by placing an asterisk at the left of the record series title (e.g., *GENTS and Verification Databases, *Automated Technical Data Tracking Database).

[18] **WHEN** completed,

THEN sign AND forward the File Plan and RSA(s) to the Responsible Manager for approval.

**Responsible
Manager**

[19] **Review** the File Plan and RSA(s) for accuracy and consistency with required recordkeeping and functional requirements.

[20] **Approve AND sign** the File Plan and RSA(s) **AND return** to Records Coordinator.

**Records
Coordinator**

[21] **Forward** the File Plan and RSA(s) to BSC O&AS Manager or Representative.

**BSC O&AS
Manager or
Representative**

[22] **Review** the File Plan(s) and RSA(s) **AND perform** the following:

a. **Ensure** records retention schedules are correctly cited and unscheduled records are so identified.

b. **Resolve** any issues with the sending organization.

c. **Prepare** draft Standard Form 115 (SF-115), Request for Records Disposition Authority, for unscheduled records. SF-115 can be obtained from the National Archives and Records Administration (NARA) website www.archives.gov.

[23] **Sign AND date** concurrence block on the File Plan **AND return** a copy to the Records Coordinator.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

7 of 64

[24] **Submit** the RSA and draft SF-115(s) to U.S. Department of Energy (DOE), OCRWM, Office of Project Support, for new (unscheduled) record series.

[25] **Retain** record copies of the File Plan and RSA.

[26] **Submit** File Plans and RSAs to RPC annually in accordance with Section 6.0.

Records
Coordinator

[27] **Receive** a copy of the approved File Plan from the BSC O&AS Manager **AND** maintain for reference.

5.1.2 Maintaining the File Plan

Responsible
Manager

[1] **Ensure** an annual review is conducted of the Organization's File Station(s) to verify the File Plan for accuracy and completeness.

Records
Coordinator

[2] **Review** annually the organization's File Station(s) **AND** develop a new revision of the File Plan following the process in Paragraph 5.1.1 **OR** inform Records Outreach if you believe no changes are needed.

[3] **Make** pen and ink changes to your reference copies of the File Plan when new record series are created or when any other changes are needed between annual revisions.

[4] **Complete** RSAs in accordance with Subsection 5.6 of this procedure for new, unscheduled, and discontinued record series.

5.2 CREATING AND RECEIVING RECORDS

5.2.1 Creating Records

Record Source

[1] **Create** a legible record.

[2] **Ensure**, for paper records, sufficient contrast between the paper and the information recorded on the paper so that a legible copy can be produced.

[3] **Create** records belonging to special categories, or residing on nonpaper media, in accordance with the additional instructions contained in Attachment 1.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

8 of 64

[4] **Include** the following information on each created record:

- The date of record, full title, subject line, or description that identifies the contents of the record
- A quality assurance (QA) designator of “QA: QA” for a QA record or “QA: N/A” for a non-QA record.

[5] **IF** information on the record must be corrected, supplemented, or made legible during the creation of the record,

THEN correct OR supplement the information in one of the following ways (additional instructions for correcting QA records may be found in Attachment 1):

Note: Handwritten notations and strikeouts that are intended as review comments to a draft document are not considered changes or corrections and do not require signature or initials and date.

- a. **Recreate** the record, correcting or adding the necessary information.
 - b. **Line** through the incorrect information (without obliterating the information) **AND**, if applicable, **insert** the correct information in close proximity.
 - c. **Transcribe OR enhance** faint characters.
 - d. **Insert** supplemental information.
 - e. **Date AND initial OR sign** in close proximity to the lined out, inserted, or enhanced information.
- [6] **Review** the record ensuring it is accurate, legible, and contains all information required or necessary to adequately document the activity.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

9 of 64

5.2.2 Receiving Records

Note: Information may be received from both external and internal sources.

Record Source

- [1] **Determine** if information received from a source outside the OCRWM program, not created by or for the project (e.g., hand carried letters, faxes, documents, presentations, meeting handouts, or other written materials), constitutes a record in accordance with the definition upon receipt of that information.
 - a. **IF** the information is a record,
THEN maintain OR disposition in accordance with Subsection 5.3 or Subsection 5.5, as applicable.
 - b. **IF** the information is **NOT** a record,
THEN discard the information **OR file** it separate from the record files.
- [2] **Determine** if information received from an internal source constitutes a record in accordance with the definition upon receipt of any information.
 - a. **IF** the information is a record,
THEN maintain OR disposition in accordance with Subsection 5.3 or Subsection 5.5, as applicable.
 - b. **IF** the information is NOT a record,
THEN discard the information **OR file** it separate from the record files.
- [3] Refer to Step 5.2.1 [4] for inclusion of QA designators.

5.3 MAINTAINING RECORDS

Record Source/Records Coordinator

- [1] **Protect** the record according to the following:
 - a. **Keep** liquids away from the record to prevent damage from spills.
 - b. **Keep** smoking materials and other heat sources away from the record to prevent scorching or burning.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

10 of 64

- c. **Keep** magnetic media away from sources of magnetic fields to prevent loss of recorded information.
 - d. **Avoid** stacking near telephones, radios, cassette or compact disk players, and loudspeaker systems.
 - e. **Survey** work areas to identify other sources of magnetic fields.
 - f. **Avoid** exposure of the record to excessive moisture, temperature, or light.
 - g. **Keep** the record in a secured area when not in use (e.g., a locked desk drawer, file cabinet, or office).
- [2] **Exercise** additional protection in accordance with Attachment 1 of this procedure for the following record categories:
- QA Records
 - Permanent or Unscheduled Records
 - Freedom of Information Act (FOIA)/Privacy Act (PA) Records
 - Sensitive Unclassified Records
 - Non-QA Long-term Records
 - Copyright Records
 - Correspondence Enclosures/Attachments
 - Licensing Support Network (LSN)-Relevant (reference definition in Attachment 3)
 - Special Record Media Types requiring special handling (such as audiovisual, electronic, or e-mail).

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

11 of 64

5.4 CORRECTING A COMPLETED RECORD

Record Source

[1] **WHEN** it has been identified that a completed record needs to be corrected before submittal to the RPC

THEN take the following steps:

a. **IF** the procedure that generates records contains a process for changing those records,

THEN use that process.

b. **IF** the procedure that generates records does not contain a process for changing those records,

THEN use the process described in Step 5.2.1 [5].

c. **IF** changes or corrections to records must be made

THEN notify the originating organization to make and approve changes or corrections.

d. **IF** an organization that was originally responsible for approving a particular record is no longer responsible,

THEN notify the new responsible organization to make and approve the appropriate changes or corrections.

e. **IF** information on a record cannot be corrected to comply with the requirements of Steps 5.2.1 [1] through [5], **AND** the information does not impact the technical meaning or content of the record or create a condition adverse to quality,

THEN provide a signed and dated statement documenting this **AND submit** it with the record.

f. **IF** the conditions in Step 5.4 [1] e cannot be met (i.e. a missing page cannot be found, a page cannot be made more legible, or any other record discrepancy cannot be made procedurally compliant,

THEN complete a Condition Report (CR) in accordance with AP-16.1, Condition Reporting and Resolution by entering it into the Condition Reporting system. **Ensure** the CR number is listed as a traceability designator in Block 3 of the Table of Contents (TOC) when submitting the record.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

12 of 64

Note: Corrections to a records package must be submitted as a supplement and require a TOC form.

[2] **IF** the record needing to be corrected has already been processed by the RPC,

THEN obtain a copy of the record, **correct** the record in accordance with Step 5.4 [1], **AND submit** the new record to the Records Coordinator.

Records
Coordinator

[3] **Submit** the corrected record to the RPC in accordance with Subsection 5.5.

5.5 RECORDS DISPOSITION

5.5.1 Records Disposition

Record Source

[1] **Compile** the records in hardcopy, compact disc, digital videodisc, or 3-1/2 inch diskette form.

[2] **Ensure** each record includes a full title per Step 5.2.1 [4].

- **IF** any record does not include a full title,

THEN place a title on the record to ensure retrievability.

[3] **Perform** the following for records packages:

- a. **Verify** the records package is complete and the records are legible and appropriate to the work accomplished.
- b. **Arrange** the records within the records package in a chronological or otherwise logical order.
- c. **Complete** Attachment 6, Records Package Table of Contents (TOC) and Continuation Page, or equivalent, using the instructions provided.
- d. **Prepare** supplemental records for a previously submitted records package by completing Attachment 6, or equivalent.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 13 of 64

- [4] **IF** the records package documents only a segment of an activity or task,
THEN verify that the records package contains all the appropriate records for the period of time stated.
- [5] **IF** including previously processed records in a new records package **OR** including a record that corrects information **AND/OR** including a record that needs to be cross-referenced,
THEN follow the instructions provided with Attachment 6.
- [6] **Prepare** electronic records submittal in accordance with disposition instructions in Attachment 1.
- [7] **Turn** over all completed records to Records Coordinator in a timely manner to enable submission of records to the RPC as specified in Step 5.5.1 [8].
- [8] **Disposition** records according to the File Plan and Attachment 1.
- QA records and Non-QA Long-Term records shall be submitted to the RPC.
 - Non-QA Short-Term records shall be maintained at the organizational File Station until dispositioned according to this procedure.
- [9] **Perform** the following for records that will be submitted to the RPC:
- a. **IF** LSN-Relevant (reference definitions or Attachment 1 for more information),
THEN submit the record to the RPC no later than 14 calendar days from the LSN-Relevant Date of the record (see Attachment 3 for definition of LSN-Relevant Date).
 - b. **IF NOT** LSN-Relevant,
THEN submit the record to the RPC within 90 calendar days or less after stamping, initialing, or signing and dating as completed unless specified in the governing procedure.
 - c. **Ensure** that records are compiled in hardcopy, compact disc, digital videodisc, or 3-1/2 inch diskette form.

Records
Coordinator

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

14 of 64

d. **IF** submitting a records package,

THEN perform the following:

- **Ensure** the records package is complete and the records are legible and appropriate to the work accomplished.
- **IF** the records package documents only a segment of an activity or task,

THEN ensure that the records package contains all the appropriate records for the period of time stated.

