2. To: (Receiving Organization)	3. From: (Originating Organization)	4. Related EDT No.:
Document Control	Regulatory Interface & Tech Supp.	N/A
5. Proj./Prog./Dept./Div.:	6. Design Authority/Design Agent/Cog. Engr.:	7. Purchase Order No.:
Spent Nuclear Fuel Project	Paul Day	N/A
8. Originator Remarks:		9. Equip./Component No.:
For Release		N/A
		10. System/Bldg./Facility:
		N/A
		12. Major Assm. Dwg. No.:
11. Receiver Remarks: 11A. Design Baseline Document? ☐ Yes ☒ No		N/A
		13. Permit/Permit Application No.:
		N/A
		14. Required Response Date:

15.	DATA TRANSMITTED				(F)	(G)	(H)	(I)
(A) Item No.	(B) Document/Drawing No.	(C) Sheet No.	(D) Rev. No.	(E) Title or Description of Data Transmitted	Approval Designator	Reason for Transmittal	Originator Disposition	Receiver Disposition
1	SNF-6089		0	SNF Project Document Control and Records Management Program Desc.	N/A	2	1	1

16.		KEY		

Approval Designator (F)	Reason for Transmittal (G)		Disposition (H) & (I)	
E, S, Q, D OR N/A (See WHC-CM-3-5, Sec. 12.7)	1. Approval 2. Release 3. Information	4. Review 5. Post-Review 6. Dist. (Receipt Acknow. Required)	1. Approved 2. Approved w/comment 3. Disapproved w/comment	4. Reviewed no/comment 5. Reviewed w/comment 6. Receipt acknowledged

17.

SIGNATURE/DISTRIBUTION
(See Approval Designator for required signatures)

(G) Rea-son	(H) Disp.	(J) Name (K) Signature (L) Date (M) MSIN	(G) Rea-son	(H) Disp.	(J) Name (K) Signature (L) Date (M) MSIN
1	1	Design Authority PT Day Paul A Day 5/9/00 R3-11	1	1	RB Wilkinson RBWilkin 5/10/00
		Design Agent			
		Cog. Eng.			SNF Project Files R3-11
1	1	Cog. Mgr. DP Kimball DPKimball 5-9-00 R3-11			RBW LB/File (2) R3-11
		QA			
		Safety			
		Env.			

18.	19.	20.	21. DOE APPROVAL (if required)
Lucille Verdugo 5/9/00		Paul A Day 5/9/00	Ctrl No.
Signature of EDT Originator Date	Authorized Representative Date for Receiving Organization	Design Authority/ Date Cognizant Manager	☐ Approved ☐ Approved w/comments ☐ Disapproved w/comments

SPENT NUCLEAR FUEL PROJECT DOCUMENT CONTROL and RECORDS MANAGEMENT PROGRAM DESCRIPTION

Prepared for the U.S. Department of Energy
Assistant Secretary for Environmental Management

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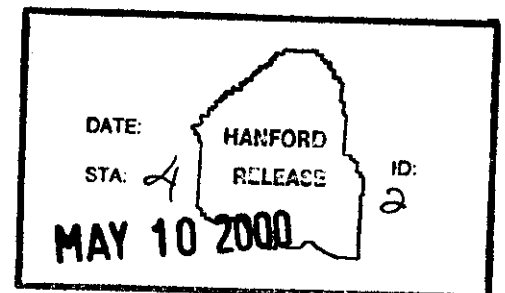
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SPENT NUCLEAR FUEL PROJECT
DOCUMENTS/RECORDS MANAGEMENT PROGRAM DESCRIPTION

The Spent Nuclear Fuel (SNF) Project document control and records management program, as defined within this document, is based on a broad spectrum of regulatory requirements, Department of Energy (DOE) and Project Hanford and SNF Project-specific direction and guidance. The *SNF Project Execution Plan*, HNF-3552, requires the control of documents and management of records under the auspices of configuration control, conduct of operations, training, quality assurance, work control, records management, data management, engineering and design control, operational readiness review, and project management and turnover. Implementation of the controls, systems, and processes necessary to ensure compliance with applicable requirements is facilitated through plans, directives, and procedures within the Project Hanford Management System (PHMS) and the SNF Project internal technical and administrative procedures systems. The documents cited within this document are those which directly establish or define the SNF Project document control and records management program. There are many peripheral documents that establish requirements and provide direction pertinent to managing specific types of documents that, for the sake of brevity and clarity, are not cited within this document.

1.0 POLICY STATEMENT

The SNF Project will control the preparation, review, approval, distribution, use, and revision/change control for all documents that establish or prescribe requirements, define or direct work, or provide the controls necessary to ensure compliance with applicable requirements. The SNF Project shall generate and preserve records, ensuring the records contain adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions performed under contract to the DOE. These records shall be designed to provide the information necessary to protect the legal and financial rights of Fluor Hanford, Inc. (FH), the U.S. Government, and the public directly affected by the activities performed and managed by the SNF Project. All SNF Project records shall be identified, generated, authenticated, maintained, and dispositioned in accordance with the requirements and direction provided by the Project Hanford Records Management Program.

2.0 DOCUMENT CONTROL

Controls are required for all documents that prescribe requirements, define processes, establish design, direct work activity, or provide the controls necessary to ensure compliance with applicable requirements. The degree of control to be employed for each document type is predicated on the content and use of the information contained within the document. The specific controls applied to document preparation, review, approval, distribution, use, and revision shall be specified within the procedures describing or directing the document control process. Document control systems are employed at both the Project Hanford and SNF Project levels. The Project Hanford systems are under the control of FH and operated by the Information Resource

Management (IRM) services provider, Lockheed Martin Services, Inc. (LMSI). The internal procedures used by LMSI to control the services, systems, and processes used to control documents are available on the Hanford Intranet, under PHMC, PHMS (Docs on Line), Related Links.

2.1 General

The Project Hanford document control program requirements are described in HNF-PRO-224, *Document Control Program Standards*. Additional document control requirements are found in HNF-PRO-697, *Scientific and Technical Information Standards*. Review and approval requirements for documents important to the environment, safety or quality are provided in HNF-PRO-233, *Review and Approval of Documents*. Document clearance review requirements for classified and controlled-use information are provided in HNF-PRO-407, *Obtaining Classification or Declassification Reviews* and HNF-PRO-184, *Standards for Controlled-Use Information*. All systems and processes employed by the SNF Project to control unclassified documents shall, at a minimum, meet the standards specified in these procedures. Documents containing classified information are managed in accordance with HNF-PRO-405, *Protecting and Controlling Classified Matter*.

Procedures and directives that describe the systems and processes used by the Project Hanford team to control documents are managed within the PHMS in accordance with HNF-PRO-589, *Processing Project Hanford Procedures* and HNF-PRO-245, *Management Directives*. Controlled copies of the documents within the PHMS are available through Controlled Document Management (CDM) located at 825 Jadwin/385 (372-1696). Unique identifiers for controlled documents are issued in accordance with HNF-PRO-604, *Hanford Document Numbering System*. Control numbers are obtained through the Information Clearance Services personnel located in 2750E/D110 (373-3151) and in 2440 STVCN/1310D (376-5194). Ancillary document control requirements are also found in other procedures and standards within the information resource management, quality assurance, conduct of operations, and engineering sections of the PHMS.

All SNF Project controlled documents, which pertain to or are used by multiple Project Hanford contractors, and those prepared as contract deliverables are controlled in accordance with the systems and processes defined within the PHMS. Quality Assurance requirements are identified in HNF-MP-599, *Quality Assurance Program Description (QAPD)*. The SNF Project describes implementation of the QAPD in SNF-4948, *Quality Assurance Program Plan*. Additional requirements for controlling documents are invoked by the *Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance Requirements Document (QARD)*, DOE/RW/0333P. The QARD establishes the minimum requirements for the OCRWM QA program, and section 6.0 of the QARD prescribes specific requirements for controlling documents subject to

OCRWM/QARD compliance that specify technical or quality requirements. See section 3.2.6 of this document for a description of the process used to determine the items, activities and documents subject to QARD compliance.

