



Rocky Mountain
Remediation Services L L C
protecting the environment

PROCEDURE

RECORDS IDENTIFICATION, GENERATION
AND TRANSMITTAL

RM 06 02
Revision 1
Date Effective 09/30/99

APPROVED Laura Tyler 9/30/99
Manager, Records and Document Control Date

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1 0 PURPOSE

This procedure provides direction for the identification and generation of RMRS records regardless of media type and transmittal of those records to the RMRS Central Records Facility (CRF) The CRF provides a centralized index and repository for active records Project offices may keep a reference copy of records for their use but the record copy is maintained at the CRF Once the project or program is completed the CRF transmits the records to the Rocky Flats Environmental Technology Site (RFETS) Records Management organization for archival in accordance with 1 V41 RM 001 *Records Management Guidance for Records Sources*

This procedure implements 10 CFR 830 120 *Quality Assurance Requirements* DOE Order 414 1 *Quality Assurance* 1 V41 RM 001 *Records Management Guidance for Records Sources* and RMRS-QAPD 001 *Quality Assurance Program Description*

2 0 SCOPE

This procedure applies to RMRS personnel and subcontractors involved in the identification and preparation of Quality Assurance (QA) and non-QA records and transmittal of those records to the RMRS CRF These activities include

Identification of Records

- Distinguishing between a record and a non-record
- Distinguishing between a QA and a non QA record

Generating a New Record

- Authenticating a record
- Choosing the correct document type and process
- Making corrections to records before submittal
- Documenting electronic records for processing

Transmittal of Records to the RMRS CRF

- Adding supporting material
- Documenting lost or damaged records
- One of a kind or special processed records
- Releasing the final record
- Making corrections to previously submitted records

ADMIN RECCRD

SW-A-003396



9/20/99

This procedure does not apply to *preliminary* draft documents (not captured into the RMRS CRF unless part of a Controlled Document History File) classified documents, records generated under the Conduct of Engineering Manual Privacy Act records or records generated by RMRS and identified in RMRS Contract KH00003HSIA Section H 4(b) Subcontractor's Own Records. However, the records acceptance criteria is established and required by 1 V41-RM-001 and must be followed for all records

3 0 DEFINITIONS

Authentication The act of attesting that the information contained within a record is accurate, complete and appropriate for the work accomplished. A document still in process cannot be authenticated until it is completed. Authentication of both QA and non-QA records is required at Rocky Flats Environmental Technology Site (RFETS or Site)

Central Records Facility (CRF) The centralized location within RMRS where records are collected, processed retrieved and maintained, until no longer needed for current business

Disposition Transfer of records no longer needed for current government business including, transfer to agency storage facilities or Federal Records Centers, transfer from one federal agency to another (with the approval of the Archivist of the United States), transfer of permanent records to the National Archives; or disposal of temporary records

Document Any writings, drawings, graphs, charts, photographs, and compilations of data from which information can be obtained or decisions made. A document becomes a record when it is complete and authenticated.

Electronic Record Records stored in a form that only a computer can process.

QA Record Originals or reproduced copies of completed documents that furnish evidence of the quality of items and activities that affect, prescribe, generate, result in, or impact national security or the health and safety of RFETS personnel, the public, or the environment. QA records are of value in helping to demonstrate or attest to the degree or extent to which items, components, systems, structures, processes, or activities conform to requirements mandated by the RFETS QA program. QA records are considered complete and valid when authenticated, indicating final review and approval by authorized personnel, otherwise, they are considered in process

Record 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 United States 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 activities of the government, or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included. That is, records are authenticated documents that provide substantive information about, or evidence of, the organization, functions, policies, decisions, procedures, operations, or other activities of the government.

