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Manager, National Spent Nuclear Fuel Program

I. PURPOSE AND SCOPE

This procedure describes the process for collecting and transmitting National Spent Nuclear Fuel Program (NSNFP) *quality assurance records* (see glossary) identified by NSNFP procedures or retained as supplemental quality assurance (QA) records. The procedure addresses records turnover to the Office of Civilian Radioactive Waste Management (OCRWM).

II. SUMMARY

This procedure describes creating valid QA records, correcting information in QA records, replacing lost or damaged QA records, submitting QA records to the NSNFP records management system and supplementing QA records. NSNFP QA records are identified and classified as lifetime or nonpermanent by NSNFP implementing procedures. NSNFP personnel executing a NSNFP implementing procedure are responsible for completing and submitting the identified QA records to the NSNFP records management system and replacing lost or damaged QA records in accordance with dispositioned deficiency reports or corrective action reports. The NSNFP Document Control Coordinator (DCC) operates the NSNFP Records Management System.

III. PROCEDURE

A. Creating QA Records

NSNFP Personnel

1. Create NSNFP QA records as identified by NSNFP procedures ensuring the following characteristics are adhered to.

   a. The records are legible, accurate, and complete.

   b. The records are appropriate to the work accomplished and identifiable to the items or activities to which they apply.

   c. The information contained in paper records is in permanent ink and characters or pictorial information form a clear, distinct, and reproducible image.

   d. The information contained in paper records is not obliterated by correction fluid, blacken areas, stamps, photocopying errors, or physical damage.

   e. Ensure all blanks in preprinted forms are filled in or marked not applicable (N/A).

   f. Ensure signatures are accompanied by printed names with the exception of *external documents* (see glossary).

NSNFP Personnel

2. Use the same criteria for review of external documents provided by *government sector suppliers* (see glossary) to be retained as QA records by NSNFP.

3. Protect training and auditor qualification in-process QA records from damage or loss until the completed records are submitted to the records management system.

NOTE: Records are considered completed when stamped, initialed, or signed and dated as complete. The completeness of a NSNFP generated magnetic or optical media record is certified as part of the QA record transmittal process. Personnel Training Records and on-staff Lead Auditor records are held as in-process until the employee terminates from NSNFP.

B. Correcting Information in Quality Assurance Records

NSNFP Personnel

1. Correct information contained in QA records prior to document approval by drawing a single line through the information and entering the revised information observing the following protocol.

   a. With the exception of page numbering and document identifier additions, make changes including *editorial corrections* (see glossary) after a document has been approved by initiating a document change in accordance with NSNFP Procedure 6.01.

   b. The original lined-through information remains readable.

   c. The entry is made in permanent ink and does not obscure or obliterate other information.

   d. The correction is initialed and dated.

C. Replacing Lost or Damaged QA Records

NSNFP Personnel

1. Replace lost or damaged QA records by resubmitting copies obtained from distribution files, working files, or other sources.

2. In the absence of replacement copies, initiate a deficiency report or corrective action request in accordance with NSNFP procedures for corrective action.

D. Submitting a QA Record to the Records Management System

NSNFP Personnel

1. Complete the applicable sections of NSNFP Form 17.01-1, QA Record Transmittal, in accordance with the form instructions.

   a. Transcribe consecutive page numbering and document identifiers onto each page of a record when page numbering and document identifiers do not adequately preexist.

NSNFP Personnel

b. Provide a description of any special storage requirements for magnetic or optical media included in the transmittal

c. As a minimum, include on the labels for electronic media: the originating office, the title or subject matter, data begin and end dates, what software and version was used to create the records, and on what equipment it was produced or maintained.

2. Forward the quality records generated and the transmittal form to an individual within the NSNFP QAS organization for review.

NSNFP QAS

3. Review the record package and the transmittal form for compliance with this procedure and the form instructions.

a. Return incomplete or unacceptable records or transmittal forms to the personnel submitting the record.

4. Sign the transmittal form when the record package is determined to be acceptable.

a. Forward the signed transmittal form and record package to the NSNFP DCC personnel operating the NSNFP records management system.

NSNFP DCC Personnel

5. Protect records received from damage or loss in accordance with NSNFP Procedure 17.03.

6. To preserve traceability and accountability of each page of the record if they are separated from the original document, capture unbound QA records by fastening them to folders to prevent losing or disassociating pages of the record.

7. Complete and distribute NSNFP Form 17.01-1 in accordance with the form instructions.

E. Supplementing QA Records

NSNFP Personnel

1. Supplement the stipulated NSNFP QA records when additional record information not prescribed by NSNFP procedures is deemed appropriate.

2. Create and transmit the supplemental information in accordance with this procedure and NSNFP Form 17.01-1 instructions.

