Management System: Quality Assurance and Oversight

Subject Area: Quality Assurance Records

Management System Owner: John Sattler
Point of Contact: Ken Armstrong

Issue Date: 3-13-15
CBC MS Revision: 1

1.0 Introduction

This Subject Area describes how the EMCBC organization and management meet the quality assurance (QA) records requirements of EM-QA-001 Criterion 4 – Management/Documents and Records. Control of non-quality assurance records is defined in the Management System Description for Records Management.

QA records are identified as a subset of Federal records that require additional unique control and storage requirements based on the nature of the record and the requirements in NQA-1.

The requirements included in this document for QA records are implemented in addition to the Federal requirements issued by the National Archives and Records Administration (NARA). NQA-1 provides additional requirements but does not alleviate any requirements for Federal records. By incorporating the NQA-1 requirements into the Federal records lifecycle, compliance with both NARA and NQA-1 can be achieved. The following shows how the NQA-1 requirements fit into the Federal records lifecycle:

Creation / Receipt:

- Record Identification: Includes identifying QA records within implementing procedures prior to the start-up of work.

Maintenance / Use:

- Retention: Length of time that records must be kept.

  Federal records (including QA records) are required to be scheduled by content/subject within a specific record series. The record series are found in the NARA-approved DOE Records Disposition Schedules, which provide mandatory instructions for the disposition of Federal records.

- Classification: An additional form of QA record identification for filing and retention purposes.

  QA records are further classified as lifetime or non-permanent. Lifetime records are required to be maintained for the life of the particular item while it is installed in the plant or stored for future use. Therefore, lifetime QA records are those associated with items.
Non-permanent records are those required to show evidence that an activity was performed in accordance with applicable requirements, but the records do not need to be retained for the life of the item. Therefore, non-permanent QA records are those associated with activities.

QA records are maintained in active storage that protects the records from loss or damage by employing filing equipment suitable for the level of protection defined in NQA-1 until the item is no longer being used or it is retired from service (lifetime) or until the records are no longer required to support the work activity (non-permanent).

When the QA records become inactive, the responsible personnel transfer the QA records to inactive records storage that meets NARA requirements. The records are maintained for their retention period in accordance with the DOE Records Disposition Schedules.

2.0 Contents

<table>
<thead>
<tr>
<th>Procedures</th>
<th>Procedure Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Quality Assurance Records</td>
<td>• Defines the quality assurance requirements and processes</td>
</tr>
<tr>
<td></td>
<td>• associated with QA records at the EMCBC.</td>
</tr>
</tbody>
</table>

3.0 Related Information

3.1 Requirements

- 10 CFR 830, Subpart A, *Quality Assurance Requirements*
- DOE O 414.1D, *Quality Assurance*
- EM-QA-001 Rev 1, *EM Quality Assurance Program (QAP)*
- American Society of Mechanical Engineers (ASME) NQA-1-2008, Quality Assurance Requirements for Nuclear Facility Applications (with addenda through 2009)

3.2 References

- Records Management Procedure – Identifying, Filing and Maintaining Records
- Title 36, Code of Federal Regulations (CFR), Part 1220, Federal Records
- National Archives and Records Administration (NARA) – approved DOE Records Disposition Schedules
- EMCBC Master File Plan
EMCBC RECORD OF REVISION

DOCUMENT TITLE: Subject Area: Quality Assurance Records

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

1. Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

2. Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

<table>
<thead>
<tr>
<th>Rev. No.</th>
<th>Description of Changes</th>
<th>Revision on Pages</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Initial Document</td>
<td></td>
<td>6-18-12</td>
</tr>
<tr>
<td>1</td>
<td>Minor Edits</td>
<td>All</td>
<td>3-13-15</td>
</tr>
</tbody>
</table>