All SNF Project internal administrative and technical documents shall be managed through systems and processes developed and administered by the SNF Project. Review and approval requirements for SNF Project documents are prescribed in MS-1-023, *Approval Designators E, S, Q, D, and M IDs.* Specific personnel authorized to review and approve SNF Project documents are listed on the "Signature Authorization" list located in "E-S-Q-D-PLUS OTHERS.doc" in "SNF-proj on Ap012," under "App-ver," "Contrled" folder. The systems and processes for the control of internal SNF Project documents are located in the SNF Project procedures system also located on the SNF Project controlled file server managed in accordance with IR-1-001, *SNF Project File Server Control.*

2.2 Information Types

2.2.1 Correspondence

All incoming and outgoing official Project Hanford correspondence is required to be prepared, processed, and distributed in accordance with HNF-PRO-231, *Correspondence Control Standards.* Format and style standards are provided in HNF-4725, *Correspondence Style Guide.* All SNF Project official correspondence shall be prepared and managed in accordance with these standards. All SNF Project commitments conveyed through official correspondence are identified, tracked, revised, and closed in accordance with MS-1-032, *Commitment Management.*

2.2.2 Engineering Documents

Project Hanford engineering documents (e.g., drawings, specifications, and supporting documents) require strict configuration control of revisions/changes and configuration status visibility. The Project Hanford Engineering Program establishes the process for controlling all engineering documents utilizing the Hanford Document Control System (HDCS) database, Engineering Data Transmittals (EDTs), and Engineering Change Notices (ECNs) for documenting and approving document revisions and changes. The following procedures and standards define the process and system to be used for preparing and controlling all SNF Project engineering documents:

HNF-PRO-244, *Engineering Data Transmittal Requirements*
HNF-PRO-097, *Engineering Design and Evaluation*
HNF-PRO-440, *Engineering Document Change Control Requirements*
HNF-PRO-1819, *PHMC Engineering Requirements*

HNF-PRO-709, *Preparation and Control Standards for Engineering Drawings*

All engineering documents generated and/or used by the SNF Project shall be prepared and managed in accordance with the aforementioned procedures and standards. The SNF Project-specific direction for the control of engineering documents is provided through the following SNF Project administrative procedures:

EN-6-004, *Engineering Personnel Qualifications, Appointments and Responsibilities*
EN-6-005, *Engineering Component Identifier and Labeling Control*
EN-6-006, *Engineering Drawing Requirements*
EN-6-008, *Electrical Panel Schedule Print Management*
EN-6-009, *OCRWM Reviews*
EN-6-010, *Calculations*
EN-6-011, *Engineering Specifications*
EN-6-012, *As-Built Verification Process*
EN-6-017, *Electronic Management of OCRWM Data*
EN-6-024, *Field Change Requests*
EN-6-025, *Support Document (SD) Issuance and Change Control*
EN-6-027, *Design Verification Process*
EN-6-029, *Development and Maintenance of Safety Equipment Lists (SELs)*
EN-6-030, *Engineering Process*
EN-6-035, *Dedication of Commercial Grade Items (CGI)*
EN-6-039, *Engineering Document Change Control*
QA-11-012, *Development and Maintenance of OCRWM/QARD Q-Lists*

2.2.3 Technical Procedures and Standards

All SNF Project technical operating procedures, test procedures, maintenance and calibration procedures, and process standards are controlled technical documents. The Project Hanford standard for controlling technical procedures and standards is HNF-PRO-229, *Technical Procedure Standard*. All systems and processes employed to control SNF Project technical procedures and standards shall, as a minimum, meet the requirements established within that standard. The *Writer's Guide for Technical Procedures*, DOE-STD-1029-92, is the basis for the SNF Project guidelines for procedure format and content found in desk instruction TP-DI-001, *Technical Procedures Writers Guide*. Specific SNF Project direction for controlling technical procedures and standards is provided in the following internal procedures:

IR-1-004, *Manual/Document Control*
MN-7-002, *Work Control*
MS-1-023, *Approval Designators E, S, Q, D, and M Identifications*
MS-9-001, *Technical Procedures Administration*

MS-9-002, *Technical Procedure Development Process*
MS-9-003, *Technical Procedure Change Process*
MS-9-004, *Technical Procedure Use and Compliance*
NS-4-002, *Process Standards Administration*
NS-4-003, *Process Change Authorization Administration*
NS-4-004, *Process Standard Nonconformance Administration*
OP-10-006, *Procedure Change Notices and Procedure Change Requests*
OP-10-015, *Test Procedure Preparation*
OP-10-027, *Operations and Maintenance Manuals*

2.2.4 Administrative Procedures

The Project Hanford standard for controlling documents (HNF-PRO-224, *Document Control Program Standards*) also establishes standards for controlling administrative procedures. All systems and processes employed to control SNF Project administrative procedures shall, as a minimum, meet the requirements established within that standard. Specific SNF Project direction for controlling administrative procedures is provided in the following internal procedures:

IR-1-004, *Manual/Document Control*
MS-1-002, *Administration of Administrative Procedures*

2.2.5 Desk Instructions

Desk instructions should be used to convey guidance information at the most basic level of work activity. As guidance documents, desk instructions do not provide mandatory direction and, therefore, do not ensure or demonstrate compliance to requirements. For this reason, there are no Project Hanford standards for the control of desk instructions and each contractor has the latitude to implement the degree of control determined to be adequate to support its operations. Instructions for the preparation and control of SNF Project Desk Instructions are provided in MS-1-005, *Desk Instruction Administration*. All SNF Project organizations shall limit the use of Desk Instructions to that of conveying non-mandatory guidance information.

2.2.6 Controlled Notebooks and Logbooks

The Project Hanford standard for controlling documents (HNF-PRO-224, *Document Control Program Standards*) prescribes minimal requirements for managing controlled notebooks and logbooks. Controlled notebooks and logbooks are typically used to record information and data such as analytical data, shift turnover communications, operations control data, and lock and tag information. The document control standard requires that all

controlled notebooks and logbooks be formally accounted for and administered in accordance with a prescribed list of minimal requirements.

The SNF Project utilizes controlled logbooks issued by the CDM service mentioned in 3.1 of this document. The instructions for using these controlled logbooks are provided on the Notebook/Logbook Coversheet located inside the cover of each log. Additional project-specific direction is provided in OP-2-018, *Logkeeping*. Completed SNF Project logbooks are normally transmitted to CDM within 30 days of the last logbook entry, as specified in OP-2-018. When completed logbooks are determined to be a frequently needed source of information after completion, they are considered to be active completed records and may be retained within an established SNF Project records center to facilitate easy retrieval and retention as record material. In these instances, copies of the transmittals used to transfer the logbooks to the SNF Project records center, shall be sent to CDM for accountability purposes.

2.2.7 Work Packages

Work packages contain controlled documents such as technical operating procedures, maintenance and test procedures, process standards, or engineering documents. The controlled documents used in work packages are subject to all of the requirements and controls defined within this plan. The work packages are controlled through a maintenance management process that is part of an overall formal management control system which includes conduct of operations, technical baseline control, work breakdown structure, and planning and scheduling.

The Project Hanford requirements, direction, and guidance for managing maintenance activities are found in HNF-PRO-069, *Maintenance Management* and in HNF-IP-1217, *Work Management Guidance* located on "PROCINFO," under "Procedure Information," in "Site Common Procedures." SNF Project personnel may gain access to "PROCINFO" by contacting the systems administrator on 373-4802 or 373-5685.

Additional information on SNF Project work management may be found in MN-7-002, *Work Control*, MN-7-001, *JCS Preventive Maintenance and Surveillance (PM/S) Module*, OP-1-021, *Master Work Plan Implementation*, and other related SNF Project administrative procedures.

2.2.8 Controlled Print Files

Controlled print files are hardcopy files of specific drawings that are actively controlled and maintained to ensure that the most current versions of drawings and changes are readily available for use at strategic locations. Controlled print files are primarily used to maintain essential drawings; however, they can also be employed to ensure availability of other drawings. Requests for controlled print file stations may be submitted to the Document Control Services Manager (LMSI/Records and Information Management [RIM]) at 2750E/D160 (372-3380).

Controlled print files are currently maintained for the SNF Project in the 105KE/Shift Office, 105KW/Shift Office, 1717/lunch room, and in 183 KE.

2.2.9 Scientific and Technical Information

All Project Hanford scientific and technical information (STI) products are required to be managed in accordance with HNF-PRO-697, *Scientific and Technical Information Standards*. This standard prescribes requirements for the preparation, identification, elements, marking, and distribution of unclassified STI. Project Hanford STI is typically prepared as technical plans, reports, supporting documents, and speech articles. All SNF Project STI documents shall, at a minimum, be prepared and managed in accordance with the cited standard. A listing of typical STI information products required to be offered to the Office of Scientific and Technical Information (OSTI) is provided in Appendix A of the cited standard.

2.2.10 Vendor Information

Project Hanford standard HNF-PRO-224, *Document Control Program Standards* requires that vendor information (VI) be transmitted, released, and processed by Document Control Services; including revisions, updates, and distributions; in accordance with HNF-PRO-1819, *PHMC Engineering Requirements*. Documents containing VI are considered to be engineering design documents because they often contain information that contributes to, or directly supports, design decisions. HNF-PRO-1819 requires that all Project Hanford engineering design documents be submitted, with an EDT and Vendor Information Sheet (A-9300-038.1), to "Hanford Site document control" for processing. This Project Hanford standard further requires that VI be uniquely identified, retrievable, traceable to applicable hardware, and maintained through deactivation when it affects the safety of a structure, system, or component.