Records Package A collection of records supporting one topic (subject) that is filed as a case file, such as a Quality Assurance (QA) audit file, or a contract or procurement file

Records Source Any individual working for RMRS or an RMRS subcontractor who creates or receives Rocky Flats records from internal or external sources, including any individual who creates or receives a record from internal or external sources that was generated as part of government or government-sponsored activities related to



the Rocky Flats Cleanup Agreement (RFCA) An individual may be designated the Records Source for an organization

Special Process Records Records that require special handling and must be maintained in a particular way or that cannot be duplicated or microfilmed

4 0 RESPONSIBILITIES

4 1 RMRS Managers

- Identify the records to be generated or received as a result of RMRS activities ensure that the records are identifiable to the items or activities to which they apply that the records are appropriately designated QA or non QA that the records are free of radiological contamination and are transmitted to the RMRS CRF according to these instructions
- Authorize individuals within their area of responsibility to authenticate quality records
- Ensure that records (including those of subcontractors) are protected from deterioration loss larceny or damage prior to turnover to the RMRS CRF
- Ensure personnel are aware of and understand the requirements of this procedure
- Ensure that personnel within their organization have transmitted all records to the RMRS CRF prior to transfer or termination of employment

4 2 RMRS Record Sources

- Ensure that records prepared are legible accurate and completed appropriate to the work accomplished are authenticated by authorized personnel are reviewed for classification by an Authorized Derivative Classifier if necessary and are corrected when necessary
- Ensure that records documenting RMRS activities are transmitted to the RMRS CRF within 30 working days from the date of authentication or receipt by their organization
- Ensure that correspondence and other communications are submitted to the RMRS CRF by including the CRF on the courtesy copy (cc) list (buck slip) and include all attachments and enclosures
- A Record Transmittal Form (RTF) (Appendix 1) is completed for groups of records or records packages transmitted Individual records may be transmitted to the RMRS CRF using a RTF when a receipt is desired or necessary or when specific indexing information is requested

4 3 RMRS Central Records Facility Personnel

Ensure that RMRS records received for processing protection and maintenance meet the record acceptance criteria and are processed in accordance with procedure RM 06 03, *Records Receipt Processing and Retrieval*

4 4 RMRS Document Control Center Personnel

Assign RMRS unique document identification numbers and prepare appropriate RMRS document covers as needed (RMRS Document Control maintains and tracks identification numbers for both controlled and uncontrolled documents)

5 0 INSTRUCTIONS

The National Archives and Records Administration (NARA) is the government organization that establishes policies and procedures for managing the records of the federal government DOE Order 200 1 Information Management implements NARA guidelines and states that complete and accurate records of the conduct of federal government business are required to document the organization functions, policies decisions procedures and essential transactions of the agency (RFETS) Adequate and proper documentation furnishes the information necessary to protect the legal and financial rights of the government and of persons directly affected by government activities The flow chart in Appendix 2 outlines the basic steps of these instructions in compliance with NARA guidelines and the RFETS Records Management Program (1-V41 RM-001)

5.1 Identification of Records

Records to be generated as a result of RMRS activities are identified in the record section of appropriate procedures and instructions. (See Section 6.0 of this procedure for the correct format.)

- (1) Determine whether a document or item meets the definition of a record (Section 3). Examples of records generated as a result of RMRS activities include but are not limited to contracts, forms, procedures reports, Requests for Proposals and contracts, work plans, and correspondence. A Yes response to one or more of the following questions identifies the document as a record.
- Does it provide evidence of work by a department or its personnel?
 - Will it become part of a subject or project file?
 - Does it require that an action be taken?
Is it a document you have received, and to which you have added information that would affect the meaning or content?
 - Does it change the way you conduct government business?

Note: If a document is a preliminary draft (other than a preliminary draft contained in a controlled document history file) or an information-only type of document, and does not fit the definition of a record as described above it is a non-record and not subject to these instructions. Clearly mark such documents as *Preliminary Draft* or *Information Only*. Non-records provide no evidence of program functions or activities, lack informational value, and/or duplicate information already documented in records, and are therefore not unique. A detailed list of examples of non-records is contained in Appendix 2 of 1-V41-RM-001, *Records Management Guidance for Records Sources*. Non-record material is filed separately from record material and is destroyed when no longer needed.

