



Environmental Management Consolidated Business Center Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

Data Control

Revision: 0
Effective Date is 3 days after the date of approval

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Environmental Management Consolidated Business Center Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

1.0 PURPOSE

The purpose of this procedure is to establish the process and responsibilities for submitting and controlling data.

2.0 SCOPE

The scope of this procedure includes all data used to support products developed for the Department of Energy Environmental Management Consolidated Business Center (EMCBC) Ash Fall Project supporting the Office of River Protection (ORP) Program.

3.0 APPLICABILITY

This procedure applies to EMCBC personnel and contractors that prepare and submit data for Ash Fall Project activities supporting the ORP Program.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

4.1.1 EM-QA-001, *EM Quality Assurance Program (QAP)*

4.1.2 ASME NQA-1-2008/2009a, *Quality Assurance Requirements for Nuclear Facility Applications*

4.2 References

4.2.1 AFP-QAPP-01, *Quality Assurance Project Plan (QAPP)*

4.2.2 AFP-AP-05, *Control of the Electronic Management of Information*

4.2.3 AFP-AP-20, *Quality Assurance Records*

5.0 DEFINITIONS and ACRONYMS

5.1 Acquired Data – Data that are obtained or procured from an outside source or as a result of a field or laboratory data gathering activity.

5.2 Data – Factual information obtained from investigation activities such as sample collection, physical measurements, testing and analyses, both in the field and in a laboratory.

Environmental Management Consolidated Business Center Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

- 5.3 Developed Data – The results of reducing, analyzing or interpreting data.
- 5.4 Established Fact – Information accepted by the scientific and engineering community (e.g., sources that scientists would use in their standard work practices such as density tables; gravitational laws; equations of state established in engineering and scientific textbooks; professional society/industry codes and standards; numerical data from federal, state, or local government organizations such as the National Weather Service, Census Bureau, or Department of Agriculture; or other recognized authoritative sources).
- 5.5 Metadata – Describes how and when data were collected and how these data are formatted. It is descriptive information pertaining to a product (model, code, data, or document). It should provide sufficient information to facilitate its traceability, and identify limitations or restrictions on its use.
- 5.6 Qualified Data – Data that are collected or developed under an approved QA program that meets the requirements of EM-QA-001, *EM Quality Assurance Program (QAP)* or an equivalent QA program; unqualified data that have undergone the qualification process; or data that are considered Established Fact.
- 5.7 Unqualified Data – Data that have not been collected under an approved QA program that meets the requirements of EM-QA-001, *EM Quality Assurance Program (QAP)* or an equivalent QA program.

6.0 RESPONSIBILITIES

- 6.1 Originator (Ash Fall Project Staff)
 - 6.1.1 Responsible for submitting data and metadata.
 - 6.1.2 Responsible for ensuring that electronic data meets the requirements of AFP-AP-05, *Control of the Electronic Management of Information*.
- 6.2 Data Coordinator (EMCBC Coordinator)
 - 6.2.1 Responsible for assigning a tracking number to the data.
 - 6.2.2 Responsible for entering data information in the tracking database.
 - 6.2.3 Responsible for ensuring the data package is reviewed.

Environmental Management Consolidated Business Center Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

6.3 Reviewer (Ash Fall Project Staff)

6.3.1 Responsible for reviewing the data packages.

7.0 GENERAL INFORMATION

None.

8.0 PROCEDURE

8.1 Submitting New, Revised, or Superseded Data

8.1.1 Once data have been acquired, developed, revised, or superseded, the Originator completes Data Tracking Number (DTN) Request Form 3-1.

8.1.2 The Originator ensures that electronic data meets the requirements of AFP-AP-05, *Control of the Electronic Management of Information*.

8.1.3 The Originator submits the data package and DTN Request to the Data Coordinator.

8.1.4 The Data Coordinator reviews the data package and DTN Request for completeness.

8.1.5 The Data Coordinator assigns a DTN using the format AAA.MMYX.XXX, where:

- AAA denotes the originating organization:
 - USG – United States Geological Survey
 - DRI – Desert Research Institute
 - NOA – National Oceanic Administrative Association
- MMYX denotes the month and year of the submittal
- XXX is the next sequential number beginning with 001.

8.1.6 The Data Coordinator enters the DTN on the DTN Request form.

8.1.7 The Data Coordinator provides the data package to a Reviewer.

8.2 Data Review

8.2.1 The Reviewer reviews the data package using the review criteria in Data Package Review Criteria Form 3-2.

Environmental Management Consolidated Business Center Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

8.2.2 The Reviewer:

- A. Resolves any issues with the data Originator.
- B. Signs the Data Package Review Criteria form.
- C. Returns the data package and Data Package Review Criteria form to the Data Coordinator.

8.3 Processing Data and Metadata

8.3.1 Upon completion of the data package review, the Data Coordinator:

- A. Enters the DTN into the tracking database.
- B. Uploads the metadata and data files to the tracking database.
- C. Use process controls of AFP-AP-05, *Control of the Electronic Management of Information* for each compressed data file to validate the upload and document the validation.

8.3.2 The Data Coordinator:

- A. Signs the DTN Request.
- B. Submits the records in accordance with Section 9.0.

9.0 RECORDS MAINTENANCE

9.1 The forms and records generated through implementation of this procedure shall be prepared and submitted in accordance with AFP-AP-20, *Quality Assurance Records*.

9.2 The following are considered Lifetime QA Records:

- Data Package
- Data Tracking Number Request
- Data Package Review Criteria

Environmental Management Consolidated Business Center Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

10.0 FORMS USED

Form 3-1 – Data Tracking Number Request
Form 3-2 – Data Package Review Criteria

11.0 ATTACHMENTS

None.

Environmental Management Consolidated Business Center
Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

Form 3-1 – Data Tracking Number Request

Ash Fall Project AFP-AP-03, Form 3-1 – Data Tracking Number Request		
ORIGINATOR		
Data Originator	Organization	Date
Type of Request		
<input type="checkbox"/> New DTN <input type="checkbox"/> Revised DTN <input type="checkbox"/> Superseded DTN		
Data Description		
Metadata		
Date Data Were Developed/Acquired		Location Data Were Developed/Acquired
Type of Data		
<input type="checkbox"/> Qualified <input type="checkbox"/> Unqualified <input type="checkbox"/> Established Fact		
DATA COORDINATOR		
DTN Number	Data Package Complete	Review Completed
	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Printed Name	Signature	Date

Environmental Management Consolidated Business Center Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

Form 3-2 – Data Package Review Criteria

Ash Fall Project AFP-AP-03, Form 3-2 – Data Package Review Criteria			
Data Tracking Number:			
	Yes	No	N/A
1. Does the data meet the Established Fact category?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. If data are identified as Established Fact, is there justification or adequate evidence provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is there a separate readme file with the data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the readme file contain sufficient detail to enable a user to understand the data file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Is there a description within the readme file of constraints, caveats, assumptions, or limitations associated with the data files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Have the process controls of AFP-AP-05, <i>Control of the Electronic Management of Information</i> been applied to validate data files?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Is the data qualification status correct?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Are all columns of data correctly labeled? If data files do not contain column labels, is the information for the columns contained in the readme file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. If any software codes were used for data development, were the codes adequately identified, documented and controlled?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Are the metadata adequately identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Is the data package complete (all data files are included)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Printed Name	Signature		Date

Environmental Management Consolidated Business Center
Ash Fall Project

Data Control

Procedure: AFP-AP-03
Revision 0, 02/28/16

Form 12-1 – Record of Revision

DOCUMENT: AFP-AP-03, *Data Control*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Initial Issue	All	02/28/2016