Primary responsibility for SNF Project VI resides with each Design Authority and implementation of the controls necessary to comply with HNF-PRO-1819 is provided in EN-6-026, *Vendor Information*

Requirements. The process and system for managing Project Hanford VI is administered by the IRM services provider (LMSI). Support services for SNF Project VI are available at the LMSI Document Control Service Center located in 2750E/D171 (372-3010) and at the LMSI Records Storage & Retrieval Services (RSRS) at 940 Northgate, Richland (376-5440). The Richland location is responsible for issuing VI control numbers, maintaining the "Certified Vendor Information Database," maintaining the master record file of all Project Hanford VI, and providing copies of VI upon request. The 200E location is responsible for releasing approved VI, transmitting record copies to the master VI records file located in Richland, providing distribution services for released VI, and retrieving copies of VI upon request. SNF Project Design Authorities are responsible for ensuring that all required VI is specified and received, identified with control numbers issued by RSRS, reviewed and approved, and transmitted to document control for processing and release.

2.2.11 Forms Administration

The DOE forms management program for the Hanford Site is defined in Richland Operations Office Implementing Policies/Procedures (RLIPP) 1322.1B, *RL Forms Management.* The RLIPP defines forms as a fixed arrangement of captioned spaces designed for entering and extracting prescribed information. The RLIPP also defines "managed forms" as those that meet the following criteria:

- Forms that cross organizational contractor or agency departmental lines or boundaries

- Collect information required by law, DOE Order, company policy or company/agency procedure.

- Become part of an official record required for audit traceability.

The Project Hanford standard that implements the controls and defines the process prescribed for managing forms is HNF-PRO-112, *Forms Administration Standards.* The Site forms administration function is provided by LMSI/RIM.

All SNF Project forms that meet the aforementioned criteria shall be managed in accordance with the cited standard. Multi-contractor and conventional forms may be initiated with a "Forms Data Sheet/Design Request" (A-6100-422). Database-generated, electronic forms are initiated with a "Registration of Database Electronic Forms" (A-6000-489). Both of these forms may be submitted to Project Hanford Forms Management at 940 Northgate/100, (376-3328).

Retrieval of managed forms for use may be accomplished through "Site Forms," available on the Intranet. This forms management database provides retrieval of all electronic forms in Jetform and directs users to special case form templates in Word. It also identifies those conventional (paper) forms available as store stock items or print shop produced forms. Directions for using/completing managed forms are prescribed throughout the SNF Project administrative and technical procedures.

2.3 Processes and Systems

2.3.1 Databases and Systems

A variety of databases and information management systems are employed by Project Hanford to manage controlled documents. The following is a listing of databases and systems followed by a brief description of their use and function:

- Hanford Document Numbering System (HDNS) – provides unique identifiers (control numbers) for most Project Hanford controlled documents in accordance with HNF-PRO-604, *Hanford Document Numbering System* (see section 2.1 of this document). Numbers are obtained through the LMSI Information Clearance Services Specialists in 2750E/D110 and 2440 STVCN/1310.

- Hanford Document Control System (HDCS) – serves as the primary document issuance and change control database for Project Hanford controlled technical documents, i.e., drawings, specifications, supporting documents, and Project Hanford standards and procedures. Use and management of this database are prescribed by HNF-PRO-224, *Document Control Program Standards* and HNF-PRO-1819, *PHMC Engineering Requirements* (see section 2.2.2 of this document). The HDCS is administered and maintained by LMSI Document Control Services in 2750E/D166 (376-5555). Documents and revisions/changes are entered into this database at release stations located strategically throughout the site. Access to HDCS database to verify document status is available at each release station. View only access to HDCS by document users at their individual workstations may be arranged through the HDCS administrator at Document Control Services.

- Information Release Administration Database (IRAD) – is used by LMSI Information Clearance Services to track the status of documents during, and subsequent to, the clearance process prescribed in HNF-PRO-184, *Information Clearance* (see section 2.3.2 of this document). This database is also used to assign control numbers to documents not covered by the numbering schemas provided by the HDNS, e.g., DOE, DOE-Office of River Protection (ORP), and speech articles. While SNF

Project personnel do not have direct access to this database, they should be aware that it is a document information resource available through *Information Clearance Services.*

- Correspondence Numbering System (CNS) – is used to assign unique control numbers to official Project Hanford correspondence in accordance with HNF-PRO-231, *Correspondence Control Standards* (see section 2.2.1 of this document). Individuals generating or receiving official correspondence may directly access this database for control numbers through Software Distribution under System Software & Utilities. Assistance with obtaining numbers through this database is available from Project Hanford Correspondence Control at 825 Jadwin/301 (376-8111).

- Engineering Document Management System (EDMS) – is used to store and manage the Computer-Aided Drawing data sets for drawings created using AutoCAD in accordance with HNF-PRO-709, *Preparation and Control Standards for Engineering Drawings* (see section 2.2.2 of this document). The system administrator (LMSI/RIM) located at 1981 Snyder/122G (376-9077) authorizes direct access to drawings within EDMS. Authorized points of contact within the engineering functions facilitate the retrieval and revision of drawings from their respective electronic storage vaults within EDMS.

- Records Management Information System (RMIS) – is a document storage and retrieval system used to capture copies of documents in image format. Documents are optically scanned and indexed into the system for easy retrieval. System users are granted View/Print access through the system administrator (LMSI/RIM) at 1981 Snyder/214 (372-0728). This system permits easy access and retrieval of controlled documents, significantly reducing distribution, retrieval, and storage costs (see section 3.3.1 of this document). Scanned images within RMIS are also used within the Project Hanford correspondence control system (see section 2.2.1 of this document). The guidelines and process for managing this system are provided in LMSI-4377, *RMIS System General Operating Procedure* located on the Intranet, Project Hanford Management System (PHMS), under Lockheed Martin Services Inc.

- Document Tracking Application (DTA) – is used to track the controlled distribution of documents controlled by Project Hanford CDM at 825 Jadwin/385 (373-2904) (see section 2.1 of this document).

- (Hanford) Site Drawing File (SDF) – is used by the Project Hanford micrographic services function (LMSI/RIM) to facilitate distribution control of hardcopy drawings and revisions, including master and diazo aperture cards, to specific stations located throughout the site (see section

2.2.2 of this document). Information in the SDF database may be viewed by SNF Project employees using Insight (a reporting tool available on Software Distribution).

- <u>Certified Vendor Information Database</u> – is used to manage Project Hanford vendor information (see section 2.2.10 of this document). Information in the database may be viewed by employees using Insight (a reporting tool available on Software Distribution).

- <u>Site Forms Database</u> – is used by Project Hanford Forms Administration (LMSI/RIM) to track and maintain the status and history of Project Hanford managed electronic and conventional/paper forms (see section 2.2.11 of this document). This database also contains the specifications for forms produced by the Government Print Shop.

2.3.2 Document Clearance Reviews

All DOE contractors are required by DOE Order 241.1, *Scientific and Technical Information Management*, to review all documents containing scientific and technical information "to determine appropriate release and to apply any statutory or program-driven announcement and/or availability restrictions including those related to non-proliferation, national security, and export control." Project Hanford clearance reviews are performed to ensure that the following types of access-controlled information are adequately protected and that documents do not contain patent, copyright, and trademark infringements:

- Classified Information
- Applied Technology
- Export Controlled Information
- Unclassified Controlled Nuclear Information
- Naval Nuclear Propulsion Information
- Protected Battery Information
- Protected Cooperative Research and Development Agreement Information
- Small Business Innovation Research
- Proprietary Information
- Business Sensitive Information
- Official Use Only Information
- Predecisional Information
- Personal/Private Information

Project Hanford requirements and directions for clearance reviews are provided in HNF-PRO-407, *Obtaining Classification or Declassification Reviews* and HNF-PRO-184, *Standards for Controlled-Use Information*.

Documents found to contain access-controlled information are managed as follows:

- Remove access-controlled information in its entirety and process in accordance with HNF-PRO-697, *Scientific and Technical Information Standards.*

- Process documents containing controlled-use information in accordance with HNF-PRO-184, *Standards for Controlled-Used Information.*

- Process documents containing classified information in accordance with HNF-PRO-224, *Document Control Program Standards* and HNF-PRO-405, *Protecting and Controlling Classified Matter.*

When clearance review determines that a document does not contain access-controlled information, authorization for release to the public is documented on the cleared document's title page for technical documents, and on the Information Clearance Form (A-6001-401) for non-technical and historical documents. Project Hanford Information Clearance Services (ICS) is responsible for managing the process, performing reviews for controlled-use information, coordinating clearance reviews with Authorized Derivative Classifiers (ADCs), and authorizing release. Clearance specialists are located in 2750E/D110 (373-3151) and 2440 STVCN/1310G (376-5194). While ICS is authorized to screen documents for potentially classified matter, all documents found to have the potential for containing classified matter shall be reviewed and cleared or classified by an Authorized Derivative Classifier (ADC).