- (2) Distinguish between QA and non-QA records. A document is considered a QA record if it:
- Furnishes evidence of the quality of items or activities that affect quality or safety and has been executed, completed, and approved (e.g., chain-of-custody form, data validation, logbooks)
 - Has been prepared and maintained to demonstrate implementation of a QA program (e.g., audits, inspection reports, corrective action reports, procedures)
Is a procurement contracting document (e.g., Statement of Work, Sole Source Justification)
 - Implements administrative or operating procedures (e.g., training records, Health and Safety Plans, permit compliance reports).

Records that do not meet the criteria of a QA record are considered non-QA records. Some examples of non-QA records are periodic reports, general correspondence, variance reports, and Five-Year Plans.

- (3) Determine whether a QA record is also a controlled document. A QA record identified as a controlled document is processed and transmitted in accordance with procedures RMRS-QA-05 01, *Preparation and Control of RMRS Documents*, and RMRS-DC-06 01, *Document Control Program*.
- (4) Determine whether a QA record is also an Administrative Record generated under the *Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA)* and the *Rocky Flats Cleanup Agreement (RFCA)*. CERCLA Administrative Records are identified and processed in accordance with RMRS-RM-06 04 *Administrative Record Document Identification and Transmittal*.
- (5) Determine whether a QA record is related to the TRU Waste Program (WIPP) or Low Level/Low Level Mixed Waste (LL/LLM) Program. These records are processed in accordance with 1-PRO-077-WIPP-005, *Management of Waste Information Prior to the Transmittal to the Waste Records Center*.

5.2 Generating a New Record

- (1) Contact the RMRS Document Control Center for a unique identification number (controlled and uncontrolled) if needed and record it on each page of the document. Any attachments to a document shall carry the same unique identifier as the original document. Moreover, pagination is strongly recommended for documents of more than one page.
The correspondence control number on a letter serves as the unique identifier.
- (2) If the record is a Request for Proposal or a contract, it must contain the stipulation that the subcontractor or vendor comply with RMRS record management requirements.
- (3) Authentication of both QA and non-QA records is required and is accomplished by one of the following methods:
 - Stamp, initial or sign, and date the document.
 - Attach or add a written statement to the document.
 - Issue a document that is clearly identified as a statement of authentication.
 - Sign a Records Transmittal Form and submit with the record.
- (4) Ensure records are legible, accurate, and complete.
All blanks on forms should be completed or marked "Not Applicable or NA" or cross out blank section(s) and initial.
- (5) Determine need for a classification review. (See K. H. Directive CAHW 001 96 *Release of Information and Documents*, which can be found in the RMRS Model Office.)
- (6) Do NOT:
 - Use non-reproducible highlighters, correction fluid, or correction tape on records.
 - Write special instructions or other notes, etc., in the margins of records.

Note: The Quality Assurance Records Checklist (Appendix 3) may be used to ensure records acceptance by the RMRS CRF. This checklist is considered non-record and is not included in the RMRS records system.

- (7) Obtain an RMRS document cover sheet, if appropriate, from RMRS Document Control prior to transmittal to the customer.

5.3 Correcting Records Prior to Submittal

- Draw a single line through the incorrect information without obliterating the error.
- Do NOT use correction fluid, erasures, or correction tape of any type to correct information on records.
- Enter the correct information legibly and in close proximity to the text being changed.
- Date and initial or sign the correction.

5.4 Electronic Records

RMRS personnel creating electronic records should ensure that the records can be read, retrieved, and duplicated. Instructions for retrieval and/or preservation must be documented in a manner to ensure long-term readability. This might include physical and technical characteristics of the records, hardware and software platforms required to read the records, a description of the form of the data, and any other information needed to read or process the records.

Electronic records should be turned over to the RMRS CRF with accompanying information to allow proper indexing and retrieval of the records. The records should have an external label affixed, or include documentation that contains the following:

- (1) Names or narrative description of the information submitted
- (2) Date(s) the information was generated
- (3) Name of person(s) or organization(s) that generated the information
- (4) Identifying number or codes such as serial or volume number
- (5) Other supporting information as appropriate

Electronic records should be backed up on a regular basis to safeguard against the loss of information due to equipment malfunctions or human error. Backups may be submitted to the CRF to be maintained in the safe.