- **Ensure** the records are arranged within the records package in a chronological or otherwise logical order.
- **IF** any record does not include a full title,

THEN place a title on the record to ensure retrievability.

- **Ensure** Attachment 6, or equivalent, has been completed using the instructions provided.
- **Submit** the records package to the RPC by completing Attachment 7, Transmittal/Receipt Acknowledgement (TRA) and Continuation Page, or equivalent, using the instructions provided.
- **Submit** supplemental records, for a records package previously submitted to the RPC, by completing Attachment 7, or equivalent.

e. **Complete** “document preparation” by removing staples (de-stapling); repairing torn pages and frayed edges; removing paperclips; and for indexing purposes, inserting colored separator sheets or labeling the start and end of the record.

f. **Submit** individual records to the RPC using Attachment 7, or equivalent.

g. **Perform** the following for electronic records submittal:

- **Ensure** Records Source has complied with instructions in Attachment 1.
- **Submit** to the RPC by completing Attachment 7, or equivalent.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

15 of 64

[10] **Refer** to the File Plan annually to identify records eligible for destruction at the organization's File Stations.

[11] **Prepare** Attachment 8, Records Destruction Notice, **AND submit** to the Responsible Manager for review and concurrence.

Responsible Manager

[12] **Review** Records Destruction Notice.

[13] **Coordinate** any necessary changes to the Records Destruction Notice with the Records Coordinator **AND finalize** the form according to the instructions.

[14] **Return** signed form to Records Coordinator.

Records Coordinator

[15] **Forward** signed Records Destruction Notice to the BSC O&AS Manager or Representative for review and concurrence.

BSC O&AS Manager or Representative

[16] **Review** Records Destruction Notice.

[17] **Verify** that no Litigation Hold(s) or Record Freeze(s) are in effect.

[18] **IF** not approved,

THEN inform the Records Coordinator and Responsible Manager of necessary changes to the Records Destruction Notice **AND direct** them to repeat Steps 5.5.1 [11] through 5.5.1 [15] until completion of a correct and approvable Records Destruction Notice.

[19] **Complete** Blocks 12, 13, and 14 with signature and date of approval.

[20] **Forward** a copy of the approved Records Destruction Notice to the Records Coordinator.

[21] **Disposition** the Records Destruction Notice in accordance with Section 6.0.

Records Coordinator

[22] **Destroy** records in a manner appropriate to the sensitivity of the record **OR continue** maintaining in accordance with the signed Records Destruction Notice, File Plan instructions, and Attachment 1.

[23] **Recycle** disposable records as appropriate.

5.5.2 RPC Records Disposition

RPC Staff

[1] **Receive AND process** records in accordance with RM-PRO-1002.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

16 of 64

[2] **Prepare** Records Destruction Notice(s) for records in RPC that are eligible for destruction.

[3] **Forward** Records Destruction Notice(s) to Responsible Managers.

**Responsible
Manager**

[4] **Receive** Records Destruction Notice(s) from the RPC for disposable records in storage **AND process** Records Destruction Notice(s) according to Steps 5.5.1 [12] through 5.5.1 [14] of this procedure.

**BSC O&AS
Manager or
Representative**

[5] **Process** Records Destruction Notices according to Steps 5.5.1 [16] through 5.5.1 [21] of this procedure **AND forward** a copy of the final Records Destruction Notice to RPC Staff.

RPC Staff

[6] **Facilitate** records destruction of approved record series.

5.6 MAINTAINING RECORDS RETENTION AND DISPOSITION INFORMATION

**Responsible
Individual**

[1] **Identify** unscheduled record series to be added or discontinued record series to be deleted as follows:

- While developing or revising work plans and procedures

OR

- When reviewing applicable requirement and regulatory documents.

[2] **Complete** an RSA when new, unscheduled, or discontinued record series are identified **AND submit** to the applicable Records Coordinator.

**Records
Coordinator**

[3] **Perform** the following:

- a. **Verify** whether or not record series listed as unscheduled are in an approved DOE records retention schedule.
- b. **Make** corrections to any errors on the RSA, as necessary.

[4] **Submit** the RSA(s) to the Responsible Manager for review and concurrence.

**Responsible
Manager**

[5] **Process** RSA(s) according to Steps 5.1.1 [19] and [20] **AND forward** to the Records Coordinator.

**Records
Coordinator**

[6] **Forward** the RSA(s) to the BSC O&AS Manager or Representative.

OCRWM		Procedure No.:	AP-17.1Q
Type:	Administrative Procedure	Rev./ICN:	4/5
Title:	Records Management	Page:	17 of 64

**BSC O&AS
Manager or
Representative**

[7] **Process** the RSA(s) according to Steps 5.1.1 [22] through [26].

5.7 PROGRAM ASSESSMENT

**BSC O&AS
Manager or
Representative**

[1] **Conduct** periodic records management program assessments of all organizations to ensure that elements such as effectiveness of organization's implementation, effective records training, adequate records management awareness, proper records maintenance and disposition practices, and specific organization implementation are addressed.

**Responsible
Manager**

[2] **Participate** in program assessments as requested.

**5.8 SEPARATION CHECKOUT FORM FOR DEPARTING OR
TRANSFERRING INDIVIDUALS**

Note: Records Outreach (or, for East Coast individuals, Records and Correspondence–East Coast) will not sign off a departing or transferring individual's Employee Status Change Notification (ESCN) until the Separation Checkout form or a copy thereof has been received. ESCNs are created and processed in accordance with SV-BC-2009.

**Responsible
Manager**

[1] **Ensure** that Attachment 10, Separation Checkout Form, is initiated as soon as you know an individual will be leaving.

**Departing or
Transferring
Individual**

[2] **Complete** Section I and II of the form, **print** your name, **sign**, **AND date**.

[3] **IF** possible and applicable,

THEN ask your Records Coordinator to take physical custody of your records and/or documents on litigation holds.

**Records
Coordinator**

[4] **IF** assuming physical custody of the individual's records and/or documents on litigation holds,

THEN initial AND date the appropriate block in Section II.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 18 of 64

Note: If the "No" box is checked regarding physical transfer to Records Coordinator, this indicates that there are or may be records of documents on litigation holds that remain but have not been transferred to the Records Coordinator; it is a flag for the Responsible Manager or Designee to take special care during the exit interview and walk-through.

**Responsible
Manager (or
Designee)**

[5] **Perform** the exit interview and walk-through indicated by Section III of the form.

[6] **IF** departing or transferring individual is already gone or is unavailable,

THEN complete Sections I and II of the form for the individual, printing departing individual's name in the appropriate block, answering questions as fully as possible and signing "FOR" that individual in the signature block.

Note: If the departing or transferring individual is already gone or is unavailable, and an exit interview is impossible, it is acceptable to enter "N/A" on the signature and date lines for the exit interview statement in Section III of the form. It is NOT acceptable, however, to enter "N/A" for the walk-through statement.

[7] **Complete** Section III of the form.

**Responsible
Manager**

[8] **Complete** Section IV of the form, certifying that all completed and in-process records and all potentially LSN-Relevant documents generated by the departing individual have been accounted for.

**Departing or
Transferring
Individual,
Responsible
Manager (or
Designee)**

[9] **IF** the departing or transferring individual is on the east coast,

THEN submit an information copy of the Separation Checkout form to Records and Correspondence–East Coast **AND submit** the original to Records Outreach.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 19 of 64

Note: When sending the Separation Checkout form to Records Outreach, the ideal practice is to send it immediately by facsimile or e-mailed scan, then to send the original by mail.

[10] **Submit** the Separation Checkout form to Records Outreach (under O&AS/Records Control in the project contact directory).

**Records Outreach
or Records and
Correspondence—
East Coast**

[11] **IF** a complete Separation Checkout form (or a copy thereof) for a departing or transferring individual has been received **AND** that individual's records, if any, have been accounted for,

THEN sign off the records portion of the individual's ESCN.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

20 of 64

6.0 RECORDS

Records listed in Subsections 6.1 and 6.2 shall be collected and submitted to the RPC in accordance with this procedure. Records shall be submitted as individual records or included in a records package, as specified. The records listed in Subsection 6.3 shall be maintained and dispositioned by the Records Coordinator per the requirements of AP-17.1Q.

6.1 QA RECORDS

Submit as part of a Records Package that is submitted under your governing procedure:

Special Instruction Sheet (required when including a non-scannable QA record) (as applicable)

Individual Records:

Special Instruction Sheet (required when including a non-scannable QA individual record) (as applicable)

6.2 NON-QA LONG-TERM RECORDS

Submit as part of a Records Package that is submitted under your governing procedure:

Records Package TOC and Continuation Page (required when transmitting QA and non-QA records packages to the RPC) (as applicable)

Special Instruction Sheet (required when including a non-scannable non-QA record) (as applicable)

Individual Records:

Special Instruction Sheet (required when submitting a non-scannable non-QA individual record) (as applicable)

Designation of Records Coordinator

Records Destruction Notice

Program Assessments

Separation Checkout form, with any applicable justifications or explanations attached

Organizational File Plan

RSA

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.:

AP-17.1Q

Rev./ICN:

4/5

Page:

21 of 64

6.3 NON-QA SHORT-TERM RECORDS (THREE YEARS OR LESS RETENTION)

TRA

7.0 ATTACHMENTS

Forms attached to this procedure are controlled and distributed as full-size pages separate from this procedure and may be copied for use when implementing this procedure. The change history for this procedure is included as the last attachment.