Project personnel may contact ICS to obtain or verify the clearance status of a specific document or to initiate clearance of a document for release. Documents that meet the criteria in HNF-PRO-184 for unclassified information products that do not require processing by ICS shall be screened by the responsible SNF Project manager to ensure that they do not contain access-controlled information. All other SNF Project documents shall be submitted to ICS for clearance review prior to release to the public.

To eliminate the potential for creating a document that may contain classified information on unclassified media, SNFP originators shall consult with the PHMC classification officer or an ADC prior to developing the document in accordance with HNF-PRO-407, *Obtaining Classification or Declassification Reviews.* The PHMC classification officer may be reached at 1981 Snyder/111 (373-1969) and ADCs may be selected from the list at http://www.rl.gov./sas/pg2_isec/pg22/pg221.htm. The assigned SNF Project ADC may be reached at MO294/108 (376-7664).

2.3.3 Document Distribution and Transmittal

The transmittal or controlled distribution of documents (including copies) is required to be controlled to ensure that the most recent version, including changes, is transmitted to the specified individuals and/or locations where the documents are needed/used. Unlike the transfer of completed records, which transfers the custody of records between companies, organizations, or individuals (see section 3.3.4 of this document), distribution of documents is simply the method used to get copies of a document to a specific location or individual where it is needed. To further clarify, the transfer of records normally involves multiple documents (records) and a single recipient, distribution of documents normally involves single documents (copies) and multiple recipients.

The methods and requirements for general and copy-control distribution of controlled documents are established in HNF-PRO-224, *Document Control Program Standards*. While this standard invokes minimal requirements for controlling distribution, Project Hanford contractors are given a great deal of latitude with the forms used to effect distribution within a myriad of systems.

"Document Transmittal" form (A-6002-144) is typically used to transmit a variety of documents. Project Hanford contractors, subcontractors, and vendors, also employ a variety of their own company-specific document distribution and transmittal forms. The SNF Project will utilize the document distribution and transmittal forms prescribed by the particular Project Hanford or SNF Project document control system or process in use.

A few examples of the forms used by Project Hanford systems to list distribution are the "Engineering Data Transmittal" (EDT) forms (BD-7400-172), "Engineering Change Notice" (ECN) forms (A-7900-013), and "Distribution Sheet" (A-6000-135) employed by the engineering release system. Controlled Document Management (CDM) uses a "Transmittal for Manuals, Documents, and Procedures" form (A-6001-928) for distribution of controlled documents within their system. Often, formal distribution of documents is facilitated through official correspondence control (see section 2.2.1 of this document) which employs the "Correspondence Distribution Coversheet" (template in Word).

3.0 RECORDS MANAGEMENT

Records management ensures that required records are identified, maintained, stored, protected, and dispositioned (scheduled, archived, destroyed) in accordance with statutory and regulatory requirements (Federal and state). The Project Hanford centralized records management program is under the control of FH and is defined

within the Information Resource Management (IRM) procedures in the PHMS. The IRM services provider, LMSI Records & Information Management (RIM) provides records management support services to all Project Hanford contractor organizations. Services include records inventory and scheduling, consulting services, record storage and retrieval, systems/database development and administration, and program management. The internal procedures used by LMSI to control the services, systems, and processes used to manage records are consistent with applicable Project Hanford procedures and SNF Project procedures and are available on the Hanford Intranet, under PHMC, PHMS (Docs on Line), Related Links.

3.1 General

Project Hanford Projects are responsible for developing and implementing the procedural controls necessary to ensure that adequate records are generated, identified, and maintained in a manner that ensures their availability to support operational and regulatory needs and to meet legal obligations. The Project Hanford standards for managing records are:

> HNF-PRO-210, *Records Management Program Standards*
> HNF-PRO-222, *Quality Assurance Records Standards*

Additional records management requirements are found in other procedures and standards within the PHMS:

> HNF-PRO-232, *Project Files Management*
> HNF-PRO-405, *Protecting and Controlling Classified Matter*
> HNF-PRO-211, *Public Information Repository and Administrative Record Files*

Controlled copies (hardcopy format) of all procedures within the PHMS are available through CDM as explained in section 2.1 of this document.

All DOE-RL-authorized long-term record storage facilities for Project Hanford are managed and operated by the IRM services provider (LMSI). Authorized facilities currently consist of the Records Holding Area (RHA) at 940 Northgate in Richland, the FFTF QA Records Vault located in building 4702 in the 400 Area. All other record storage locations are considered temporary (see section 3.3.2 of this document for a discussion of temporary storage). All Project Hanford participants are required to transfer completed records from temporary to long-term storage as soon as they become inactive (frequent access is no longer needed).

All SNF Project records will be generated and managed in accordance with the cited Project Hanford standards. The SNF Project will utilize the records management systems, services and processes defined within the standards. Implementation of the processes and controls necessary to interface with the

Project Hanford systems and meet the Project Hanford standards shall be defined within the SNF Project administrative and technical procedures.

Specific directions for managing SNF Project records are found in the following administrative procedures:

IR-1-028, *Project Files Control*
IR-1-029, *Records Management*
IR-1-038, *Lost or Damaged Records*
IR-5-001, *Identification and Administration of Regulatory Files*

Records management direction is also provided within the "Records" section of each SNF Project technical and administrative procedure. Identification of the records generated via use of the procedure and the functions/organizations responsible for processing and retaining records should be included in the procedures, as appropriate.

3.2 Record Material

3.2.1 Project Files

NOTE: Project files are compiled documents and records associated with specific construction, fabrication, or characterization projects. They are not a catchall file for capturing non-project-specific records (see section 3.2.2).

Standards for the control, maintenance, closeout, storage, and retrieval of project documents and records are provided in HNF-PRO-232, *Project Files Management*. This standard applies to the documents and records generated or received by Project Hanford contractors or subcontractors in support of project work. In simple terms, the purpose of the Project Hanford official project files is to compile and manage the project information needed for the following:

• Documenting and reporting the status and completion of project activities, configurations and decisions.

• Documenting compliance with regulatory and project requirements

• Providing startup and operating data/information derived from the project for the structures, systems, or components resulting or benefiting from the project

• Compiling and preserving a "case file" record for each project.

All Project Hanford project files are managed and maintained by the IRM services provider (LMSI) at strategic locations throughout the Hanford Site. The documents used to compile the project files are a mixture of both record and information copies of documents generated during the course of the project. Because of their unique compilation and value as "case files," project files are required to be maintained and retired as record material in accordance with HNF-PRO-210, *Records and Management Program Standards* and HNF-PRO-222, *Quality Assurance Records Standards*.

The responsibility for identifying specific document types to be included in a given project file resides with the cognizant Project Manager. This responsibility is documented within the appropriate project management plan along with the directions to project participants for transmitting or distributing documents/records to the project files. The Project Records Index (PRI) (A-6002-510) used to index and retrieve documents by the project files custodians (LMSI) provides a preliminary list of project-related documents. The PRI is modified to create a project-specific list of documents to be included in the file. The filing schema for each project file is predicated on the file codes and hierarchy displayed on the PRI. LMSI staff is available to assist the SNF Project Manager and staff in development of the PRI.

The SNF Project administrative procedure for managing project files is IR-1-028, *Project Files Control*. Additional procedural direction for LMSI personnel contracted to manage project files is provided in LMSI-5750, *Project Files Management*.

3.2.1.1 Spent Nuclear Fuel Information Management Center (IMC) 2751E/C103/200E (373-4301)

Project Number	Project Title
W-441	Cold Vacuum Drying (CVD)
W-442	Multi Canister Overpack (MCO)
W-518	200E Area Interim Storage Area (ISA)
A-12	Characterization

3.2.1.2 100 Area K Basin Document Service Center
MO422/107/100K (376-0519)

Project Number	Project Title
A-1	Basin Filtration Upgrade
A-2	Debris Removal/KE Canister Cleaning System
A-2A	KW Canister Cleaning System
A-2B	KE Rack Removal System
A-2C	KW Rack Removal System
A-3	Purex Fuel Transfer
A-4	100N Fuel Transfer
A-5/A-6	Cask Transportation Facility Modifications (CTFM)
A-7	Fuel Retrieval System (FRS)
A-8	Dose Reduction
A-9	Integrated Water Treatment System (IWTS)
A-11D	Basin Personnel/Support Facility Upgrades
A-13A	Sludge Removal
W-405A	183KE Water Treatment Plant
W-405B	Electrical Upgrades
W-405C	Fire Protection Upgrades
W-405D	1717 Upgrades & 1724 Shop

Note: The A-13B Sludge Treatment project file is currently maintained at the Document Control Services Center at 2440 STVCN/1310D (376-9000).