5.4.1 Electronic Mail (E-mail, cc-Mail)

The person who created, received, or acted upon a message/attachment that is a record is responsible for ensuring that it is printed and transmitted in hard copy form to the RMRS CRF. Non-records may be deleted without filing. The record must include transmission and receipt data as needed for adequate and proper documentation of agency activities as follows:

- Sender's name, date transmitted, names of recipients, and subject
- If a return receipt is requested, the verification of that receipt is also part of the record

Additional information on electronic records may be found in the Site Records Management procedure 1-V41-RM-001, Section 7.

5.5 Transmittal of Records and Record Packages to RMRS CRF

All records submitted must be determined to be radiologically uncontaminated and offsite releasable in accordance with 1-P73-HSP-18.10, Radioactive Material Transfer and Unrestricted Release of Property and Waste. The release status of all records submitted to the CRF must be documented in one of the following ways:

- (1) Complete a Release Evaluation Form (RSFORMS-09 01-01 available in the Radiological Safety Practices manual) for each record or box of records submitted to the CRF, or
- (2) Complete a Release Evaluation Form for all records that may be generated from a particular building or area where it is known that the area is free of contamination, and submit to the CRF for the related Project File, or
- (3) For records coming from a building listed in the Unrestricted Release Building/Facility List (URB/F), Appendix 4 to procedure 1-P73-HSP-18.10, a signed Material Data Transfer Form may be submitted for the project file.

Note: A copy of the Release Evaluation Form is attached as Appendix 4 for your convenience. However, the form is controlled under the Radiological Safety Practices Manual and users must verify that they are using the most current form prior to completing.

Suspect contaminated records, regardless of media, are records for which historical/process knowledge sufficient to generate a Release Evaluation Form is not available. The assumption must be made that abandoned records are suspect contaminated. All suspect contaminated records must be processed in accordance with 1-V41-RM-001, Section 6.7.4 through 6.7.5. (A copy of these sections, and the Flowchart for Disposition of Suspect Contaminated Records are included in Appendix 5 for your convenience.)

Transmit uncontaminated, authenticated individual records or records packages no later than 30 working days after date of completion or receipt by your department as follows:

- (1) Submit one copy of incoming and outgoing correspondence or documents except drawings (including attachments and enclosures) to the RMRS CRF by including the CRF on the courtesy copy (cc) list. Internal correspondence memoranda and memos of telephone conversations that meet the criteria of a record are also transmitted in this manner.
QA records must meet the criteria identified in Appendix 3 or stamp or print Best Available Copy
- (2) Ensure that the following documentation when applicable accompanies the records
 - Records Transmittal Form (RTF) (Appendix 1)
Obtain the RTF from the CRF and complete using the instructions on the back
 - Records Package Table of Contents (forms are available from the RMRS CRF if desired)
 - Documentation of Lost or Damaged Records (Section 5.7)
 - Documentation of Best Available Copy (Section 5.5.1)
 - Documentation of Authenticity (Section 5.2[3])

RMRS CRF personnel receive and process RMRS records in accordance with RMRS RM-06.03 *Records Receipt Processing and Retrieval*

5.5.1 Submittal of Best Available Copy

If the record cannot meet all of the requirements described in these instructions or are of poor quality (i.e. wrinkled, torn, not legible) a *Best Available Copy* is transmitted to the RMRS CRF by performing the following:

- Submit a photocopy of the original when the original is written in pencil or has been torn or folded. Destroy the pencil version of the record to avoid unnecessary duplication of records.
- Provide a written explanation for those records or record packages that are technically incomplete, illegible, and inadequate for their intended purpose or cannot be replaced or regenerated.
- List those records or record packages individually on a Records Transmittal Form and indicate as *Best Available Copy* of that record.
- Stamp or print *Best Available Copy* on the record.

5.5.2 Supporting Documentation

If supporting materials were generated in the process of preparing a report, study, or other record, or were otherwise generated during any other activity now completed, and are to be submitted along with the record, ensure that:

- All supporting materials are clearly identified on the RTF as *supporting* or *backup* material. (Supporting or backup materials do not have to contain the document identification number of the record.)
- The supporting materials are submitted as part of the record package.