- 1 Special Handling Requirements for Records
- 2 Acronyms and Abbreviations
- 3 Definitions
- 4 Organizational File Plan (Form A171-7)
- 5 Record Series Action (RSA) (Form A171-8)
- 6 Records Package Table of Contents (TOC) and Continuation Page (Form A171-3)
- 7 Transmittal/Receipt Acknowledgement (TRA) and Continuation Page (Form A171-2)
- 8 Records Destruction Notice (Form A171-9)
- 9 Special Instruction Sheet (Form A171-1)
- 10 Separation Checkout Form (Form A171-10)
- 11 Change History

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 22 of 64

Attachment 1

Special Handling Requirements for Records

A. RECORD CATEGORIES REQUIRING SPECIAL HANDLING

1. Quality Assurance Records

a) **Creation: In addition to Subsection 5.2 of this procedure, ensure:**

- 1) The QA record is legible, accurate, complete, appropriate to the work accomplished, and identifiable to the item(s) or activity(s) to which it applies, [e.g., records supporting data should reference the Data Tracking Number and Software Tracking Number].
- 2) The QA record is being created in accordance with the applicable procedure.
- 3) Records shall be considered QA records when stamped, initialed, or signed and dated as complete. If the nature of the record (such as magnetic or optical media) precludes stamping, initialing, or signing, then other means of identifying the record as complete by authorized personnel are permitted.

b) **Maintenance and Use:**

- 1) During processing, review, or use of a QA record, and prior to submitting the record to the RPC, protect the QA record as identified in this attachment. Provide storage by one of the methods as defined in Attachment 3, Definitions, Temporary Storage of QA Records.
- 2) Approved filing methods shall require QA records to be firmly attached in binders, or placed in folders or envelopes for storage in steel file cabinets or on shelving in containers appropriate for the QA record medium being stored.
- 3) Provide adequate protection of special processed QA records (such as radiographs, photographs, negatives, and electronic media) to preclude damage from moisture, temperature, excessive light, electromagnetic fields, or stacking in accordance with instructions in B, RECORD MEDIA TYPES REQUIRING SPECIAL HANDLING, of this attachment.
- 4) Lock the storage cabinet and/or storage area when it is unattended to guard against unauthorized access.
- 5) Maintain and post a list of personnel who have access to QA records in the organizational File Stations and RPC. Escort personnel, whose names do not appear on the list, while they are in the storage cabinets and/or viewing the official copy of the record.
- 6) Ensure that supplemental information is filed with or attached to the record(s) to which it relates.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 23 of 64

Attachment 1

Special Handling Requirements for Records (Continued)

- 7) Corrections to QA records, including documents that will become QA records, shall include, in close proximity to the correction, the initials or signature of the person authorized to make the correction and the date the correction was made.
 - a. If the procedure that generates records contains a process for changing those records, use that process.
 - b. If the procedure that generates records does not contain a process for changing those records, use the process described in Step 5.2.1 [5].
- 8) Approval of changes and corrections to QA records must be made by the originating organization. If an organization that was originally responsible for approving a particular document is no longer responsible, the new responsible organization shall be identified.

c) Disposition:

- 1) Since most QA records are LSN-Relevant (there are exceptions including Delegations of Authority, Records Package TOC, Administrative-only forms, Training and Course materials, and Verifications of Education and Employment), determine what is relevant and submit it to the RPC within 14 calendar days of the LSN-Relevant Date of the record. The LSN-Relevant deadline overrides the normal 90 calendar days for QA records.
- 2) The calendar date requirement includes any post-work or closure activity required to prepare the records package for submittal (e.g., check for completeness, document preparation, TOC and/or records transmittal preparation).
- 3) All QA records packages taking a year or longer to complete may be submitted in annual (or if necessary, more frequent) supplements. For supplements, deadlines are calculated from the time the annual (or shorter) supplement is signed and dated as complete.

2. Permanent or Unscheduled Records

a) Maintenance and Use: (In addition to Subsection 5.2 of this procedure)

- 1) Ensure Permanent or Unscheduled Records are properly identified on the File Plan.
- 2) Maintain Permanent or Unscheduled Records separate from Temporary Records.
- 3) Maintain Permanent or Unscheduled textual Records in hard copy.
- 4) For maintenance of Permanent or Unscheduled audiovisual records and electronic records, see B, RECORD MEDIA TYPES REQUIRING SPECIAL HANDLING, of this attachment.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 24 of 64
Attachment 1

Special Handling Requirements for Records (Continued)

b) Disposition:

- 1) Maintain unscheduled records until they are properly scheduled on a NARA approved retention schedule. Unscheduled records may not be destroyed.
- 2) Records scheduled as Permanent shall be submitted to the RPC in accordance with Subsection 5.5 and ultimately transferred to the National Archives in accordance with File Plan instructions.

3. Freedom of Information Act/Privacy Act Records

Maintenance and Use: (In addition to Subsection 5.3 of this procedure)

- 1) Refer all FOIA/PA requests to the FOIA/PA Officer.
- 2) Ensure that all reasonable precautions are taken to protect FOIA/PA records until their transfer to RPC. Keep them under lock and key or protective cover; hand-carry to RPC whenever possible.
- 3) The FOIA/PA Officer:
 - Oversees processing of all FOIA requests and PA records requests received by the Program.
 - Ensures that the identified records systems contain only the information on an individual that is relevant and necessary to accomplish the work of the government, and that such information is obtained only from the individual, is accurate, and does include the appropriate PA System of Records Notice.
 - Ensures that safeguards exist to protect PA information from unwarranted disclosure.

4. Sensitive Unclassified Records

a) Maintenance and Use:

Reference AP-SEC-001 for instructions on handling and properly marking sensitive unclassified information. Ensure that Sensitive Unclassified records are protected until their transfer to RPC. Keep them under lock and key or protective cover; hand-carry to RPC whenever possible.

b) Disposition:

Reference AP-SEC-001 for instructions on destroying sensitive unclassified information.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 25 of 64

Attachment 1

Special Handling Requirements for Records (Continued)

5. Non-QA Long-Term Records

Disposition:

Note: For records packages that are not LSN-Relevant, the 90 calendar day date for submittal is calculated beginning with the date of the latest stamped, initialed, or signed and dated record in the package, excluding the TOC and transmittal.

Records Coordinator submits to the RPC in accordance with Step 5.5.1 [9] of this procedure:

- 1) Submit all LSN-Relevant Non-QA Long-Term Records to the RPC within 14 calendar days of the LSN-Relevant Date.
- 2) Submit all other Non-QA Long-Term Records (individual or records packages) to the RPC within 90 calendar days or less after stamping, initialing, or signing and dating as completed unless specified in the governing procedure.
- 3) The 90 calendar day submittal requirements include any post-work activity required to prepare the records package for submittal (e.g., check for completeness, document preparation, TOC, and/or records transmittal preparation).
- 4) All Non-QA Long-Term records packages that are not LSN-Relevant taking a year or longer to generate should be submitted in annual supplements (or, more frequently if necessary,) in accordance with the applicable 90 calendar day date after the end of the Fiscal Year.

6. Copyright Records

a) Creation:

When including copyrighted material in the creation of a record, BSC employees and subcontractors, the national laboratories, and the U.S. Geological Survey (USGS) shall do so in accordance with RM-PRO-5002. OCRWM personnel shall refer to their Business Process Management System (BPMS) database, which contains a process description for "Use of Copyright-Protected Materials."

b) Maintenance and Use:

Manage copyright records in accordance with RM-PRO-5002 or, for OCRWM personnel, BPMS.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 26 of 64
Attachment 1

Special Handling Requirements for Records (Continued)

c) Disposition:

Dispose of copyright records in accordance with RM-PRO-5002 or, for OCRWM personnel, BPMS.

7. Correspondence Enclosures/Attachments

a) Submittal of Correspondence Enclosures/Attachments as Individual Records

If the correspondence enclosure/attachment meets all the requirements of a completed record, list it as a separate line item on the TRA form, cross-reference the enclosure/attachment to the appropriate correspondence, and submit to the RPC.

b) Submittal of Correspondence Enclosures/Attachments as Records within a Records Package

If the correspondence enclosure/attachment is being transmitted as a component of a records package, then list it as a separate line item on the records package TOC form, cross-reference the enclosure/attachment to the appropriate correspondence, and submit to the RPC.

8. LSN-Relevant Records

a) Maintenance, Use, and Disposition

Submit LSN-Relevant records to the RPC within 14 calendar days of the LSN-Relevant Date of the record.

Note: Prior to submittal of the license application, the LSN certification process requires that all LSN records be current when the certification occurs. Records sources should therefore practice timely records submittal to support LSN certification and the requirement for ensuring records currency.

B. RECORD MEDIA TYPES REQUIRING SPECIAL HANDLING

1. Audiovisual Records

a) Maintenance and Use:

- 1) Contact BSC O&AS Manager or Representative for guidance in conforming to 36 CFR Chapter XII, Subchapter B, Part 1232 for the maintenance of audiovisual records.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 27 of 64

Attachment 1

Special Handling Requirements for Records (Continued)

- 2) Ensure audiovisual records are stored in facilities that are secure from unauthorized access and safe from fire, water, flood, chemical or gas damage, extreme variables in temperature and humidity, and other harmful conditions, such as insects and vermin.
- 3) Ensure continuous custody of permanent or unscheduled audiovisual records.
- 4) Make loans of audiovisual records outside of OCRWM only if a record copy is maintained in the OCRWM custody at all times.
- 5) Ensure steps are taken to prevent accidental or deliberate alteration or erasure of audiovisual records.

b) Disposition:

- 1) Ensure that audiovisual records are appropriately scheduled on the records retention schedule, listed on the Organizational File plan, and properly dispositioned.
- 2) Maintain disposable audiovisual records separate from permanent records.

2. Electronic Records

a) Maintenance and Use:

- 1) Maintain adequate, up-to-date technical documentation for each electronic information system that produces, uses, or stores data files. Documentation may include entity relationship diagrams, database schema, system catalogs, data dictionaries, or any other applicable development documentation.
- 2) Provide an appropriate level of security to ensure integrity of the documents in accordance with AP-SEC-001.
- 3) Facilitate distinction between record and nonrecord material.
- 4) Consider the following factors before selecting a storage medium or converting/migrating from one medium to another for the maintenance of electronic records:
 - The authorized life of the records, as determined during the scheduling process.
 - Maintenance necessary to retain and protect the records.
 - The cost of storing and retrieving the records.
 - The record's density (e.g., file volume, size, amount of space taken up on disk, or other media).