3.2.1.3 Multi Canister Overpack (MCO) Document Service Center
328/104A/300 (372-0641)

Project Number	Project Title
W-442	Multi Canister Overpack (MCO)

Note: The W-442 MCO Project File is split between 2751E/C-103 and 328/104A, with the majority of historical information at 2751E and more current information at the 328 facility.

3.2.1.4 Canister Storage Building (CSB) Document Service Center
MO724 (372-1319)

Project Number	Project Title
W-379	Canister Storage Building (CSB)
W-484	Hot Conditioning Systems Equipment

3.2.2 General Records Files (not project-specific)

Records generated or received by Project Hanford contractor organizations that are not directly identifiable to a specific project are managed as general records files separate from the project files addressed in section 3.2.1 of this plan. As previously stated in section 3.1 of this plan, the SNF Project administrative procedure for records management is IR-1-029, *Records Management*. The following are examples of records contained in general records files:

- Facility operating records
- Facility maintenance and preventive maintenance records
- Human Resources and employee records
- General employee training records
- Company proprietary records
- Classified and sensitive records

General records files consist of in-process and completed record files and are maintained at locations throughout the SNF Project. Many SNF Project records are transmitted to the established SNF Project document service centers, maintained by LMSI, for temporary storage (separate from project files). Others are maintained by the generating or using organizations at strategic locations where they are needed to support operations throughout their active life. In either case, completed records are retired to the DOE Records Holding Area (RHA) located at 940 Northgate (376-6585) as soon as they become inactive. Each SNF Project organization or function responsible for generating, processing, transmitting, storing, or retiring records shall include the necessary directions and controls for their activities within their internal procedures.

3.2.3 Operations Readiness Review Records

The process used by all Project Hanford contractors for performing startup reviews on new or significantly modified facilities, processes, or activities is defined in HNF-PRO-055, *Facilities Start-Up Readiness*. This procedure implements the controls and requirements necessary for compliance to DOE Order 425.1A, *Startup and Restart of Facilities,* and DOE-Richland Operations Office (RL) Implementing Directives (RLID) 5480.31, *Startup and Restart of Facilities Operational Readiness Review and Readiness Assessments,* and RLID 425.1, *Startup and Restart of Facilities.* Requirements for Startup Execution Plans, Startup Review Plans of Action, and Implementation Plans are invoked by HNF-PRO-055. Startup review documentation also includes the requirements and the criteria for determining levels of review required, i.e.; Operational Readiness Review

(ORR), Readiness Assessment (RA), or Standard Startup Review (SSR) are also included.

Compilation and management of the documents and records that provide evidence of the state of readiness for a given startup is the core of the assessment process, regardless of the required level of review (ORR, RA, or SSR). The ability to identify, retrieve, and maintain all documents and records pertaining to startup is critical for all reviews.

All Project Hanford contractors are required to develop and implement the plans and procedures necessary to ensure that all startup reviews are conducted in accordance with HNF-PRO-055. The SNF Project provides direction for assessing readiness in MS-1-020, *Readiness Determination Process*. Additional direction is found in the following plans:

- HNF-SD-SNF-POA-001 *Plan of Action for SNF Project Fuel Handling and Process Operations Operational Readiness Review*

- HNF-5814 *Plan of Action for SNF Project KW Basin Fuel Retrieval System and IWTS Phased Startup Initiative Phase 3 Testing Readiness Assessment*

- HNF-2039 *Management Self-Assessment Plan*

HNF-2039, *Management Self-Assessment Plan*, is the baseline document for the SNF Project ORR. This plan identifies Management Self-Assessment (MSA) packages that will be generated to assess readiness. MSA packages are required to be managed as controlled documents, employing rigorous change control as defined by the plan. The MSA packages have also been identified as OCRWM QA records and shall be managed as such (see section 3.2.6 of this document).

Records required for use by operations after startup shall be identified during the ORR. Non-record copies shall be used to support operations whenever possible. Custody of one-of-a-kind (non-reproducible) records necessary to support operations shall be transferred to operations prior to startup. Upon completion of the SNF Project ORR, all ORR records will be transferred to the RHA for long-term storage (see section 3.3.4 of this document).

3.2.4 Technical Reference Libraries

Collections or libraries of technical reference material are maintained at strategic locations throughout the SNF Project. Uncontrolled copies of documents and non-record copies of record material are used to populate

these reference libraries. Since the copies of controlled documents within the reference libraries are uncontrolled, they may not represent the most recent revision, or include all of the latest changes. For this reason, they may be used for reference purposes only. Document users shall verify, through the appropriate document control system, that they are using the most current version (including changes) before relying on the uncontrolled copy for accurate information. Because these libraries do not contain controlled documents or records, the reference material may be discarded when no longer needed.

3.2.5 Other Document/Record Centers

Construction Document Control (CDC), operated and managed by Fluor Federal Services (FFS), is located in MO237 in the 100K Area (372-2020). This center is responsible for the collection, maintenance, and retrieval of all construction records. The CDC also controls and maintains configuration of specific construction design documents and provides controlled distribution to project participants. The CDC is an SNF Project resource for in-process and completed construction documents and records. Upon completion of sub-projects, construction records will be turned over to the SNF Project for retirement to the RHA with the appropriate SNF Project file (see section 3.2.1 of this document).

Technical Document Control (TDC), operated and managed by FFS, is located in MO286 in the 200E Area (372-3107). This center is responsible for maintaining the SNF Project Engineering Library (see section 3.2.4 on technical reference libraries) and the collection, maintenance, and turnover of vendor and subcontractor engineering records. The TDC also controls and maintains distribution of vendor and subcontractor controlled engineering documents, including transmittal of construction-related documents to CDC for controlled distribution. The TDC is an SNF Project resource for construction project vendor and subcontractor engineering documents and records. Upon project completion of sub-projects, TDC engineering records will be turned over to SNF Project for retirement to the RHA with the appropriate SNF Project file (see section 3.2.1 of this document).

SNF Project Test Startup Library -- In-process startup testing records shall be protected and maintained at the testing locations or at the SNF Project Test Startup Library located in MO413/104 (372-8482). Once all of the testing has been completed and approved by the Joint Test Group (JTG) for a given system and the system has been turned over to operations, the completed test records will be transferred to the appropriate project file for retention as QA record material. Information copies of the completed test records shall be used to support operations.

3.2.6 Quality Assurance Requirements for QA Record

Project Hanford quality assurance (QA) records, as defined in Appendix A, are required to be managed in accordance with the requirements established in the HNF-MP-599, *Quality Assurance Program Description* and in HNF-PRO-222, *Quality Assurance Records Standards*. The SNF Project describes implementation of the QAPD in SNF-4948, *Quality Assurance Program Plan*.

The QARD (DOE/RW/0333P), also defined in Appendix A invokes additional requirements. It establishes the minimum requirements for the OCRWM QA program, and section 17.0 prescribes specific requirements for managing QA records. The Quality Assurance Program Plan for implementation of the QARD is QAPP-OCRWM-001, *QAPP for Implementation of OCRWM QARD for the Spent Nuclear Fuel Project*. The documents used to implement the OCRWM QARD are identified in the *SNF Project QARD Requirements Matrix*, QA-OCRWM-1.

The list of activities subject to QARD applicability (provided within the QARD) is fairly extensive since activities at all locations under OCRWM purview are included. The SNF Project activities subject to OCRWM/QARD application are limited to those associated with characterization or data collection for input or use; conditioning into final form; or handling, packaging and transportation. More specific direction for selecting items and activities and documents that require application of the QARD is provided in HNF-SD-SNF-RPT-007, *Application of the Office of Civilian Radioactive Waste Management Quality Assurance Requirements to the Hanford Spent Nuclear Fuel Project*. Additional direction for developing, documenting, and maintaining Q-Lists to be used in conjunction with HNF-SD-SNF-RPT-007 is provided in SNF Project administration procedure QA-11-012, *Development and Maintenance of OCRWM/QARD Q-Lists*. All QA records associated with the Q-List items identified through this process are OCRWM QA records and shall be managed in accordance with QARD requirements.

The process for determining OCRWM items, activities, and documents is somewhat complex and most evident to those individuals and organizations directly involved with the implementation of HNF-SD-SNF-RPT-007. All related OCRWM QA records will be identified as "OCRWM" directly on each record prior to transfer to a file or records custodian. This provision will ensure that OCRWM QA records are readily identifiable and receive an appropriate degree of processing and storage protection, as specified within section 17.0 of the QARD.

