

CCP-QP-028

Revision 12

CCP Records Filing, Inventorying, Scheduling, and Dispositioning

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APPROVED FOR USE

RECORD OF REVISION

Revision Number	Date Approved	Description of Revision
3	08/20/2002	Added steps 4.3.3 through 4.3.6. Added a Table of Contents. Added a Record of Revision. Other editorial changes.
4	10/24/2002	Added new Step 3.1.2 and revised Step 4.2.4.[B] making the Project Manager responsible for signing RIDS; added as result of a comment during the SRS Recertification Audit.
5	09/25/2003	Separated electronically fillable forms and updated references in procedure. Added responsibilities for CCP personnel. Other editorial changes.
6	07/25/2006	Revised to change the CCP Project Manager's responsibility to the CCP Project Support Manager.
7	04/18/2007	Revised to change CCP Project Support Manager responsibilities to the CCP Program Development Manager.
8	09/11/2007	Revised to make minor editorial changes and to replace Attachment 1, Records Inventory and Disposition Schedule with new DOE form, DOE F 1324.10 (06-96).
9	02/24/2009	Revised to incorporate changes to titles of personnel and names for organizations. Also, a step was added to Section 4.2 (step 4.2.5) to complete the process performed. Section 4.4 was deleted since the requirements are not applicable to the CCP scope of work (they are implemented at the RCT level).
10	04/08/2010	Revised to incorporate changes to Attachment 2, Instructions for Filling Out the Records Inventory and Disposition Schedule.
11	05/19/2010	Revised to bring instructions regarding location in Attachment 4, Instructions for Filling Out the Records Inventory and Disposition Schedule, in line with current practice.
12	11/09/2010	Revised to remove examples form and re-number remaining attachments and update Attachment 2.

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1.0 PURPOSE

This procedure provides direction and instruction for filing correspondence records by using the Uniform File Code; and generating, issuing, and using a Records Inventory and Disposition Schedule (RIDS).

1.1 Scope

The procedure applies to Central Characterization Project (CCP) Personnel, CCP Managers, and CCP Records Custodians responsible for inventory, scheduling, and disposing of CCP records under their cognizance, regardless of media, in order to document the activities related to the CCP.

2.0 REQUIREMENTS

2.1 References

Baseline Documents

- 44 USC 3301, *Definition of Records*
- CAO-94-1001, *CAO Information Management Plan*
- DOE/CBFO-94-1012, *U.S. Department of Energy Carlsbad Field Office (CBFO) Quality Assurance Program Document (QAPD)*
- DOE/WIPP 03-3288, *Uniform File Code*

Referenced Documents

- DOE F 1324.10, *Records Inventory and Disposition Schedule (RIDS)*
- DOE F 1324.9, *Records Inventory and Disposition Schedule (RIDS)- Continued*
- Title 40 *Code of Federal Regulations (CFR) Part 262, Standards Applicable to Generators of Hazardous Waste*
- CCP-QP-008, *CCP Records Management*
- CCP-PO-001, *CCP Transuranic Waste Characterization Quality Assurance Project Plan*
- WP 15-RM3002, *Records Filing, Inventorying, Scheduling, and Dispositioning*
- WP 15-RM3005, *Records Transfer and Retrieval*

3.0 RESPONSIBILITIES

3.1 CCP Manager or Designee

3.1.1 Approves the Records Inventory and Disposition Schedule (CCP RIDS).

3.2 Lead CCP Records Custodian

3.2.1 Develops new CCP RIDS.

3.2.2 Performs annual review and revision of CCP RIDS.

3.3 CCP Personnel

3.3.1 Maintain, track, log, and file CCP correspondence.

3.4 WIPP Records Management Services (WRMS)

3.4.1 Reviews the CCP RIDS and associated worksheets, Attachment 1, CCP Records Inventory Worksheet.

3.4.2 Provides final approval signature for the CCP RIDS.

4.0 PROCEDURE

4.1 Developing a New Inventory and CCP RIDS

Lead CCP Records Custodian

NOTE

The Lead CCP Records Custodian may request assistance from WIPP Records Management Services (WRMS) for performance of steps 4.1.1 and 4.1.2.

4.1.1 Complete Attachment 1 for each record and non-record series.

4.1.2 Complete the CCP RIDS using the instructions contained in WP 15-RM3002, *Records Filing, Inventorying, Scheduling, and Dispositioning*.

4.2 CCP RIDS Review and Approval

Lead CCP Records Custodian

4.2.1 Forward the draft CCP RIDS and Attachment 1(s) to WRMS for review and comments.

4.2.2 **IF** WRMS returns the CCP RIDS with comments, **THEN** resolve the comments.