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 28 of 64
Attachment 1

Special Handling Requirements for Records (Continued)

- The access time to retrieve stored records.
- The portability of the medium (that is, selecting a medium that will run on equipment offered by multiple manufacturers) and the ability to transfer the information from one medium to another (such as from optical disk to magnetic tape).
- That records retention and disposition requirements are incorporated into the system's design.

b) Disposition:

Submitting electronic records to the RPC:

- Ensure that electronic records submitted to the RPC are decrypted, as applicable.
- When submitting electronic records to the RPC, excluding e-mail messages, provide two copies on compact disc, digital videodisc, DuraByte Linear Tape (DLT), or 3-1/2 inch diskette (one will be a working copy, one a pristine archive copy). Electronic media submitted to the RPC may not contain software executable files or software applications.
- A file directory listing all files contained on the electronic media must be provided.
- Provide the following information on the media itself and in paper form when submitting electronic records. This information may be provided on Attachment 9, Special Instruction Sheet, or may be provided separately.
 - Indicate: a date or date range, title or description that identifies the contents of the record, and author name and/or author organization.
 - Validation of complete file transfer must be documented and provided with the electronic record submittal (this may appear on the paper only and not on the media).
 - QA designator of "QA: QA" for a QA record, and "QA: N/A" for a non-QA record.
 - If applicable, provide information to identify the record with its associated item or activity (e.g., records supporting data should reference the Data Tracking Number or the Software Tracking Number).
 - Name of software required to play back, import, export, recompile, or preserve the record. Software must be a current project standard or, in the case of BSC QA-designated software, must be controlled in accordance with IT-PRO-0011 (name of software may appear on the paper only and not on the media).

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 29 of 64

Attachment 1

Special Handling Requirements for Records (Continued)

- When submitting data, verify with Technical Data Management (TDM) whether or not data requires TDM capture.
 - For data not requiring TDM capture, create a Special Instruction Sheet and submit the Special Instruction Sheet and data to the RPC.
 - For data requiring TDM capture, ensure that data is in the TDM System in accordance with AP-SIII.3Q. Create a Special Instruction Sheet, and submit the Special Instruction Sheet and two archive copies of the data to the RPC.
- Provide the following information on an external label:
 - Title, description, or narrative of the information submitted
 - Beginning and ending date of the information on the disk
 - Creation date of the disk, name of person(s) and/or organization(s) that generated the information
 - QA designator of “QA: QA” for a QA record and “QA: N/A” for a non-QA record.

3. Electronic Mail Records

The Lotus Notes electronic mail system is an official OCRWM project record keeping system. Create, maintain, use, and disposition electronic mail records in accordance with AP-17.3Q.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 30 of 64

Attachment 2

Acronyms and Abbreviations

BPMS	Business Process Management System
BSC	Bechtel SAIC Company, LLC
DLT	DuraByte Linear Tape
DOE	U.S. Department of Energy
DTN	data tracking number
ESCN	Employee Status Change Notification
FOIA	Freedom of Information Act
LSN	Licensing Support Network
NARA	National Archives and Records Administration
O&AS	Office and Administrative Services
OCRWM	Office of Civilian Radioactive Waste Management
PA	Privacy Act
QA	quality assurance
RSA	Record Series Action
RPC	Records Processing Center
TDIF	Technical Data Information Form
TDM	Technical Data Management
TOC	Table of Contents
TRA	Transmittal/Receipt Acknowledgement
UCNI	Unclassified Controlled Nuclear Information
USGS	U.S. Geological Survey

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 31 of 64

Attachment 3

Definitions

Accession Number—A unique identifier assigned to each record or group of records received by the RPC. The format for the accession number is AAA.YYYYMMDD.XXXX, where AAA represents the RPC location that assigned the number; YYYYMMDD is the year, month, and day the accession number was assigned; and XXXX is a sequential number reset to 0001 at the beginning of each day.

Annual and Annually—For the purposes of this procedure, all references to develop, inventory, inspect, review, produce, or sample on an annual basis shall be understood as the beginning of each Fiscal Year, unless otherwise specified by the organization (e.g., Calendar Year).

Audiovisual Records—Records in pictorial or aural form that include still and motion media, sound recordings, graphic works, mixed media, and related finding aids and production files.

Business Process Management System (BPMS)—A web-based repository available on the OCRWM Gateway that enables OCRWM personnel to go to one location to gain an understanding of a particular business function. This system also identifies the procedures and processes necessary to execute associated requirements, while reducing the dependency on undocumented institutional knowledge of business functions without adding unnecessary procedures.

Cross-Referencing—Relating a record to one or more records within the records system. This relationship is communicated to the RPC in accordance with the Records Package TOC and Continuation Page or the TRA and is reflected in the bibliographic header information in the records system.

Data Tracking Number—A unique identifier assigned by a Data Coordinator to each data item tracked in the Automated Technical Data Tracking database.

Disposition—Those actions taken regarding records no longer needed for the conduct of the regular current business of the agency. Records disposition is any activity with respect to 1) disposal of temporary records no longer needed to conduct business, 2) transfer of records to a storage facility or records center, 3) transfer to NARA of records valued as permanent, or 4) transfer of records from one federal agency to another federal agency.

File Plan—A plan designating the physical location(s) at which an organization's records are to be maintained, the specific types of files, and the organizational element having custody. The File Plan contains the identifying number, the title or description, and the disposition authority of the files.

File Station(s)—Designated area(s) where files are accumulated from organizational units and maintained and managed prior to submittal to the RPC or being dispositioned; also referred to as a temporary storage area for quality assurance (QA) records.

Freedom of Information Act (FOIA)—Law enacted to ensure information in federal agencies is made available to the public.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 32 of 64

Attachment 3

Definitions (Continued)

Licensing Support Network (LSN)-Relevant Date—The date when a record is determined to be LSN-Relevant. For a relevant record within a records package, this is the date when the activity documented by the records package is determined to be complete, typically the date of the last record in the package. For a relevant record, not part of a records package, the LSN-Relevant Date is equivalent to the date the record is considered complete.

Licensing Support Network (LSN)-Relevant Record—Any record, regardless of form, that falls into one of the following three classes:

- Class 1: The record contains information that DOE intends to cite or rely on in the Yucca Mountain repository license application or in support of its positions in the license proceedings.
- Class 2: The record contains information that is adverse to, contradictory of, or inconsistent with the information in the first class.
- Class 3: The record is a report or study prepared by or for DOE that is relevant to both the license application and the issues in the Topical Guidelines in the U.S. Nuclear Regulatory Commission's Regulatory Guide 3.69 (including "circulated drafts" of such reports and studies).

Long-Term Record—Records having a retention period of more than three years (see records retention schedule).

National Archives and Records Administration (NARA)—An independent federal agency that establishes policies and procedures for managing records of the federal government and exercises final authority for approving the disposition of government records.

Nonrecord Material—All informational materials excluded from the legal definition of records (44 U.S.C. 3301), either by failing to meet the general conditions of record status or by falling under one of three specific categories: 1) extra copies of documents preserved only for convenience of reference; 2) stocks of publications, blank forms, and processed documents; or 3) library and museum material preserved solely for reference or exhibition purposes.

Permanent Records—Any federal record that has been determined by NARA to have sufficient value to warrant continued preservation in NARA beyond the time they are needed for administrative, legal, or fiscal purposes. Sometimes called archival records.

Privacy Act (PA) Records—Any item, collection, or grouping of information about an individual that is maintained by or for the DOE including, but not limited to, education, financial transactions, medical history, and criminal or employment history, and that contains that individual's name, or other identifying number, symbol, or other identifying particulars assigned to the individual, such as a finger or voice print or photograph.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 33 of 64

Attachment 3

Definitions (Continued)

Privacy Act (PA) System of Records—A group of PA Records under DOE control from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particulars assigned to the individual. These records are to be maintained in a locked cabinet. Access is available under those circumstances cited in the Routine Use section of the appropriate System of Record.

The Office of Repository Development FOIA/PA Officer should be contacted regarding the identification of PA records and for the preparation of a PA Notice on those forms used to collect information from an individual. Release of PA information to an individual or a third party is the responsibility of the FOIA/PA Officer.

Quality Assurance (QA) Record—A completed document(s) (includes records packages as prescribed in applicable procedures or procurement documents, or other medium) that furnishes evidence of the quality of items and/or activities important to safety or important to waste isolation. QA records may be originals or copies.

Record Series—File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function; result from the same activity; document a specific kind of transaction; take a particular physical form; or have some other common relationship arising out of the creation, receipt, or use, such as restrictions on access and use. Record series are identified in the NARA approved records retention schedules and are derived out of Yucca Mountain Project procedures, applicable source requirements, and through organizational file planning. Also called a file series.

Record Source—An individual or organization authorized (e.g., by procedure, delegation, responsibilities of position, or statement of work) to create, approve, or correct a record.

Records—All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under federal law or in connection with the transaction of public business and preserved or 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 in them (Definition of Records, 44 U.S.C. 3301). Records may be originals or copies but not extra copies.

Records Coordinator—Individual who is designated to serve as the resource person for their respective organization on records creation, use, maintenance, retention, storage, and disposition, to include submittals to the RPC.

Records Disposition Schedule—A collection of schedules based on NARA-approved disposition authorities and issued by the DOE that cover all OCRWM records. This document (or database) provides mandatory instructions for the retention and disposition of OCRWM records.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 34 of 64

Attachment 3

Definitions (Continued)

Records Package—A collection of records supporting one topic or subject. Examples are records 1) supporting a QA audit, 2) supporting a single procurement, 3) created in the development of a technical product, or 4) supporting a scientific study.

Records Processing Center (RPC)—An organization within, or under the technical direction of, BSC responsible for receiving, screening, accessioning, processing, storing, protecting, preserving, retrieving, and carrying out the disposition of records and records packages. The RPC includes functions located in Las Vegas, NV (RPC West); the Yucca Mountain Site Operations (RPC West satellite); and Washington, D.C. (RPC East).

Responsible Individual—Personnel assigned to the OCRWM program, whether employed by BSC, a subcontractor, a national laboratory, or USGS. The person who, through developing or revising work plans or procedures, or reviewing applicable requirements, identifies unscheduled record series to be added to, or discontinued record series to be deleted from, an organizational File Plan.