All SNF Project locations employed to store completed records will be storing both OCRWM and non-OCRWM QA records, along with other non-QA record material. For this reason, all record storage locations will comply with the requirements stipulated in section 17.0 of the QARD and HNF-PRO-222, *Quality Assurance Records Standards*. Fire protection standards specified for QA records (OCRWM and non-OCRWM) will be satisfied using "dual storage" methodology wherever possible. For one-of-a-kind QA records where duplication is not practical to accommodate dual storage, one-hour fire-rated cabinets will be employed.

Digital imaging technology shall be utilized to accommodate dual storage requirements for completed QA records maintained at all SNF Project locations. These records shall be scanned, indexed, and maintained in the RMIS system (see section 2.3.1 of this document) in accordance with procedures LMSI-4377, *RMIS System General Operating Procedure* and LMSI-4378, *RMIS Imaging, Native Files, and Indexing*. Scanned images of the records are stored on optical disks (platters) maintained at 825 Jadwin/360. These serve as the second copy necessary to meet dual storage requirements. This system also employs the use of backup tapes and backup platters stored at 825 Jadwin/301, and in the RHA at 940 Northgate for added protection of information. In the event that a hardcopy QA record is lost or destroyed, a replacement hardcopy record can easily be printed from RMIS. An additional benefit derived from using this system to accommodate dual storage is the easy reference to stored information from individual workstations via the Hanford network.

3.3 Processes and Systems

3.3.1 Electronic Records Management Support Systems

The Project Hanford records program uses a variety of electronic systems to manage and retrieve record material. In addition to the databases and systems employed to manage controlled documents (see section 2.3.1 of this document), there are systems used exclusively to manage completed records. The following systems/indexes are used by the IRM services provider to manage Project Hanford records:

Records Management Information System (RMIS) – is primarily used as a document storage and retrieval system (see section 2.3.1 of this document). While the RMIS does not contain record material, it is employed to satisfy dual storage requirements for QA Records (including OCRWM). This system also provides easy retrieval of non-record copies of selected documents, which reduces the need for retrieval of these documents from the record archives. SNF Project personnel may obtain direct access authorization to RMIS by contacting RIM Systems/Data Administration at 1981 Snyder/214 (372-0728). Assistance with retrieval from RMIS is also

available through IRM service provider personnel located throughout the project.

Records Holding Area Management Information System (RHAMIS) – is the primary system for indexing and retrieving completed records at the Records Holding Area (RHA) in Richland, and the Federal Records Center (FRC) in Seattle (see section 3.1 of this document). The records retention schedule table within this system is shared with the RIDS System. SNF Project personnel do not have direct access to this system. However, they may access information and affect records retrieval through Records Storage & Retrieval Services located in the RHA at 940 Northgate (376-6585).

Records Inventory and Disposition Schedule (RIDS) System – is used to compile, track, maintain, and revise records inventory information (see section 3.3.3 of this document). The records retention schedule table within this system is shared with the RHAMIS. SNF Project RIDS coordinators, assigned through the main RIDS point of contact, directly access this system via the Intranet to compile information and prepare RIDS.

3.3.2 Temporary and Long-Term Storage

Storage of completed records at any location other than a DOE-RL-approved record storage facility is considered to be temporary. Temporary storage locations include:

(1) Locations within the plants, facilities, and offices used by the record owners or users to store completed active records.
(2) Document and records service centers maintained by the IRM service provider (LMSI) to store active general records and project files.
(3) Locations used by authorized temporary custodians to store those records removed or checked out from other storage locations.

Standards for temporary record storage are prescribed in HNF-PRO-210, *Records Management Program Standards* and HNF-PRO-222, *Quality Assurance Records Standards*. Specific SNF Project direction for temporary storage is provided in SNF Project administrative procedure IR-1-029, *Records Management*. All locations used to temporarily store SNF Project records shall, at a minimum, meet the requirements prescribed within the aforementioned standards and procedures. Each storage location and the controls and processes used to protect and manage records at these locations shall be procedurally described.

Temporary storage of QA records, including OCRWM, shall be in one-hour fire-rated cabinets whenever practical. In instances where the use of one-hour fire-rated cabinets is not practical, dual storage using RMIS imaging shall be employed to ensure preservation of the record. Storage of an

image of the record in RMIS, and the hardcopy maintained within the appropriate record file (general or project), ensures that the subject records are maintained in a manner that precludes loss for any reason.

Long-term storage of completed, inactive records is provided at the RHA located at 940 Northgate in Richland. Records will be transferred from temporary storage locations to the RHA once they become inactive. Retrieval of records from the RHA is not as fast as retrieval from temporary storage locations. Therefore, SNF Project personnel should avoid transferring active records to long-term storage.

3.3.3 Identification and Scheduling of Records

The identification of required records and the assignment of appropriate retention schedules are an integral part of a records management program. Identification of records involves two separate, distinct tasks or activities. The first activity is the identification of records required to adequately document work activities, tasks, decisions, accomplishments, etc. The second is the inventory of existing record and non-record material to facilitate the identification of records to be managed. The first element is satisfied by each organization through the inclusion of requirements for generating and processing required records within the procedures that prescribe, define, or control the process or activity at hand. The second element of identification and the assignment of retention schedules and retirement instructions are provided through the Records Inventory and Disposition Schedule (RIDS) process.

All Project Hanford contractors are required to develop and implement RIDS using form A-6000-348 in accordance with HNF-PRO-210, *Records Management Program Standards*. The RIDS are used to document record material in all offices and file locations and assign appropriate disposition and retention schedules as prescribed by the DOE Record Schedules (DOERS) and the General Records Schedules (GRS) published by the National Archives and Records Administration (NARA). The DOERS and GRS provide authorized retention and disposition schedules for agency records and are both available to users on the Internet (http://www-it.hr.doe.gov/records/recsched.htm).

All RIDS are required to be approved by, and on file with, the records specialist assigned to the SNF Project by the IRM services provider. The approved RIDS are used to verify that appropriate document types and retention times are assigned to records prior to transfer for long-term storage, destruction, or archival storage.

The Hanford Site is currently under a full moratorium on the destruction of record material until further notice. No records may be

destroyed during the moratorium, including those that have reached the end of their scheduled retention periods.

All SNF Project organizations will utilize the RIDS process to document records inventories, provide retirement instructions, and assign retention schedules to all records. Assistance for completing and maintaining RIDS is available from the SNF Project-assigned record specialist at 1981 Snyder/213 (372-3074). An approved copy of each RIDS will be maintained at each respective file location.

3.3.4 Records Transfers

The transfer of completed <u>active</u> SNF Project records **between** custodial companies, organizations, functions, or individuals will be documented on a "Document Transmittal" form (A-6002-144). All of the pertinent information needed to identify the transferred records, along with the information needed by the recipient to determine storage and retention requirements (e.g., record types, retention schedules, unique filing and retrieval requirements, access restrictions/authorizations) shall be included on the transmittal. All OCRWM and QA records will be specifically identified as such on the transmittals to facilitate special storage provisions.

The transfer/retirement of <u>inactive</u> records **to the RHA** for long-term storage shall be documented and approved on a "Records Transfer" form (A-6001-559). Completed transfer forms will be submitted for approval by the assigned LMSI/RIM records specialist located at 1981 Snyder/213 (372-3074) prior to shipment of the records.

3.3.5 Data Management

The Hanford Project standard for data management is HNF-PRO-656, *Data and Information Management Standards*. The standards and requirements for defining, creating, managing and disseminating data through information systems are defined within that document. The SNF Project plan for data management is HNF-SD-SNF-MP-001, *Spent Nuclear Fuel Project Data Management Plan* (DMP).

There is a very close relationship between data management and document and records management. Data management systems and processes generally focus on the generation, collection, processing, and use aspects of managing technical data. Established document and records management systems are relied on to effectively manage all types of recorded and published information, including technical data. For this reason, all of the records management requirements, controls, processes, systems, and services described within this document are applicable to the various data types identified within the DMP.

While these factors naturally result in some redundancy between the two documents, each contributes to preserving the integrity of data throughout its lifecycle. See section 5.0 of the DMP for additional information on the specific data types generated by the project and references to SNF Project administrative procedures addressing data management implementation.

4.0 DOCUMENT AND RECORDS MANAGEMENT TRAINING

Training for personnel generating, processing, using and maintaining controlled documents and records is provided in a number of ways. Many SNF Project organizations employ "read and initial" methodology to document receipt acknowledgement and understanding of procedures, bulletins, and directives. This process is used to convey new and revised internal SNF Project administrative procedures that contain document control and records management direction.