5.5.3 One of a Kind and Special Processed Records

- Duplicate all special processed records that can be generated in duplicate (such as magnetic tapes and negatives), and submit the original and duplicate to the RMRS CRF.
If the cost or difficulty in generating duplicates is prohibitive, identify those records on the RTF and submit a single copy to the RMRS CRF.

5.6 Corrections to Previously Processed Records and Record Packages

- (1) Notify the RMRS CRF immediately of any errors in previously processed records or record packages.
- (2) If new information is added to a record previously submitted, follow the instructions for preparation and transmittal of a new record.

The original records or record packages remain in the system, but the database states that the new records or parts of a record package supersede the old records or parts of a record package.

5.7 Lost or Damaged Records

- (1) Notify the RMRS CRF in writing
- (2) Replace or repair the lost or damaged records when possible
 - Recreate or replace the information using duplicate files from back-up or dual storage
 - Reconstruct the record based on the originator's personal inspection notes
 - Determine the existence of other records which would substantiate the needed information

If restoration or replacement of such records is not possible, document that fact in writing and transmit it to the RMRS CRF

6.0 RECORDS

Note Retention periods are determined jointly by the appropriate Program Manager, subject matter experts the RFETS and RMRS Records organizations based on specific program requirements, Department of Energy approved records schedules or the General Records Schedule, as appropriate. The information gathered will be used to develop a Records Turnover Instruction which is required when the records are determined complete and inactive and are turned over for long-term storage or archival. All records must be dispositioned in accordance with approved records retention schedules. If records, including electronic records, do not have an appropriate records schedule they must be considered potentially permanent. No records will be destroyed by RMRS without approval from Site Records Management.

The following documents are initiated, processed or maintained as a result of this procedure and shall be processed as follows

Record Identification	Record Type Determination	Protection / Storage Methods	Processing Instructions
Completed Records Transmittal Form	Quality Assurance Record	CRF maintains in one-hour fire cabinets (RTF included with a record for authentication purposes is maintained in one-hour fire cabinets and dispositioned in accordance with the original record type)	Destroy after two years (Note: There is a site-wide moratorium against destruction of record material. No records are to be destroyed without prior approval from the Site Records Management organization)
Records Package Table of Contents Documentation of Lost or Damaged Record, Documentation of Best Available Copy Documentation of Authenticity	Quality Assurance Record	CRF maintains in one-hour fire cabinets and dispositions in accordance with original record type	When record is no longer considered active, the CRF transmits the record or records package to Site Records Management in accordance with I-V41-RM-001

7 0 REFERENCES

- 7 1 1 V41 RM 001 Records Management Guidance for Records Sources
- 7 2 10 CFR 830 120 Quality Assurance Requirements
- 7 3 DOE Order 414 1 Quality Assurance
- 7 4 RMRS QAPD 001 RMRS Quality Assurance Program Description
- 7 5 RMRS RM 06 03 Records Receipt Processing and Retrieval
- 7 6 DOE Order 200 1 Information Management
- 7 7 RMRS QA 05 01 Preparation and Control of RMRS Documents
- 7 8 RMRS DC 06 01 Document Control Program
- 7 9 Comprehensive Environmental Response Compensation and Liability Act (CERCLA) Section 113(k)(1)
- 7 10 Rocky Flats Cleanup Agreement (RFCA) July 19 1996
- 7 11 RMRS RM 06 04 Administrative Record Document Identification and Transmittal
- 7 12 1 PRO 077 WIPP 005 Management of Waste Information Prior to the Transmittal to the Waste Records Center
- 7 13 K H Directive CAHW 001 96 Release of Information and Documentation
- 7 14 1 P73 HSP 18 10 Radioactive Material Transfer and Unrestricted Release of Property and Waste