4.2.3 **IF** notified by WRMS that the CCP RIDS is acceptable, **THEN** print out a final copy of the CCP RIDS for signatures.

4.2.4 Obtain the required CCP signatures in Block 5, CCP RIDS, as follows:

[A] Prepared by - Signature of the designated trained Lead CCP Records Custodian who prepared the CCP RIDS

[B] Approved by - Signature of the CCP Manager or Designee

[C] Record Liaison Officer - Enter "N/A"

4.2.5 Submit signed CCP RIDS to WRMS for final approval by obtaining WRMS signature.

4.3 Revising and Reviewing the CCP RIDS

Lead CCP Records Custodian

4.3.1 Review files annually.

NOTE

Take into consideration organization changes that may affect record series custodianship, location, or when new record series are created.

4.3.2 Check all record and non-record material on the current CCP RIDS.

4.3.3 **IF** a new series is added,
THEN complete Attachment 1, **AND** add the new record series to
the existing CCP RIDS.

4.3.4 **IF** a record series is no longer generated and maintained,
THEN complete parts B and F of Attachment 1, detailing the
change, **AND** delete the item from the CCP RIDS.

4.3.5 Forward the draft CCP RIDS, **AND** any new Attachment 1(s) to
WRMS annually.

4.3.6 Follow steps 4.2.2 through 4.2.5.

5.0 RECORDS

5.1 Records generated during the performance of this procedure are maintained in accordance with CCP-QP-008, *CCP Records Management*. The records are the following:

Non-Quality Assurance

| 5.1.1 Records Inventory and Disposition Schedule

| 5.1.2 CCP Records Inventory Worksheet (Attachment 1)

Attachment 1 – CCP Records Inventory Worksheet

Part A: Facility Identification

Name _____ Date _____
Telephone Number _____ Department _____
Location of Records _____

Part B: Records Identification

Record Series Title _____
Originating Group _____

Record? Yes No* Copy? Yes No

* If no, where is Record? _____

Record Medium: Paper Microfilm Viewgraph Photograph Other _____

Dates of Records Series _____

File Organization: Numeric Alphabetic
 Chronological Alphanumeric
 Other _____

Part C: Volume (1 full file drawer = 1.5 ft³)

Storage	Volume in Ft. ³
File Cabinets	_____
Shelves	_____
Safes	_____
Desks	_____
Fire Resistant Cabinets	_____
Other	_____

Part D: Program Impact

RCRA Operating Record
 Vital Records Legal/Financial or Emergency Operating Epidemiological Records
 Quality Assurance Records Post Closure or Lifetime or Nonpermanent
Method of Validation:

Attachment 1 – CCP Records Inventory Worksheet (continued)

Part E: Current Retention/Use

Current Retention

Part F: Records Description and Series Description

Part G: Remarks/Problems

Attachment 2 – Instructions for Filling Out the CCP Records Inventory Worksheet

Name:	List the name of the individual responsible for maintaining the identified record series.
Date:	List the date that the inventory was taken.
Telephone Number:	List the telephone number of the individual listed above.
Department:	List the department or section of the above listed individual.
Location of Records:	List the location of the records, as CCP Records at a minimum.
Record Series Title:	List the actual record series title as it should appear on the CCP RIDS.
Originating Group:	Some records might be maintained by an individual belonging to a group other than the group that created them. If this is the case, list the group that created the original records.
Record/Copy:	Check the boxes that indicated whether this is the record or a copy used for reference or information only.
If no, where is Record?:	If "No" was checked for "Record?", then list where the actual record series is maintained, if known.
Record Medium:	Check all that apply to the identified record series.
Dates of Record Series:	List the range of dates within the record series, (e.g., 9/94 - 12/96; 6/97 to present; 1995).
File Organization:	Check the box that describes the order in which the record series is organized. "Other" may include case or subject files not organized in any particular manner.
Volume:	List the estimated volume of the record series. One full file drawer is approximately 1.5 cubic feet (ft. ³).
Program Impact:	Check any boxes that are applicable to the special categories listed for the record series.
Current Retention/Use:	List the current retention period for the record series, if known.
Series Description/Use:	List a <u>very</u> detailed description of the record series. Be precise and exact. Make sure to include all records within the series, and do not omit any information that can be used to describe the series in full detail.
Remarks/Problems:	List any remarks or problems that may be helpful in determining things like transfer instructions, record series descriptions, or any other information in the file that may be useful in determining content or retention.
Method of Validation:	Describe method of validation used for record series.