Employees directly responsible for document and record management, as a routine part of their job responsibilities, may attend formal classroom instruction and professional development seminars offered by government agencies, commercial companies, and colleges. The document control and records management personnel within LMSI and FFS that support the SNF Project are examples of personnel who receive training in this manner.

A minimal amount of records training is provided within the Hanford General Employee Training (HGET) administered annually to all employees. On-the-job-training (OJT) is routinely provided to SNF Project personnel who are maintaining or retiring completed records. This training is available through the LMSI records specialist assigned to the SNF Project and provides guidance and direction relative to completion and approval of RIDS (section 3.3.3 of this document) and the transfer of records to the RHA (see section 3.3.4 of this document).

5.0 MANAGEMENT ASSESSMENT

Management assessments of the document control and records management procedures and practices employed by the SNF Project are planned, scheduled, conducted and documented in accordance with SNF Project administrative procedure MS-1-036, *Management Assessments*.

The SNF Project also utilizes comprehensive management evaluations called Management Implementation Reviews to assess the effectiveness of the records management procedures and practices. LMSI RIM records specialist, in accordance with section 2.9 of HNF-PRO-210, *Records Management Program Standards*, performs these comprehensive management evaluations.

6.0   REFERENCES

Requirements Documents	Addressed in this plan under section:
DOE O 241.1, *Scientific and Technical Information Management*	2.3.2
DOE O 425.1A, *Startup and Restart of Nuclear Facilities*	3.2.3
RLID 425.1, *Startup and Restart of Facilities*	3.2.3
RLID 5480.31, *Startup and Restart of Facilities Operational Readiness Review and Readiness Assessments*	3.2.3
RLIPP 1322.1B, *RL Forms Management*	2.2.11
DOE/RW/0333P, *Office of Civilian Radioactive Waste Management, Quality Assurance Requirements and Description (QARD)*	2.1, 3.2.6
DOE-STD-1029-92, *Writer's Guide for Technical Procedures*	2.2.3
QA-OCRWM-1, *SNF Project QARD Requirements Matrix*	3.2.6
QAPP-OCRWM-001, *QAPP for Implementation of OCRWM QARD for the Spent Nuclear Fuel Project*	3.2.6

Project Hanford Plans and Procedures

HNF-2039, *Management Self-Assessment Plan*	3.2.3
HNF-3552, *Spent Nuclear Fuel Project Execution Plan*	Page 1
HNF-4725, *Correspondence Style Guide*	2.2.1
HNF-5814, *Plan of Action for SNF Project KW Basin Fuel Retrieval System and IWTS Phased Startup Initiative Phase 3 Testing Readiness Assessment*	3.2.3
HNF-IP-1217, *Work Management Guidance*	2.2.7
HNF-MP-599, *Quality Assurance Program Description*	2.1, 3.2.6
HNF-PRO-055, *Facilities Start-Up Readiness*	3.2.3
HNF-PRO-069, *Maintenance Management*	2.2.7
HNF-PRO-097, *Engineering Design and Evaluation*	2.2.2
HNF-PRO-112, *Forms Administration Standards*	2.2.11
HNF-PRO-184, *Standards for Controlled-Use Information*	2.1, 2.3.1, 2.3.2

Project Hanford Plans and Procedures	Addressed in this plan under section:
HNF-PRO-210, *Records Management Program Standards*	3.1, 3.2.1, 3.3.2, 3.3.3, 5.0
HNF-PRO-211, *Public Information Repository and Administrative Record Files*	3.1
HNF-PRO-222, *Quality Assurance Records Standards*	3.1, 3.2.1, 3.2.6, 3.3.2
HNF-PRO-224, *Document Control Program Standards*	2.1, 2.2.4, 2.2.6, 2.2.10, 2.3.1, 2.3.2, 2.3.3
HNF-PRO-229, *Technical Procedure Standard*	2.2.3
HNF-PRO-231, *Correspondence Control Standards*	2.2.1, 2.3.1
HNF-PRO-232, *Project Files Management*	3.1, 3.2.1
HNF-PRO-233, *Review and Approval of Documents*	2.1
HNF-PRO-244, *Engineering Data Transmittal Requirements*	2.2.2
HNF-PRO-245, *Management Directives*	2.1
HNF-PRO-405, *Protecting and Controlling Classified Matter*	2.1, 2.3.2, 3.1
HNF-PRO-407, *Obtaining Classification or Declassification Reviews*	2.1, 2.3.2
HNF-PRO-440, *Engineering Document Change Control Requirements*	2.2.2
HNF-PRO-589, *Processing Project Hanford Procedures*	2.1
HNF-PRO-604, *Hanford Document Numbering System*	2.1, 2.3.1
HNF-PRO-656, *Data and Information Management Standards*	3.3.5
HNF-PRO-697, *Scientific and Technical Information Standards*	2.1, 2.2.9, 2.3.2
HNF-PRO-709, *Preparation and Control Standards for Engineering Drawings*	2.2.2, 2.3.1
HNF-PRO-1819, *PHMC Engineering Requirements*	2.2.2, 2.2.10, 2.3.1
HNF-SD-SNF-RPT-007, *Application of the Office of Civilian Radioactive Waste Management Quality Assurance Requirements to the Hanford Spent Nuclear Fuel Project*	3.2.6
HNF-SD-SNF-MP-001, *Spent Nuclear Fuel Project Data Management Plan*	3.3.5

	Addressed in this
Project Hanford Plans and Procedures	**plan under section:**

HNF-SD-SNF-POA-001, *Plan of Action for SNF Project Fuel*
        Handling and Process Operations Operational
        Readiness Review   3.2.3

Lockheed Martin Services Internal Procedures

LMSI-4377, *RMIS System General Operating Procedure*	2.3.1, 3.2.6
LMSI-4378, *RMIS Imaging, Native Files, and Indexing*	3.2.6
LMSI-5750, *Project Files Management*	3.2.1

SNF Project Internal Procedures/Instructions

SNF-4948, *Quality Assurance Program Plan*	2.1, 3.2.6
EN-6-004, *Engineering Personnel Qualifications, Appointments* *and Responsibilities*	2.2.2
EN-6-005, *Engineering Component Identifier and Labeling Control*	2.2.2
EN-6-006, *Engineering Drawing Requirements*	2.2.2
EN-6-008, *Electrical Panel Schedule Print Management*	2.2.2
EN-6-009, *OCRWM Reviews*	2.2.2
EN-6-010, *Calculations*	2.2.2
EN-6-011, *Engineering Specifications*	2.2.2
EN-6-012, *As-Built Verification Process*	2.2.2
EN-6-017, *Electronic Management of OCRWM Data*	2.2.2
EN-6-024, *Field Change Requests*	2.2.2
EN-6-025, *Support Document (SD) Issuance and Change Control*	2.2.2
EN-6-026, *Vendor Information Requirements*	2.2.10
EN-6-027, *Design Verification Process*	2.2.2
EN-6-029, *Development and Maintenance of Safety Equipment* *Lists (SELs)*	2.2.2
EN-6-030, *Engineering Process*	2.2.2
EN-6-035, *Dedication of Commercial Grade Items (CGI)*	2.2.2
EN-6-039, *Engineering Document Change Control*	2.2.2
IR-1-001, *SNF Project File Server Control*	2.1

<u>SNF Project Internal Procedures/Instructions</u>	<u>Addressed in this plan under section:</u>
IR-1-004, *Manual/Document Control*	2.2.3, 2.2.4
IR-1-028, *Project Files Control*	3.1, 3.2.1
IR-1-029, *Records Management*	3.1, 3.2.2, 3.3.2
IR-1-038, *Lost or Damaged Records*	3.1
IR-5-001, *Identification and Administration of Regulatory Files*	3.1
MN-7-001, *JCS Preventive Maintenance and Surveillance (PM/S) Module*	2.2.7
MN-7-002, *Work Control*	2.2.3, 2.2.7
MS-1-002, *Administration of Administrative Procedures*	2.2.4
MS-1-005, *Desk Instruction Administration*	2.2.5
MS-1-020, *Readiness Determination Process*	3.2.3
MS-1-023, *Approval Designators E, S, Q, D, and M Identifications*	2.1, 2.2.3
MS-1-032, *Commitment Management*	2.2.1
MS-1-036, *Management Assessments*	5.0
MS-9-001, *Technical Procedures Administration*	2.2.3
MS-9-002, *Technical Procedure Development Process*	2.2.3
MS-9-003, *Technical Procedure Change Process*	2.2.3
MS-9-004, *Technical Procedure Use and Compliance*	2.2.3
NS-4-002, *Process Standards Administration*	2.2.3
NS-4-003, *Process Change Authorization Administration*	2.2.3
NS-4-004, *Process Standard Nonconformance Administration*	2.2.3
OP-1-021, *Master Work Plan Implementation*	2.2.7
OP-2-018, *Logkeeping*	2.2.6
OP-10-006, *Procedure Change Notices and Procedure Change Requests*	2.2.3
OP-10-015, *Test Procedure Preparation*	2.2.3
OP-10-027, *Operations and Maintenance Manuals*	2.2.3
QA-11-012, *Development and Maintenance of OCRWM/QARD Q-Lists.*	2.2.2, 3.2.6
TP-DI-001, *Technical Procedures Writers Guide.*	2.2.3

APPENDIX A: DEFINITIONS

Accession Number – A unique control number, automatically assigned to each record indexed within the Records Management Information System (RMIS).