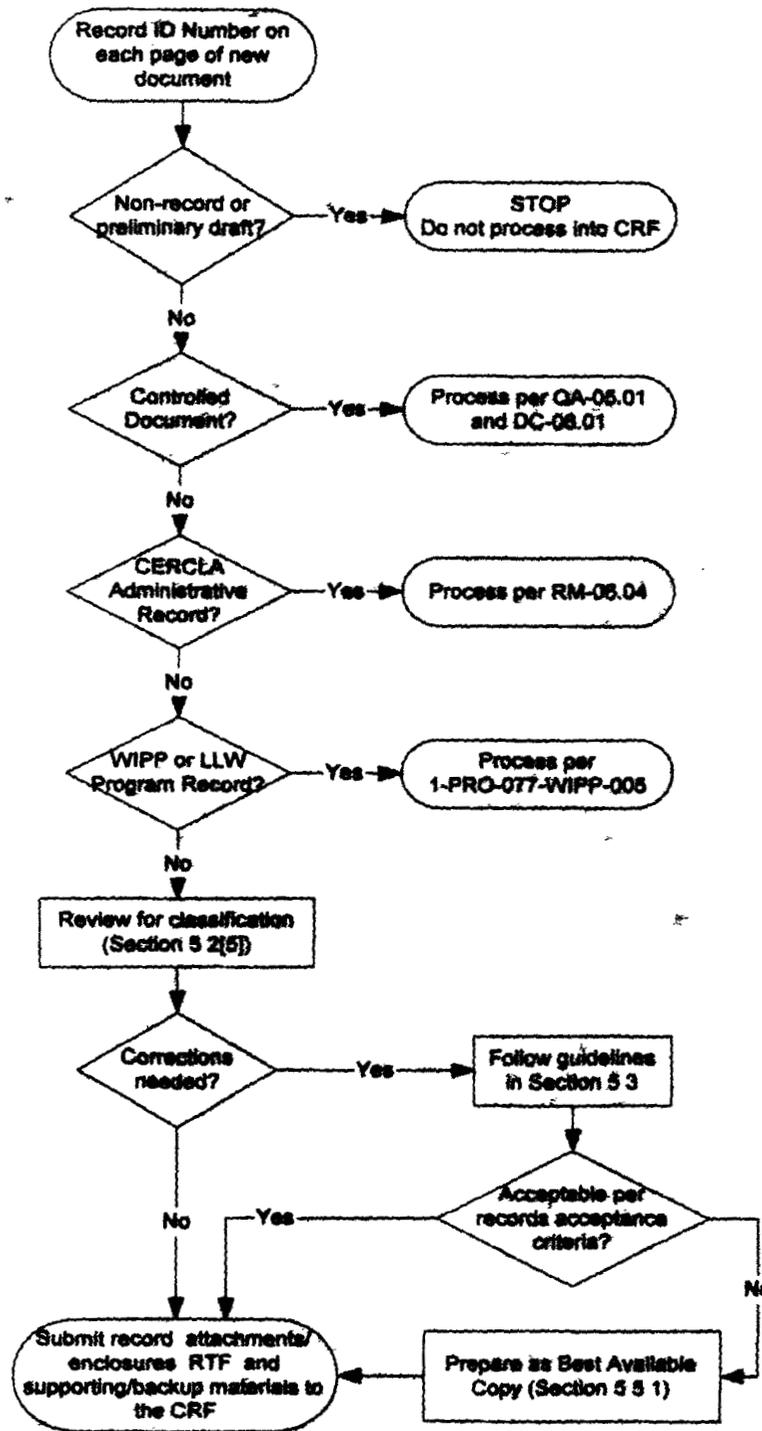
Appendix 1 (Continued)
RECORDS TRANSMITTAL FORM INSTRUCTIONS