Responsible Manager—An individual having management authority and responsibility for a BSC, a subcontractor, a national laboratory, or a USGS organization supporting the OCRWM program. For the purposes of this procedure, Responsible Manager is the person who establishes the organizational File Station(s), assigns Records Coordinators, approves the organizational File Plan, reviews and approves records destruction notices for the organization, and participates in O&AS assessments of the records management program.

Sensitive Unclassified Information—Information for which disclosure, loss, misuse, alteration, or destruction could adversely affect national security or government interests. National security interests are those unclassified matters that relate to the national defense or foreign relations of the U.S. Government. Governmental interests are those related, but not limited to, the wide range of government or government-derived economic, human, financial, industrial, agriculture, technological, and law enforcement information, as well as the privacy or confidentiality of personal or commercial propriety information provided to the U.S. Government by its citizens. Categories of sensitive unclassified information include Official Use Only, Unclassified Controlled Nuclear Information (UCNI), and Safeguards Information.

Note: OCRWM is not an authorized UCNI facility. It cannot designate information it creates as UCNI. If it receives UCNI, it must handle it accordingly (AP-SEC-001).

Short-Term Records—Those records with a retention period of three years or less (see records retention schedule).

Software—Computer programs, procedures, rules, and associated documentation pertaining to the operation of a computer system.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 35 of 64

Attachment 3

Definitions (Continued)

Supplement a Records Package—The process of adding records to a previously processed records package. The term “supplement” in this procedure refers exclusively to records packages as a unit and not to the records that comprise the records package or to individual records. For example, a previously processed training records package may be supplemented each year with additional training records for an individual.

Temporary Records—Records approved by NARA for disposal, either immediately or after a specified retention period.

Temporary Storage of QA Records—Storage of QA records during processing, review, or use until submitted to the RPC per instructions provided in Attachment 1. Temporary storage is a container or facility that is certified by a person competent in fire protection or that bears an Underwriters Laboratories label (or the equivalent) certifying one-hour fire protection.

Transferring Individual—An OCRWM employee who is assigned a different scope of work and transfers from one OCRWM organization and manager to another or is reassigned to another manager and will leave current responsibilities with the original organization/manager.

Unscheduled Records—Any record that has not been appraised by NARA (i.e., a record that has neither been approved for disposal nor designated as permanent by the Archivist of the United States). These records must be retained until an official retention period is established by a disposition schedule approved by the head of NARA, the Archivist of the United States.

Vital Records—Essential records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of OCRWM, of organizations under OCRWM, and of those affected by activities (legal and financial rights records) (36 CFR 1236.14). Use caution in designating records as vital; generally, from one to seven percent of an organization's records are vital records. If more information on this subject is desired, see PLN-CRW-AD-000013.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 37 of 64
Attachment 4

Organizational File Plan Instructions

Print or type the following information.

Preparer

1. QA: N/A, Page ___ of ___: Enter appropriate page number(s).
2. For: Enter the name of the Organization identified in the File Plan.
3. Records Coordinator: Enter name of Records Coordinator. Records Coordinator sign and enter date upon completion of the File Plan.
4. Approved by Responsible Manager (Print/Sign/Date): Enter name of Responsible Manager. Upon the approval of the File Plan, the Responsible Manager must sign and date.
5. Concurred by O&AS Manager (Print/Sign/Date): BSC Manager O&AS or Representative concur upon completion and approval by the Responsible Manager.
6. Organizational Unit: Enter the name of the upper level Organization and any working units covered by the File Plan.
7. File Station(s): Enter the location of the File Station(s) that will maintain the records documented in the File Plan. If records are maintained in the Records Processing Center, enter "RPC."
8. Records Retention Code: For O&AS Internal Use Only.
9. Record Series Title: Enter the name of the record series as cited in the records retention schedule, or the source requirement of the record.
10. QA: QA or QA: N/A: Enter QA designator as follows: For QA records, enter QA: QA. For non-QA records, enter QA: N/A. For non-QA short-term records, enter QA: N/A Short Term. For non-records, enter simply N/A.
11. Maintenance Instructions/Access Controls: Enter the maintenance instructions, and/or access controls or other restrictions, for each record series on the File Plan. Instructions are derived from Subsection 5.3 and Attachment 1.
12. Disposition Authority and Instructions: Enter the disposition authority and instructions as cited in records retention schedule. If the record series cannot be located in the records retention schedule, enter "U" to denote an unscheduled record.
13. Procedure or Source Requirement: Enter the OCRWM procedure document number or source requirement that specifies each record series in the File Plan. If source requirement for this record cannot be located/identified, enter business reason for creating this record.
14. Place asterisk at left of any record series title that identifies a Vital Record.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 39 of 64

Attachment 5

RSA Instructions

Purpose: The Record Series Action form is used to identify new record series being created, to identify those record series that are no longer being created, and to identify unscheduled records. Throughout the life of any program, there will be occasions when new or different information is gathered to document the process. In addition, there will be times when documentation will no longer be necessary.

Print or type the following entries.

Preparer

1. QA: N/A, Page ___ of ___: Enter appropriate page number(s).
2. Add/Delete: Enter "Add" for a new record series being added to the process. Enter "Delete" for an existing record series no longer applicable to the process.
3. Disposition Authority: Cite disposition authorities from approved DOE Records Disposition Schedules. Enter "u" if a record is unscheduled.
4. Record Series Title: Enter the name of the new record series being added or the title of the record series being deleted. Enter the record title as it appears, in the records disposition schedule.
5. Record Series Description: Enter the series description as it appears, in records disposition schedule and Organizational File Plan.
6. QA Designation: Indicate the QA designation as follows: For QA records enter QA: QA. For non-QA records, enter QA: N/A.
7. Source: Enter the source requirement for the action. Indicate if the added, or deleted, record is required by procedure, regulation, DOE Order, or other requirement. Include the citation or identifier of the requirement. If source requirement for this record cannot be located/identified, enter business reason for creating this record.
8. Requestor/Requestor Organization: Enter the name of the person requesting the action and their organization.
9. Responsible Manager Concurrence: Manager print name, sign, and date to concur.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 40 of 64
Attachment 6

Records Package Table of Contents (TOC)

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT RECORDS PACKAGE TABLE OF CONTENTS (TOC)							1. QA: N/A
2. Date:		3. Package Supplement: <input type="checkbox"/> Yes <input type="checkbox"/> No Package TOC Accession No.: _____			4. Traceability Designator(s):		5. Total Page Count:
6. Title/Description of Records Package:					7. LSN-RELEVANT DATE:		
8. No.	9. Document No.	10. Record Date	11. Title/Subject/Description of Records	12. Record Author(s) (if available)	13. LSN Designation (REL/NON)	14. Pages	
EXAMPLE							
15. Subtotal Page Count							

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 41 of 64
Attachment 6

Records Package Table of Contents (TOC) (Continued)

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT						
RECORDS PACKAGE TABLE OF CONTENTS						1. QA: N/A
(TOC)						Page 2 of
8. No.	9. Document No.	10. Record Date	11. Title/Subject/Description of Records	12. Record Author(s) (if available)	13. LSN Designation (REL/NON)	14. Pages
EXAMPLE						
15. Subtotal Page Count						

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 42 of 64

Attachment 6

Records Package TOC Instructions

Note: For indexing purposes, the RPC will take the records information from the record itself. If applicable information is **not** available on the record, the RPC will take information contained on the TRA or TOC to complete key information fields (e.g., date, author).

Note: Listing the TOC itself in Block 11 is no longer necessary. The TOC is considered an administrative document and is preprinted with the QA designator of N/A.

Record Source

1. Enter the total number of TOC pages.
2. Date: Enter the date the TOC is completed.
3. Package Supplement: If the records listed in Block 6 supplement a previously processed records package, check "Yes." If the records listed in Block 6 comprise a new records package, check "No."

Package TOC Accession No.: If the preceding "Yes" box is checked, enter the accession number assigned to the TOC of the records package being supplemented. Otherwise, leave the space blank.

4. Traceability Designator(s): Enter number(s) or code(s) that aid in identifying this records package with other activities or items (e.g., Data Tracking Numbers supported by this records package, serial number[s], model number[s], if applicable). Include information not normally recorded by the RPC. The traceability designator number(s) or code(s) will only be entered by the RPC for the TOC, not for every record.
5. Total Page Count: Enter the page count that represents the total of all records, including the TOC.
6. Title/Description of Records Package: Enter a title or description that clearly represents the records package. Avoid using acronyms. Number(s) (e.g., data tracking numbers [DTNs] or Technical Data Information Form [TDIF] numbers) without the subject description of the document are not recommended because they are not sufficient for effective retrieval of the records package.

If the package is a supplement, enter the same title/description as on the original TOC.
7. LSN-Relevant Date: Enter the date when the activity documented by the records package is determined to be complete (typically, the date of the last record of the package). (See Attachment 3 for the definition of LSN-Relevant Date for more details.)
8. Number: Beginning with number 1, which is listed, enter a sequential number for each record title being listed on the TOC (i.e., 1, 2, 3, 4 etc.).
9. Document Number: Enter the unique document identifier assigned to the record or enter N/A if there is no document identifier for this record.
10. Record Date: Enter the date the record was completed, signed, or approved.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 43 of 64

Attachment 6

Records Package TOC Instructions (Continued)

11. Title/Subject/Description of Records: Enter the title as it appears on the record itself. A full record title is required per Step 5.2.1 [4]. If records are grouped (e.g., comment sheets) under one line item on the TOC, they will be indexed as a single entry in the records system. Ensure attachments and enclosures that need to be retrieved independently are identified on the TOC as a separate line item and have all the information required by Subsection 5.2 of this procedure.

To include a previously processed record in a records package, include the original record date, title, and accession number on the TOC, and indicate "0" in the page count column. Do not include a copy of the previously processed record in the records package.

When correcting a record in a previously processed records package, list the date and title/description of the newly corrected record. Identify it as a corrected record at the end of the title/description, including the accession number assigned to the previously processed record (e.g., This record corrects MOL.19940301.0001). If LSN-Relevant, the entire record, not just the individual pages, must be resubmitted to ease retrievals of LSN records.