3. Use the same lifetime or nonpermanent classification and file code number as the QA record being supplemented.

F. Records Turnover to OCRWM

NSNFP QASM	1.	Coordinate with OCRWM to establish a detailed list of record types including specific record media to be transmitted to OCRWM or an agent of OCRWM, the timing of the transmittals, documentation accompanying the transmittals, and the required method of assembly to accommodate the OCRWM Records Management System.
	2.	Provide formal direction to NSNFP personnel describing the records to be turned over, documentation to accompany the transmittals, and the method for duplicating magnetic or optical media, if required.
NSNFP DCC Personnel	3.	Prepare duplicate records copies of the record types as requested by the NSNFP Quality Assurance Staff Manager (QASM).
	4.	Assemble the record copies as requested by the NSNFP QASM.
Manager, NSNFP	5.	Prepare and send a memorandum to accompany the records transmittal requesting acknowledgment of records receipt from OCRWM.
NSNFP DCC Personnel	6.	Transmit the record copies, a copy of completed NSNFP forms 17.01-1, and other documentation that may be stipulated by the NSNFP QASM to OCRWM with the memorandum from the Manager, NSNFP.
Manager, NSNFP	7.	Upon acknowledgment of record receipt by OCRWM, formally direct NSNFP personnel to destroy duplicates of the NSNFP records turned over to OCRWM.
NSNFP DCC Personnel	8.	Disposition the remaining NSNFP records in accordance with Records Disposition Schedules for DOE SNF records as approved by the National Archives and Records Administration.

IV. REFERENCES

None.

V. DEFINITIONS

Terms appearing in italics followed by the notation "see glossary" are defined in the NSNFP Documents Manual Introduction and Glossary.

VI. ATTACHMENTS

None.

VII. QUALITY RECORDS

The following quality records generated as a result of this procedure require retention in accordance with the identified classification and NSNFP Procedure 17.01.

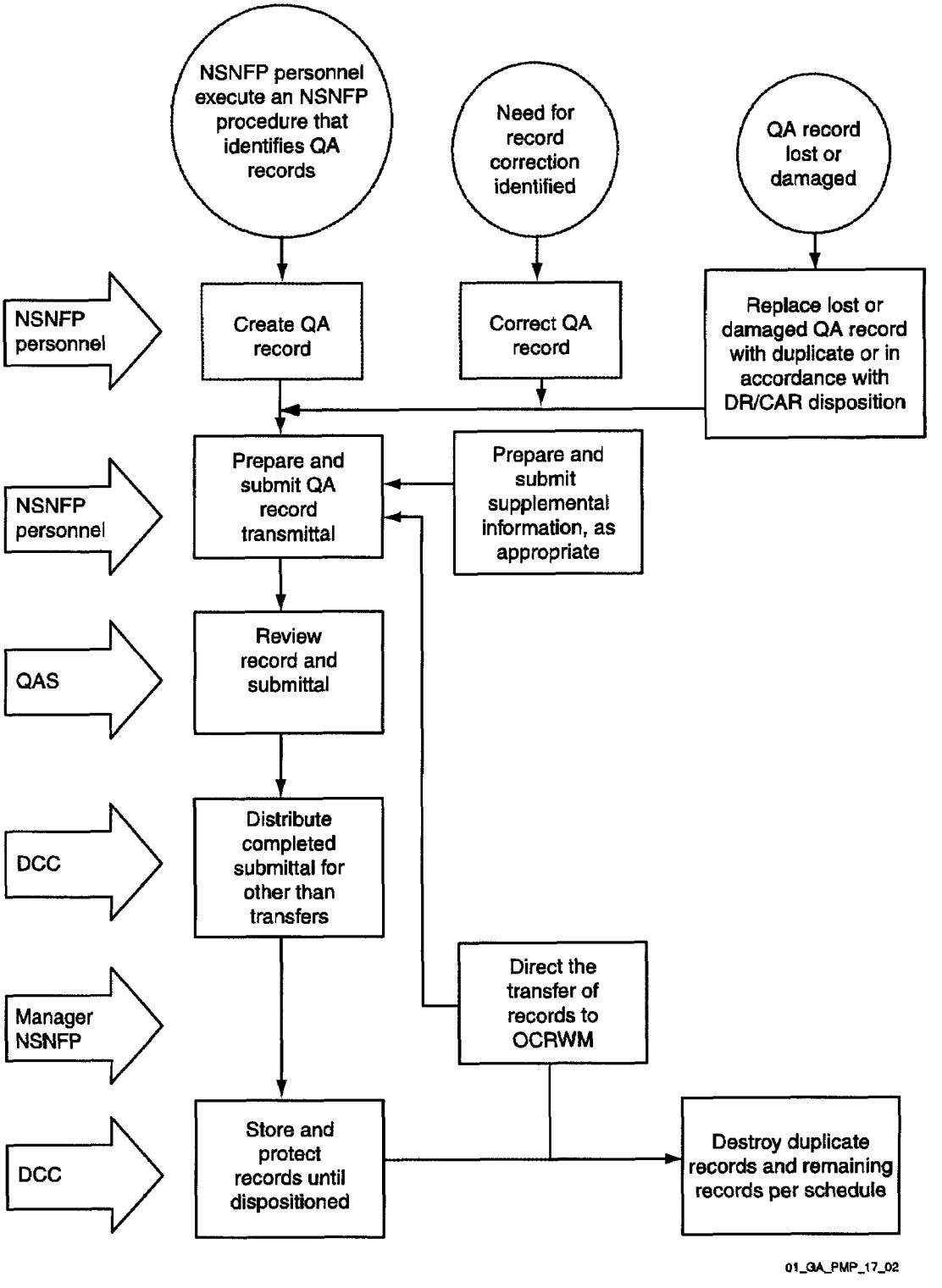
Lifetime

A. Completed QA Record Transmittals for Lifetime Records Submitted (NSNFP Form 17.01-1)

Nonpermanent

B. Completed QA Record Transmittals for Nonpermanent Records Submitted (NSNFP Form 17.01-1)

C. Memorandum describing records to be transferred to OCRWM

D. Response from OCRWM acknowledging records receipt.

VIII. PROCEDURE FLOW DIAGRAM