<u>Entry Number</u>	<u>Directions</u>
1	The name of the RMRS or Subcontractor employee who originated the document
2	The name of the Subcontractor organization or the RMRS Department and Group
3	Records Source telephone number
4	Subcontract number (if applicable)
5	The responsible RMRS manager who authenticates subcontractor submitted documents prior to their transmission to the RMRS Central Records Facility
6	Responsible RMRS Authority s organization code
7	Responsible RMRS Authority s telephone number
8	Title/Subject (Additional keywords or phrases should be added after the title/subject to aid in retrieval)
9	The unique document identification number assigned to that document.
10	Records categories to be completed by the responsible RMRS authority QA = Quality Assurance Record N = Nonquality Record
11	The total number of pages in the document (double-sided pages are considered 2 pages)
12	The date the record is completed or approved
13	The applicable Operable Unit, IHSS Number Building Number or project identification
14	The date the transmittal form was forwarded to the RMRS Central Records Facility
15	The signature of the person who prepared the transmittal
16	The signature of the person who originated the document(s) Signature on this line releases the document to the Central Records Facility
17	The signature of the Central Records Facility employee who receives the records for processing

NOTE The Records Source should make a copy of the Records Transmittal Form prior to transmitting it to the RMRS Central Records Facility When the CRF accepts the records listed on the form an acknowledgement copy of the form will be transmitted to the Records Source

Appendix 2
FLOW CHART

RMRS records are identified in the record section of a procedure.



Appendix 3
QUALITY ASSURANCE RECORD CHECKLIST

Item	Criteria	Meets Criteria		Remarks
		Yes__	No__	
1	Legible and relevant data is contained within the record/data package	Yes__	No__	
2	When a record is poor quality (not legible torn etc) but is the ONLY copy BEST AVAILABLE COPY must be written or stamped on the deficient page or first page of the record and initialed and dated	Yes__	No__	
3	The record is complete and contains detail as to the record purpose scope method etc	Yes__	No__	
4	The record identifies container numbers drum numbers and/or the activity (i.e. GCMS MS ICP OU/IHSS) involved	Yes__	No__	
5	The record is uniquely identified (number) and any additional pages or attachments/enclosures carry the same unique identifier as the original document (excludes supporting documentation)	Yes__	No__	
6	Indelible ink (preferably black) has been used to sign date and enter data on records (Convert records written in pencil to an indelible medium such as photocopies and destroy the pencil version)	Yes__	No__	
7	Record is authenticated by authorized personnel by initialing or signing and dating attaching a written signed and dated statement signed cover page signed RTF	Yes__	No__	
8	The record is free of non reproducible highlighters correction fluid, correction tape and marginalia (excludes controlled document history files) (Some records may contain other acceptable markings such as redline/red stamping for inspection or acceptance status indicators	Yes__	No__	
9	Records over one page in length should be paginated, and all pages are present	Yes__	No__	
10	Errors made in a record have a single line through the error the correction made above the error and the initial and date of the individual making the correction is placed next to the correction	Yes__	No__	
11	RMRS Record Transmittal Form or equivalent, has been completed if necessary (required for large quantity of records or records package)	Yes__	No__	

Appendix 4
Release Evaluation Form

RSFORMS-09 01-01

<input type="checkbox"/> Property	<input type="checkbox"/> Waste	<input type="checkbox"/> Sample
RELEASE EVALUATION FORM Page 1 of ____		
Release Evaluation No.: _____ EXTENDED: _____ EXPIRES: _____ Charge No.: _____		
PART I	SENDER/CUSTODIAN ACKNOWLEDGEMENT	
Description of Property/Waste/Sample To Be Released/Transferred		
Current Location.		
Destination.		
New Recipient/Custodian:		
History/Process Knowledge:		
Has the specified material ever been in an RBA/CA or contacted DOE controlled radioactive materials? _____		
1) By signing below I certify information provided in Part I of this release evaluation to be true and accurate.		
2) By signing below I agree to comply with the specific requirements noted in Part II of this release evaluation.		
Sender/Custodian: _____ Emp No: _____ Date: _____ Ext: _____		
PART II	RADIOLOGICAL ENGINEERING	
SPECIFIC REQUIREMENTS AND/OR COMMENTS:		
Evaluated: _____ Emp. No _____ Date: _____ Ext: _____ Radiological Engineer		
APPROVAL FOR TRANSFER/SHIPMENT		
Approved: _____ Emp. No. _____ Date: _____ Ext: _____ Radiological Engineer		

Appendix 5
SUSPECT CONTAMINATED RECORDS PROCESS
(1-V41-RM-001)

674 Suspect Contaminated Records

Suspect contaminated records regardless of media, are records for which historical/process knowledge sufficient to generate a Release Evaluation Form (RSFORMS 09 01 01) (formerly Property Release Evaluation (PRE)) for unrestricted release is not available. In addition, the assumption must be made that abandoned records are suspect contaminated. This section provides a cost-effective methodology for the disposition of such records.