To cross-reference previously processed records, identify the applicable line item on this TOC as a cross reference in Block 11. Include the accession number of the previously processed record that must be cross-referenced. No other blocks are filled in when cross-referencing. (Leave all blocks blank except Block 11.)

Example 1: A cross-reference number may be a Copyright Disposition Form that is being cross-referenced to a publication included in the same package (e.g., Cross-reference or X-ref MOL.19990301.0004 to line item XX).

Example 2: A cross-reference may also be to a previously submitted record/records package (not included in the current package) (e.g., Cross reference or X-ref MOL.20000301.0003).

12. Record Author(s):

- Leave this block blank if the author(s) name(s) is on the record. The RPC will index author(s) name(s) from the record.
- Enter the last name followed by first initial of the record's author(s) only if it is **not** apparent on the record (e.g., scientific notebooks).
- If there are additional authors that are not apparent on the record, place an asterisk in this block. Then place an asterisk in Block 11 after the title/description and enter all the authors on that line following each name with a comma.
- If the author name is not applicable or not available, you may enter N/A.

13. LSN Designation (REL/NON): Enter "REL" if record is LSN-Relevant or "NON" if record is not LSN-Relevant.

14. Pages: Include a page count that represents the number of pages for each record. Only count pages that contain information (i.e., do not count the blank sides of pages).

OCRWM**Type: Administrative Procedure****Title: Records Management****Procedure No.:** AP-17.1Q**Rev./ICN:** 4/5**Page:** 44 of 64**Attachment 6****Records Package TOC Instructions (Continued)**

15. Subtotal Page Count: Enter the page counts for the records listed on the first page of the TOC, including the TOC itself. If continuation pages are used, place the subtotal page count of records listed on the continuation page at the bottom of that page. Follow the same steps for each continuation page.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 45 of 64
Attachment 7

Transmittal/Receipt Acknowledgement (TRA)

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT TRANSMITTAL/RECEIPT ACKNOWLEDGEMENT (TRA)							1. QA: N/A Page 1 of
2. Transmittal No.:			3. Transmitted For: <input type="checkbox"/> BSC <input type="checkbox"/> Lead Lab <input type="checkbox"/> DOE <input type="checkbox"/> USGS				
4. No.	5. Document No.	6. Record Date	7. Title/Subject/Description of Records	8. Record Author(s) (if available)	9. LSN Designation (REL/NON)	10. Pages	
EXAMPLE							
11. Subtotal Page Count							
12. Comments:							
13. Records Coordinator: (Print or Type)			14. Department:	15. Phone No.:	16. Date:		
17. RPC Recipient: (Receipt Acknowledgment) (Sign)				18. Date:			
19. RPC Final Records Acceptance: (Sign)				20. Date:			
21. Batch No.:			22. Accession No. Range:				

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 47 of 64

Attachment 7

TRA Instructions

Note: For indexing purposes, the RPC will take the records information from the record itself. If applicable information is **not** available on the record, the RPC will take information contained on the TRA to complete key information fields (e.g., date, author).

- Records Coordinator**
1. The QA designator for all transmittals is N/A because they are administrative documents. N/A has been preprinted on this form. Enter the page numbering in the upper right corner.
 2. Transmittal Number: Enter department-generated transmittal number, using a unique alpha/numeric combination with the format AAA-XX-NNNN or AAAA-XX-NNNN, where AAAA = submitting organization/department alpha designator, XX = last two digits of the current calendar year, and NNNN = the next consecutive transmittal number for the organization/department (e.g., first transmittal for 2007: CCU-07-0001; second transmittal: CCU-07-0002). The alpha and numeric format can have more than four characters or numbers, if needed. Those organizations currently already using a transmittal number can continue to use it as long as it is only being used for one organization/department. (Each department will need to track their own transmittals for ease of status and retrieval.)
 3. Transmitted For: Check the box of the organization for which you are submitting the records (BSC, Lead Lab, DOE, or USGS).
 4. Number: Beginning with number 1, enter a sequential number for each record title being listed on the transmittal (i.e., 1, 2, 3, 4 etc.).
 5. Document No.: Enter the unique document identifier (number) assigned to the record if not using a TOC. If using a TOC, leave blank. Enter N/A, if the record has not been given a unique document identifier.
 6. Record Date: Enter the date the record was completed or approved if not using a TOC. Leave blank, if using a TOC.
 7. Title/Subject/Description of Records: Enter the title as it appears on the original record or the Records Package TOC. A full record title is required per Step 5.2.1 [4]. (You can list both TOCs and separate individual records on the TRA when you are including both in your submission. Do not list all records within the Records Package TOC again on the TRA.)

When correcting an individual previously processed record, list the date and title/description of the newly corrected record. Identify it as a corrected record at the end of the title/description, including the accession number assigned to the previously processed record (e.g., This record corrects MOL.19940301.0001). If LSN-Relevant, the entire record, not just the individual pages, should be resubmitted, to ease retrievals of LSN records.

To cross-reference an individual previously processed record, identify the applicable line item on this TRA as a cross-reference in Block 7 or Block 12. Include the accession number of the previously processed record that must be cross-referenced (e.g., Cross-reference or X-ref MOL.19990301.0004). No other blocks are filled in when cross-referencing. (Leave all blocks blank except Block 7.)

To supplement an individual previously processed record, list the record date, title/description, and all pertinent information in the available blocks for the record being submitted. At the end of the title, insert the accession number of the record being supplemented (e.g., Supplements MOL.20060501.0003).

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 48 of 64
Attachment 7

TRA Instructions (Continued)

8. Record Author(s):
 - Leave this block blank if using a TOC or the author(s) name(s) is on the record. The RPC will index author(s) name(s) from the record.
 - Enter the last name followed by first initial of the record's author(s) only if it is **not** apparent on the record.
 - If there are additional authors that are not apparent on the record, place an asterisk in this block. Then place an asterisk in Block 7 after the title/description and enter all the authors on that line following each name with a comma.
 - If author name is not applicable or not available, enter N/A.
9. LSN Designation (REL/NON): Leave blank if this line item is a TOC. If this item is an individual record, enter "REL" if it is LSN-Relevant, or "NON" if it is not LSN-Relevant.
10. Pages: Include a page count that represents the number of pages for each record. Only count pages that contain information (i.e., do not count the blank sides of pages).
11. Subtotal Page Count: Enter the total number of pages for all records and/or records packages attached to the first page of the TRA. If the TRA consists of only one page, the number of pages in this block will be the total page count.
12. Comments: Provide any additional information about the record(s) or records package(s) that needs to be conveyed to the RPC.
13. Records Coordinator: Print or type the name of the designated Records Coordinator who is transmitting the records.
14. Department: Enter the name of department/organization (not company) for which the Records Coordinator is submitting this transmittal. For BSC organizations, select from the following list:
 - BSC-GM (General Manager)
 - BSC-OA (Organizational Assurance)
 - BSC-ESH (Environmental, Safety and Health)
 - BSC-QA (Quality Assurance)
 - BSC-LNS (Licensing and Nuclear Safety)
 - BSC-RPM (Repository Project Management)
 - BSC-FO (Facility Operations)
 - BSC-PMT (Program Management and Transportation)

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 49 of 64
Attachment 7

TRA Instructions (Continued)

- BSC-EC (Employee Concerns)
- BSC-BS (Business Systems)
- BSC-GA (Governmental Affairs)
- BSC-IA (Internal Audit)
- BSC-LEG (Legal)
- BSC-PROC (Procurement and Property)
- BSC-PC (Project Controls)
- BSC-SCWE (Safety Conscious Work Environment)

Otherwise, enter the organization as DOE, USGS, or Lead Lab, as indicated in Block 3 for these organizations and their direct support contractors.

15. Phone No.: Enter the Records Coordinator's phone number.
16. Date: Enter the month, day, and year (e.g., 07/01/96) the transmittal was completed.

RPC Staff

- 17-22. Complete in accordance with RM-PRO-1002.
17. RPC Recipient: RPC staff signs to acknowledge receipt. (Upon completion of Block 18, return a copy of the TRA to the Records Coordinator to indicate receipt of the TRA in the RPC.)
18. Date: Enter the date the records were received in the RPC.
19. RPC Final Records Acceptance: Enter the name of the RPC staff member that completes the screening and indexing of the record. (Upon completion of Blocks 20-22, a copy of the TRA will be returned to the Records Coordinator to indicate the assigned batch and accession numbers for this TRA.)
20. Date: Enter the date of final acceptance of the record in the RPC.
21. Batch Number: Enter the assigned batch number for the transmittal.
22. Accession No. Range: Enter the range of assigned accession numbers, listing separately the range for each TOC included on the TRA.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 51 of 64
Attachment 8

Records Destruction Notice Instructions

Print or type the following information.

Preparer

QA: N/A, Page ___ of ___: Enter appropriate page number(s).

1. Date of Notice: Enter date form was prepared.
2. Disposal Date: Enter disposal date for records listed on form. All record series listed in Blocks 5 and 6 should have the same disposal date. Do not list mixed dates of disposal.
3. Organization: Enter the name of the Organizational Unit identified in the File Plan as the creator and owner of records listed for disposal.
4. Responsible Manager: Enter name of Responsible Manager for Organization listed in Block 4.
5. Records Retention Code: For O&AS internal use only.
6. Record Series Title and Dates of Records: Enter the name of the record series as cited in the records retention schedule, or the source requirement of the record. Also enter the inclusive dates of records (e.g., Fiscal Year 2002, Jan '99 – Mar '99).
7. Disposal Concurrence – Yes or No: Responsible Manager, enter “Yes” if approving disposal of listed series. Enter “No” if retention period will be extended.
8. If NO, cite reason for extending retention: Enter reason for extending the record series retention, e.g., procedure litigation freeze, procedure requirement, business need.
9. Responsible Manager (Name): Print, or type, name of Responsible Manager.
10. Responsible Manager's signature, indicating review and approval/disapproval.
11. Date: Responsible Manager enters date of review and approval signature.
12. O&AS Manager or Representative (Name): Print, or type, name of O&AS Manager or Representative.
13. O&AS Manager or Representative's signature, indicating concurrence.
14. Date: O&AS Manager or Representative enters date of concurrence signature.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 52 of 64
Attachment 9

Special Instruction Sheet

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT SPECIAL INSTRUCTION SHEET		1. QA: Page of
This is a placeholder page for records that cannot be scanned.		
2. Record Date	3. Accession Number	
4. Author Name(s)	5. Authorization Organization	
6. Title/Description		
7. Document Number(s)		8. Version Designator
9. Document Type	10. Medium	
11. Access Control Code		
12. Traceability Designator		
13. Comments EXAMPLE		
14. RPC Electronic Media Verification		

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 53 of 64

Attachment 9

Special Instruction Sheet Instructions

The Special Instruction Sheet will be imaged in place of nonpaper records and paper records that cannot be imaged, or with paper records that lose meaning when imaged (e.g., oversized color coded text or graphics greater than 11 x 17).