Active/Inactive Record – The status of a completed record predicated on the frequency of use or reference. Active records are those requiring frequent access and inactive records are those requiring infrequent access, or no access at all.

Controlled Documents – Documents that have been determined to warrant controls related to preparation, review, approval, distribution, use, and/or revision. Documents that meet any of the following criteria (invoked by DOE/RW/0333P, *Office of Civilian Radioactive Waste Management, Quality Assurance Requirements and Description (QARD)* and/or HNF-PRO-224, *Document Control Program Standards*) are required to be controlled:

- Implementing documents and documents that specify technical requirements or quality requirements
- Documents that implement the controls necessary for compliance with contractual, legal, fiscal, or regulatory requirements
- Document users require a current copy to conduct work properly
- Use of an out-of-date copy could adversely impact program or project activities
- Documents that document administrative or operational activities
- Documents that specify quality requirements or activities that affect quality
- Documents used to record analysis or interpretations, or technical, legal, or fiscal decisions
- Documents that specify requirements or prescribe activities that affect industrial, environmental, or nuclear safety.

Document Service Center – Centers maintained by LMSI personnel to provide direct records management support to the SNF Project. The centers typically maintain project files, general record files, and technical information libraries for the SNF Project at locations specified within this plan.

Engineering Release Stations – Stations strategically located throughout the site that provide for the release, issuance, and retrieval of engineering documents.

Information Management Center – SNF Project location for receipt, processing and applicable storage of all SNF Project records.

Lifetime Quality Assurance (QA) Records – Those QA records that must be maintained for the life of a particular item while it is installed or stored for future use which meet one or more of the following criteria:

(a) those that would be of significant value in demonstrating capability for safe operation;

(b) those that would be of significant value in maintaining, reworking, repairing, replacing, or modifying an item;

(c) those which would be of significant value in determining the cause of an accident or malfunction of an item;

(d) those which provide required baseline data for in-service inspections;

(e) those that provide evidence of the quality of items on the Project's Office of Civilian Radioactive Waste Management (OCRWM) Q List;

(f) those that provide evidence of the quality of activities related to items on the project's OCRWM Q List;

(g) those that provide evidence of those activities that provide data used to assess the potential dispersion of radioactive materials from a licensed facility;

(h) those that provide evidence of the quality of those activities associated with the characterization of DOE spent nuclear fuel, and conditioning through acceptance of DOE spent fuel;

(i) personnel training and qualification documents for individuals executing QA program requirements;

(j) documents that are considered implementing documents such as procedures, instructions, and drawings, with the exception of design documents.

Long-Term Storage - is the storage of completed inactive records in an RL-approved designated record storage facility operated by the IRM services provider (LMSI) as defined in HNF-PRO-210, *Records Management Program Standards*. All SNF Project long-term storage is provided at the Records Holding Area (RHA) at 940 Northgate in Richland.

Nonpermanent QA Records – Those required to show evidence that an activity was performed in accordance with the applicable requirements but need not be retained for the life of the item because they do not meet the criteria for lifetime QA records.

OCRWM Document/Records – Documents and records subject to the requirements of the Office of Civilian Radioactive Waste Management (OCRWM) QA program as defined in DOE/RW/0333P, *Office of Civilian Radioactive Waste Management Quality Assurance Requirements and Description* (QARD).

One-of-a-kind Record – Any information and/or material generated or produced in a form that cannot be duplicated by use of a copy machine or microfilmed. One-of-a-kind records include videotapes, photographic negatives, photographs, radiographic x-rays, magnetic and optical media, strip charts, multicolored maps, map overlays and physical samples.

Project Files – are record files comprised of the documents and records generated and received in support of a specific SNF sub-project. Project files are compiled during the course of a project and represent a "case file" of the transactions that transpired during the project.

Project Records Index (PRI) – A listing of all documents and records generated by SNF Project and that may be received by Information Management Center.

Q-List - A documented and controlled list of items and related activities derived from technical analyses and based on applicable criteria presented in OCRWM-QARD section 3.2.6. These project Q-list items and related activities are subject to appropriate project Quality Assurance Program requirements when associated with applicable controlling activities defined under OCRWM-QARD section 3.2.6.

Quality Assurance Records – Information contained on hard copy (paper), microfilm (with proper authorization), or magnetic tape, photocopy, and electronic systems that is complete in terms of appropriate content and furnishes evidence of the quality of items and/or activities assurance quality. Records may be original documents, or, legible, reproduced copies. Quality Assurance records are classified as "lifetime" or "nonpermanent."

Records – Records of the Department of Energy are books, papers, photographs, machine-readable materials, maps, or other documentary materials, regardless of physical form or characteristics, which have documentary or evidential value. The materials, created or received in connection with the transaction of official business are preserved because of their informational value as evidence of the organization's functions, policies, decisions, procedures, operations, or other activities. Both originals and copies may be designated as record material.

Records Inventory and Disposition Schedules (RIDS) – A listing of the filing units, general files, and quality assurance record files of an organization, setting forth their mandatory disposition in terms of retirement, disposal, or transfer to long-term storage after specified retention period in the office. The RIDS includes all file material, i.e., record (including record and nonrecord material), classified and unclassified information. It also includes records designed for permanent retention and those scheduled for disposal.

Release Authorization – Form used to signify that a specific document has been approved for public access via the clearance process. The product of the document clearance process may also be referred to as the "Release Authorization."

Scientific and Technical Information – Information in any format or medium that is derived from scientific and technical studies, work, or investigations that relate to research, development, demonstration, and other specialized areas such as environmental and health protection and waste management. Scientific and technical

information may be unclassified unlimited, unclassified sensitive, classified, or declassified. DOE-funded STI originates primarily from research and other activities performed by contractors for management, operation, or integration of DOE-owned/leased facilities, direct DOE-executed prime procurements, DOE-operated research activities, and financial assistance recipients, in addition to DOE employees.

Temporary Record Storage – is the storage of completed active records at selected locations throughout the SNF Project, e.g., project files, operations, startup/ORR files, training files. Temporary record storage includes the storage of records temporarily removed from a record storage facility. Records are transferred to long-term storage once they become inactive.

Work Packages – A specific scope of work, usually near-term, in a cost account of task packages. A work package
- Shows all elements of the cost account, in manageable units
- Defines and summarizes tasks
- Distinguishes it from other work packages.

APPENDIX B: ACRONYMS

CAD	Computer-Aided Drawing
CDC	Construction Document Control
CDM	Controlled Document Management
CIO	Chief Information Officer
CNS	Correspondence Numbering System
CVI	Certified Vendor Information
DMP	Data Management Plan
DOE	Department of Energy
DOERS	Department of Energy Record Schedules
DTA	Document Tracking Application
ECN	Engineering Change Notice
EDMS	Engineering Document Management System
EDT	Engineering Data Transmittal
FRC	Federal Records Center
GRS	General Records Schedules
HDCS	Hanford Document Control System
HDNS	Hanford Document Numbering System
HGET	Hanford General Employee Training
ICS	Information Clearance Services
IRAD	Information Release Administration Database
IRM	Information Resource Management
LMSI	Lockheed Martin Services, Inc.
MSA	Management Self-Assessment
NARA	National Archives and Records Administration
OCWRM	Office of Civilian Radioactive Waste Management
OJT	On-the-Job Training
OSTI	Office of Scientific and Technical Information
PHMC	Project Hanford Management Contract
PHMS	Project Hanford Management System
PRI	Project Records Index
QA	Quality Assurance
QARD	Quality Assurance Requirements and Description
RA	Readiness Assessment
RHA	Records Holding Area
RHAMIS	Records Holding Area Management Information System
RIDS	Records Inventory and Disposition Schedule
RIM	Records and Information Management
RL	Richland Operations Office
RLID	Richland Operations Office Implementing Directive
RLIPP	Richland Operations Office Implementing Policies/Procedures
RMIS	Records Management Information System
RSRS	Records Storage and Retrieval Services
SDF	Site Drawing File
SNF	Spent Nuclear Fuel
SSR	Standard Startup Review
STI	Scientific and Technical Information
TDC	Technical Document Control
UDC	Unclassified Document Control
VI	Vendor Information