Records Source in this section refers to the individual or organization having the responsibility for turnover of such records to Records Management.

Records Management

NOTE The Release Evaluation Request Form (RSFORMS-09 01-03 is available in the Radiological Safety Practices manual.

- [1] Submit a Release Evaluation Request Form to Radiological Engineering to issue an extended Release Evaluation Form (formerly PRE) applicable to any boxes of suspect contaminated records to be processed.

Radiological Engineering

- [2] Issue a Release Evaluation Form to identify the requirements for unrestricted release of suspect contaminated records.

These requirements will include the sampling/survey methodology to be used for each box of records.

Records Source

- [3] Segregate the records from the nonrecord material.

Appendix 2 Nonrecord Material contains examples. Records Management may be contacted for guidance.

DCF CHG 2

Appendix 5 (Cont'd)

6 7 4 Suspect Contaminated Records (continued)

- [4] IF records meet ANY of the following criteria
- The records were created before 1966
 - The records were created in a laboratory situation
 - The records are identified as research and development records especially laboratory notebooks and logbooks
- THEN go to Section 6.7 5

These records meet National Archives and Records Administration (NARA) criteria as most likely contaminated, and are treated as contaminated. Records Management may be contacted for guidance

Records Source

- [5] Place records into uncontaminated FRC storage/shipping boxes.
- [6] Request RCT to evaluate the boxes of records for unrestricted release using the Site criteria of procedure 3-PRO-141-RSP-09.01, Unrestricted Release of Property Material, Equipment and Waste, or the sampling/survey methodology specified on the appropriate Release Evaluation Form.
- [7] Place copies of all documentation pertaining to a box in that box (for example Release Evaluation Form and survey results)
- [8] IF the box is determined to contain contaminated records,
THEN go to Section 6 7.5
- [9] IF the box is determined to contain uncontaminated records
THEN go to Section 6 7 3

6 7.5 Records Determined to be Radiologically Contaminated

Records Source

- [1] Prepare the records as follows
- [A] Top-tab file folders or sealed privacy act folders should contain title subject, or unique identifier for ease of retrieval.

DCF-CHG 2

Appendix 5 (Cont d)

DCF-CHG 2

6 7 5 Records Determined to be Radiologically Contaminated (continued)

[B] Empty file folders may be used as dividers between records that are too large to place in file folders and are not bound in any other way

- [2] Box the records in accordance with Section 6 7 2
- [3] Ensure that each box contains copies of all documentation pertaining to that box (for example Release Evaluation Form and survey results if applicable)

Records Source/RCT

- [4] Package and survey for onsite transfer in accordance with 1-P73 HSP 18 10 Radioactive Material Transfer and Unrestricted Release of Property and Waste

Records Source

- [5] Arrange for transfer to Building 441 Radiological Management Area (RMA)

Contaminated records will be reproduced onto an alternative media (such as Microfilm) for offsite storage. The originals will be handled as waste

6 7 6 Potential Records Identified in Known Beryllium Rooms

Records Source

- [1] Request that Job Hazard Analysis be performed by Industrial Hygiene and Safety for evaluation, handling indexing boxing transfer retrieval and disposition of the potential records
- [2] Contact Records Management for an evaluation of the potential records as necessary

Records Management

- [3] Perform records evaluation in accordance with Job Hazard Analysis

Records Source

- [4] Handle index box and transfer records in accordance with Job Hazard Analysis and Section 6 7 2

DCF-CHG 4

Appendix 5 (Cont d)

FLOWCHART FOR DISPOSITION OF SUSPECT CONTAMINATED RECORDS

DCF-CHG 2