- | | |
|---|--|
| Records Coordinator | 1. Enter the QA designator and page numbering in the upper right corner of the form. |
| | 2. Record Date—Enter the date the record was completed. If there is no date, estimate a date, followed by a “C” to indicate a created date. |
| RPC Staff | 3. Complete in accordance with RM-PRO-1002. |
| Records Coordinator | 4. Author Name(s)—Enter the name of each person responsible for the creation of the record. |
| | 5. Author Organization—Enter the name of the author’s organization at the time the record was created or the name of the organization responsible for creating the record when there is no specific author. |
| | 6. Title/Description—Enter a title or description that clearly identifies and describes the record. (Use actual title of record, if available.) |
| | 7. Document Number(s)—Enter any identifying control number(s) associated with the record to distinguish it from other records. Control numbers are usually assigned by the issuing agency or organization. |
| | 8. Version Designator—Enter the version or revision number, draft designator, or controlled document status of the record if it has, or will have, multiple iterations. |
| | 9. Enter information from File Plan. |
| RPC Staff | 10.-11. Complete in accordance with RM-PRO-1002. |
| Records Coordinator | 12. Traceability Designator—Enter identifiers that have been assigned to a record in order to link it to a specific activity or record in another database. Examples include Configuration Information Document Identifiers and Data Tracking Numbers. |
| Records Coordinator/
RPC Staff (complete in
accordance with
RM-PRO-1002) | 13. Comments—Enter any additional remarks that will provide information about the record. Examples are: Copyright document, Official Use Only, Oversized document that cannot be scanned, etc. |
| RPC Media Staff Only | 14. RPC Electronic Media Verification – Add accession number label and apply date stamp along with initials of the MD5 electronic media verification processor. |

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 54 of 64
Attachment 10

Separation Checkout Form

OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT SEPARATION CHECKOUT		QA: N/A
		Page of
I.		
Departing or Transferring Individual's Name:	Organization:	
Departing or Transferring Individual's Responsible Manager:	Termination Date:	
II.		
Departing or Transferring Individual:		
Do you create records to be submitted to the RPC? (If YES, submit to RPC before leaving, if possible.)		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have all long-term and LSN-relevant records been submitted to the RPC?		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have any records in process?		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Will anyone be taking over your records responsibility?		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If Yes, who? _____		
Have you categorized all your e-mails?		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Are you leaving any short-term records or documents on litigation holds in your office area?		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Who is the designated Records Coordinator for your organization? _____		
Physical transfer of custody to Records Coordinator?		
	<input type="checkbox"/> Yes	<input type="checkbox"/> No <input type="checkbox"/> N/A, nothing to transfer
If YES, Records Coordinator's initials and date of transfer: _____		
Departing Individual's Name:	Signature:	Date:
EXAMPLE		
III.		
Responsible Manager or Designee:	_____	
	<i>Printed name</i>	
I have performed an exit interview with the departing or transferring individual to determine the status of all records or potentially LSN-relevant documents being held by him or her at time of departure.		
_____		_____
<i>Responsible Manager or Designee signature</i>		<i>Date of exit interview</i>
I have performed a walk-through of the departing or transferring employee's work area including review of electronic files, to ensure that all records and litigation-relevant documentary materials have been properly submitted, categorized, or transferred to another's custody, as applicable.		
_____		_____
<i>Responsible Manager or Designee signature</i>		<i>Date of walk-through</i>
IV.		
Responsible Manager:		
I certify that all completed and in-process records and all potentially LSN-relevant documents generated by _____, if any, have been accounted for.		

<i>Departing or Transferring Person's name</i>		
_____		_____
<i>Responsible Manager's signature</i>		<i>Date</i>

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 55 of 64
Attachment 10

Separation Checkout Form Instructions

Part I (Responsible Manager or designee may fill out Part I if departing or transferring individual is unavailable.)

Departing or Transferring Individual

1. Complete Part I.

Part II (Responsible Manager or designee may fill out Part II if departing or transferring individual is unavailable.)

Departing or Transferring Individual

1. Check Yes or No for the questions, seeking assistance from Records Coordinator or Records Outreach, if necessary.
2. Print name, sign, and date.

Responsible Manager or Designee

3. If you have completed Part II due to unavailability of the departing individual, sign and date, FOR the individual, printing your name clearly next to your signature.

Records Coordinator

4. If assuming physical custody of departing or transferring individual's records and/or potentially litigation-relevant documents, initial and enter date of transfer at appropriate place in Part II.

Part III

Responsible Manager or Designee

1. Print name in first block of Part III.
2. Perform exit interview if departing or transferring individual is available, then sign and date in the exit interview block of Part III.
3. If departing or transferring individual is not available, enter "N/A" on the signature and date lines of the exit interview block of Part III.
4. Perform walk-through of the departing or transferring individual's area, including electronic files, to confirm that all information in Part II is correct and that all records and litigation-relevant documentary materials have been properly submitted, categorized, or transferred to another's custody, as applicable.
5. Sign and date in the walk-through block of Part III. Do NOT enter "N/A" in the walk-through block without a written justification attached to the Separation Checkout form, and carrying a concurring signature from an O&AS Representative.

Part IV

Responsible Manager

1. Complete Part IV, certifying that all completed and in-process records and all potentially LSN-Relevant documents generated by the departing or transferring individual, if any, have been accounted for.

OCRWM**Type: Administrative Procedure**
Title: Records Management**Procedure No.:** AP-17.1Q
Rev./ICN: 4/5
Page: 56 of 64
Attachment 11**Change History**

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
4	5	03/09/2007	Modified the Records Package Table of Contents and the Transmittal/Receipt Acknowledgement forms and instructions to include Licensing Support Network-Relevant Date, to clarify form instructions, to simplify format, and to add both document number and transmittal number fields. Added categorization for source organizations and a list of specific Bechtel SAIC Company, LLC departments to identify on the transmittal for the purpose of Licensing Support Network statistical data. Added instructions for supplementing a Table of Contents by entering the same title/description as on the original Table of Contents. Updated the instructions for the Special Instruction Sheet. Updated Licensing Support Network-Relevant Record definition and added definition for Licensing Support Network-Relevant Date. Updated references.
4	4	11/10/06	This ICN responds to Condition Report (CR) 8736-001 by removing the Record Problem Report process from Section 5.4 and eliminating Section 5.5 while replacing it with use of a CR. It also removes the Record Problem Report form and instructions (Attachment 6). This change also closes Document Action Request (DAR) D34567 by resolving conflicting requirements between AP-17.1Q and AP-16.1Q. In addition, this change incorporates DAR D34556 and satisfies CR 8177-005 to identify the Lotus Notes electronic mail system as an official project record keeping system; addresses DAR D34118, removing the last sentence of Attachment 9 Special Instruction Sheet Document Action Request instructions for Block 13, revising the last sentence to allow additional choices for inclusion in the Block 13 comment field, and adding Block 14 to the special instruction sheet and its instructions for placement of electronic media verification receipt information.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 57 of 64
Attachment 11

Change History (Continued)

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
4	3	10/02/2006	This ICN addresses Document Action Requests D32931, clarify receiving of records from external sources and referral to creation of records for applying quality assurance designators (Paragraph 5.2.2); D32472, remove the statement "decompressed" from the Electronic Records Disposition statement that the record source "ensure that electronic records submitted to the RPC are decrypted or decompressed" (Attachment 1 Section B.2.b); D29092, revise AP-SEC-001 Revision 3 reference to reflect new title; D33519, replace LP-IM-010-BSC throughout procedure with RM-PRO-5002, <i>Use of Copyright-Protected Materials</i> ; D32971, reference to LP-SI.11Q-BSC changed to IT-PRO-0011 (Section 3.0 and Attachment 1, Section B.2.b); D34001, update Office of Civilian Radioactive Waste Management approval title and name on cover page, update Subsection 4.1 Office of Civilian Radioactive Waste Management organization responsibility; D34002, update Office of Civilian Radioactive Waste Management organization title, roles, and responsibilities; D34256, update to applicability statement to include Lead Lab and its subcontractors by incorporating D34266 to apply to individuals who generate, received, identify, maintain, use, and disposition Office of Civilian Radioactive Waste Management records; D34266 also removes Bechtel SAIC Company, LLC Business Systems Manager as approver on the title page and Bechtel SAIC Company, LLC Business Systems Manager responsibility in Subsection 4.1, re-assigning responsibility for preparation and change of procedure to the Director, Office of Government Services; Condition Report 8021 regarding definition of "transferring individual"; and Condition Reports 7026, 7736, and 5593 regarding late submittal of records and what constitutes a record being considered complete have been incorporated (See Step 5.6.1 [8] b. and Attachment 1, Sections A.1.c) and A.5.2), 3), and 4). Update to definition of Quality Assurance Records to be consistent with update <i>Quality Assurance Requirements and Description</i> , DOE/RW-0333P.

OCRWM**Type: Administrative Procedure**
Title: Records Management**Procedure No.:** AP-17.1Q
Rev./ICN: 4/5
Page: 58 of 64
Attachment 11**Change History (Continued)**

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
4	2	02/16/2006	Reverted definition of Quality Assurance Record to the definition as found in Rev. 4 ICN 0. This change is in response to Condition Report 7567 associated with Document Action Request D33091.
4	1	02/08/2006	This ICN incorporates Document Action Request D31531, enhancing the Separation Checkout form and process (Attachment 11 and Subsection 5.9) to ensure compliance with U.S. Department of Energy/Licensing Support Network Requirements, at direction of Bechtel SAIC Company, LLC Legal. This ICN also incorporates Document Action Request D32051, adjusting the definition of a Quality Assurance Record to provide compatibility with both the <i>Quality Assurance Requirements and Description</i> , DOE/RW-0333P, and the <i>Augmented Quality Assurance Program (AQAP)</i> , DOE/RW-0565.

OCRWM**Type: Administrative Procedure**
Title: Records Management**Procedure No.:** AP-17.1Q
Rev./ICN: 4/5
Page: 59 of 64
Attachment 11**Change History (Continued)**

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
4	0	11/23/2005	Full Revision. Incorporates Document Action Requests D21870 to update Privacy Act definition per Privacy Act Officer; D22610 to clarify that annual evaluation of local records per file plan is an annual review, not an annual inventory; D22852 to remove former option of submission to Records Processing Center via correspondence "cc: RPC=X" statement (transmittal [Transmittal/Receipt Acknowledgement or equivalent] now always needed); D24070 to delete scheduling of file plan development rollout, which has already occurred; D25130 and D25131 to add columns for record author and Licensing Support Network designation to Table of Contents and Transmittal/Acknowledgement Forms; D26030 (for Condition Report 5357) to alter departing employee practices, adding new form for physical turnover of records by departing individuals; D26510 to specify solicitation and submission of record coordinator designations at the beginning of the fiscal year; D26810 to incorporate into the procedure requirements for Licensing Support Network-relevant records; D27650 to remove requirement for annual records package supplements to be submitted specifically at fiscal year end; D28170 to require approval by Records Management & Document Control Manager or representative before destruction of records; D28490 to correct a technical difficulty with a form; D28531 (for Condition Report 6021) to give Record Problem Report responsibility for determining AP-16.1Q applicability to Quality Assurance Representative instead of Records Management representative; D28532 to allow identification of vital records on Organizational File Plans through use of an asterisk (*); D28533 to adjust old, obsolete references to "OCRWM Records Retention Schedule;" D28550 to make record coordinator designations non-quality assurance records. Also satisfied Condition Report 5593 by adding new paragraph header 5.2.2, Receiving Records.

OCRWM**Type: Administrative Procedure**
Title: Records Management**Procedure No.:** AP-17.1Q
Rev./ICN: 4/5
Page: 60 of 64
Attachment 11**Change History (Continued)**

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
3	4	11/23/2004	This ICN change addresses Condition Report 2790, Action Item CR2790-008, by adding a section to Attachment 1.A. RECORD CATEGORIES REQUIRING SPECIAL HANDLING, qualifying how to prepare a records submittal if it is an attachment/enclosure to correspondence (Document Action Request D19850). In addition, this ICN qualifies process steps and corrects editorial errors. Document Action Request D14931 qualifies that handwritten notes or strikeouts on a document intended as a draft comments do not require a signature or initial and date; Document Action Request D15171 qualifies that the date of a record does not have to be on the first page; Document Action Request D16050 brings the 60-day records submittal requirement into the body of the procedure rather than Attachment 1 only; Document Action Request D17351 qualifies that corrections to a previously processed record must be submitted as a supplement and require a Table of Contents form; Document Action Request D19310 qualifies that Records Coordinator designations be conducted annually on the Fiscal Year; Document Action Request D19490 qualifies the term "Annual and Annually" to allow for calendar year contingencies; Document Action Request D19690 is an editorial correction to paragraph "point-back" references in Paragraphs 5.1.2.2a) and 5.1.2.3; and Document Action Request D19890 clarifies Record Source versus Records Coordinator responsibilities regarding records submittals to the Records Processing Center (definitions 3.17 and 3.19). Document Action Request D19970 updates procedure reference number from AP-IM-003 to AP-17.3Q.

OCRWM

Type: Administrative Procedure
Title: Records Management

Procedure No.: AP-17.1Q
Rev./ICN: 4/5
Page: 61 of 64
Attachment 11

Change History (Continued)

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
3	3	09/16/2004	This change addresses issues in Attachment 1.B.2.b) and closes Document Action Requests D14930, D14932, and D16921 by clarifying: (1) submittal of multiple copies of media to the Records Processing Center; (2) submittal of the corresponding file directory listings for electronic media; and (3) identification of the author and/or organization creating the electronic media. In addition, this interim change closes Document Action Request D14651 by updating organizational references and D13991 by qualifying that designation of Records Coordinators be in writing.
3	2	04/07/2004	This change corrects the document titles for AP-16.1Q (Document Action Request D12499) and LP-17.1Q (Document Action Request D12980) and changes the reference for AP-SI.1Q to LP-SI.11Q-BSC (Document Action Request D12787). The definition of "software" is added to Section 3.0 (Document Action Request D13600). In addition, editorial and punctuation errors have been corrected.
3	1	11/20/2003	This ICN complies with policy POL-RW-2003-004, <i>Cancellation of the Requirement to Prepare and Maintain Signature and Initial Lists</i> , dated 10/09/2003, by removing the signature and initials list requirements. This is one of several steps in closing BSC(B)-03-D-026. In addition, several minor editorial corrections have been made as well as changes to procedure approval authority. This ICN supersedes AP-32.3, <i>Files Management</i> . Notice is given here that Rev. 3/ICN 0 (09/30/2003) closed DAR D899 regarding temporary storage requirements for QA records. DAR D899 was not linked to AP-17.1Q and inadvertently omitted from the Change History of Rev. 3/ICN 0.

OCRWM**Type: Administrative Procedure**
Title: Records Management**Procedure No.:** AP-17.1Q
Rev./ICN: 4/5
Page: 62 of 64
Attachment 11**Change History (Continued)**

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
3	0	09/30/2003	This revision changes the procedure title and implements a re-engineered Records Management Program establishing processes compliant with National Archives and Records Administration and other federal requirements. This procedure replaces AP-32.2, <i>File Management</i> , and AP-32.4, <i>Records Retention and Disposition</i> . In addition, this procedure adds printed name and phone number information on the Transmittal/Receipt Acknowledgement form (Form A171-2) and adds the acronym TRA to Form A171-2. This revision includes compliance with the <i>Integrated Safety Management Quality Assurance Program</i> , DOE/RW-0333P, Addendum 1, regarding non-quality assurance Integrated Safety Management records. This revision also addresses issues necessary for the closure of Deficiency Report 141.
2	5	06/02/2003	ICN to correct Attachment 2, Records Package Table of Contents Continuation Page (Form A171-4), and Attachment 3, Transmittal/Receipt Acknowledgement (Form A171-2).
2	4	05/02/2003	ICN to close Condition/Issue Identification and Reporting/Resolution System item #3367 by qualifying the definition of the Records Processing Center to include all functional locations. In addition, this ICN is one of several actions taken to close Condition/Issue Identification and Reporting/ Resolution System item #3309 regarding Record Sources submitting electronic records to the Records Processing Center containing software.
2	3	08/09/2002	ICN to transfer maintenance and approval responsibility of this Office of Civilian Radioactive Waste Management procedure to Bechtel SAIC Company, LLC.
2	2	02/21/2002	ICN to incorporate actions from notes into procedure and remove other notes. Actions required by Deficiency Report YMSCO-01-D-064.

OCRWM**Type: Administrative Procedure**
Title: Records Management**Procedure No.:** AP-17.1Q
Rev./ICN: 4/5
Page: 63 of 64
Attachment 11**Change History (Continued)**

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
2	1	07/19/2001	Interim Change Notice to clarify protection of quality assurance records; close Deficiency Report LVMO-01-D-021; and clarify Section 2.0, Applicability.
2	0	04/30/2001	Complete revision to incorporate Document Action Requests 23622, 24022, D421, and D506, and to respond to Deficiency Reports LVMO-01-D-021 and LVMO-01-D-022. Changes include the requirement for temporary storage for completed QA records; reference to AP-SEC-001, <i>Protection, Distribution, and Use of Sensitive Unclassified Information</i> , for sensitive unclassified record requirements; clarification to supplementing records packages; correcting in-process and previously processed records; the addition of a section on reporting record problems; and identify the new Management and Operating Contractor, Bechtel SAIC Company, LLC.
1	3	11/20/2000	ICN to incorporate the creation and submittal of electronic mail messages (Document Action Request D327) and to delete the instruction for the table of contents and the transmittal forms that the title on the form must match the title on the record.
1	2	12/17/1999	ICN to incorporate the requirement that corrections to records be by authorized persons as a result of Deficiency Report LVMO-99-D-065 (Document Action Request 23257) and to change the responsibility for approval of this procedure to the Director, Office of Information Management.
1	1	09/02/1999	ICN to incorporate the requirement for completing a Signature and Initials List as a result of Deficiency Report YMSCO-99-D-020 and direction from the Acting Director, Office of Civilian Radioactive Waste Management.
1	0	06/30/1999	Complete revision to incorporate DARs 2006, 2057, 2058, 20554. Additionally, DAR 2327 was incorporated by Revision 0, Interim Change Notice 1.

OCRWM

Type: Administrative Procedure

Title: Records Management

Procedure No.: AP-17.1Q

Rev./ICN: 4/5

Page: 64 of 64

Attachment 11**Change History (Continued)**

<u>Revision Number</u>	<u>Interim Change No.</u>	<u>Effective Date</u>	<u>DESCRIPTION OF CHANGE</u>
0	2	04/29/1999	ICN to incorporate DAR 2095. Pages 10, 11, 14, and 15 are affected. Pages 10a and 14a are added.
0	1	11/20/1998	ICN to expedite the incorporation of DAR 1979 and remove references to cited references. Pages affected are 2, 3, 9, 11, 12, 13, 14, and 15.
0	0	11/22/1996	Initial issue. This procedure replaces YAP-17.1Q, <i>Records Management Requirements and Responsibilities</i> , QAP-17.1, <i>Record Source Responsibilities for Inclusionary Records</i> , and HLP-17.1Q, <i>QA Records Management</i>