NYE COUNTY WATER DISTRICT

QUALITY ADMINISTRATIVE PROCEDURE

TITLE: **Records Management**	REVISION: **0** DATE: **01-20-15** Page 1 of 7
PROCEDURE NUMBER: **NCWD QAP-17.1**	SUPERSEDES: **None**
APPROVAL General Manager 1/22/15 Date	CONCURRENCE Technical Manager 2-10-15 Date Quality Assurance Officer 1/21/15 Date

1.0 PURPOSE

This quality administrative procedure (QAP) describes Nye County Water District (NCWD) requirements and responsibilities for managing quality assurance (QA) records generated during NWRPO technical programs.

2.0 APPLICABILITY

This QAP applies to the management of all records generated from quality-affecting NCWD technical program activities.

3.0 DEFINITIONS

3.1 ***Circulated Draft*** – A nonfinal document circulated for supervisory concurrence or signature in which the original author or others in the concurrence process have not concurred and which may or may not eventually become a finalized document.

3.2 ***Metadata*** – information about the location, nature, use, and limitations of a data set.

3.3 ***Quality administrative procedure*** – a procedure developed to implement the QA requirements for the NCWD QA program.

3.4 ***Record*** – documentation generated from technical activity.

3.5 ***Record index designator (RID)*** – a unique, sequential identification number associated with an individual NCWD QA record or records package.

3.6 ***Records package*** – two or more records concerning a single topic.

4.0 RESPONSIBILITIES

4.1 General Manager

The General Manager or designee is responsible for developing a documentation system to control the identification, generation, validation, classification, filing, and storage of QA records, as well as approving this QAP.

4.2 Quality Assurance Officer

The QA Officer (QAO) is responsible for identifying QA records in QAPs and reviewing, monitoring, and auditing QA records to ensure that they meet the requirements specified in this QAP.

4.3 Technical Manager

The Technical Manager (TM) or designee is responsible for ensuring that QA records and associated metadata (i.e., those records that are specified as QA records in work plans [WPs], test plans [TPNs], and technical procedures [TPs]) are reviewed for technical accuracy and that any changes from the review are incorporated before the records are submitted to the QA records center (QARC). In addition, the TM or designee is responsible for determining whether a record or records package shall be posted to the NCWD website.

4.4 Principal Investigator

The PI is responsible for generating and submitting QA records in a timely manner with appropriate metadata and maintaining custody of all data and related QA records until they are submitted to the QA records specialist (QARS) and processed into the QARC. The PI, with the TM or designee, is responsible for identifying QA records in work plans, test plans, and technical procedures.

4.5 Quality Assurance Records Specialist

The QARS is responsible for processing QA records, which includes receiving and verifying records, assigning RID numbers, proofreading and correcting minor errors in metadata as necessary, entering records and metadata into the QA database, filing and retrieving records from the project files, and controlling access to records.

The QARS is responsible for reviewing all documents submitted to the QARC and for transmitting records for posting on the NCWD website (www.nyecountywaterdistrict.net).

5.0 PROCESS

5.1 Quality Assurance Record Generation

Records that document evidence of quality-affecting activities performed by NCWD personnel shall be considered QA records. In most cases, QA records generated by NCWD personnel shall consist of data and associated documentation specified in applicable QA plans and procedures. QA records may also be received from external sources.

5.2 Review of Records Prior to Transmittal

Before transmitting QA records to the QARC, NCWD personnel who generate or review QA records shall ensure that the records meet the following criteria:

- Records are relevant to NCWD technical activities.
- Records are complete, legible, reproducible, and of durable material that can be preserved.
- The Record Transmittal Form is attached to each record.
- Transmittal forms are signed and dated by the transmitter, the responsible PI or designee, and the QARS.
- Scientific notebooks or forms and related field records are signed and dated, as required.
- All supporting data are included with the submittal or, if previously submitted to the QARC, referenced on the Record Transmittal Form.
- Metadata associated with the record are described fully on the Record Transmittal Form for review by the TM or designee.

5.3 Record Transmittal

QA records shall be transmitted to the QARC as soon as feasible after generation or receipt, or as specified in the appropriate QA plan or procedure, using the Record Transmittal Form. Whenever possible, electronic files should be submitted.

5.4 Record Processing

5.4.1 Quality Assurance Records Specialist

Within one month of receiving a QA record, the QARS shall perform the following activities:

- Review the record to verify that it is acceptable according to the criteria specified in Section 5.2.
- If the record is unacceptable, contact the transmitter and request that the deficiency be corrected until the record is acceptable. The QARS may correct grammar and spelling errors in metadata without contacting the transmitter.
- Stamp the accepted record with the red QA Record Stamp (Attachment 2)
    - Assign a RID number and hand-print it on the QA Record Stamp.

- Enter the Record Transmittal Form information and RID number into the QA database. Verify data entry by having an individual other than the QARS compare the transmittal form with a printout from the database.
- File the record in the project files.
- If authorized by the TM or designee, transmit the record for posting on the NCWD website.

5.4.2 Technical Manager

Before the QARS enters the data from the Record Transmittal Form into the QA database, the TM or designee shall review the metadata. If the metadata are not acceptable, the TM or designee shall correct the deficiency, or request that the transmitter do so, until the metadata are acceptable.

5.5 Record Storage and Preservation

QA records shall be stored in clearly identified fire-resistant metal file cabinets protected from excessive moisture, heat, or pressure. Records shall be secured in binders, folders, or envelopes. Sensitive records, such as film negatives or electronic media, shall be stored appropriately.

If a record is damaged, it shall be restored as exactly as possible, signed and dated by the restorer, and submitted to the QARC for processing. The statement "Restored from the attached original" shall be displayed on each restored page of the record, and the damaged record shall be attached.

If a record is lost, it shall be identified as such by the responsible PI. The PI shall describe the lost record as accurately as possible, including its possible relationship to any associated records, and submit the description to the QARS for processing.

5.6 Record Access and Retrieval

Direct access to NCWD QA records shall be limited to the General Manager or designee, QAO, TM or designee, and QARS.

Other individuals may review records in the QARC or submit a written request for a copy of a record, indicating the title, category, date, or other information that will assist in retrieval of the record. All requests shall be processed by the QARS, who shall photocopy the record for the requester and return the record to the project files. For large documents or photographic or electronic media, special arrangements for reproduction shall be made. In no case shall QA records be removed from the QARC without documented QARS approval.

5.7 Record Revision

If revisions to a record are deemed necessary by the TM or designee, the record shall be revised as follows:

- Minor changes to metadata or scientific notebooks or forms shall be made by drawing a single line through incorrect information with black ink, printing the correct information, and initialing and dating the correction.

- For extensive revisions to metadata on a Record Transmittal Form, a new form shall be submitted to the QARC with a check mark in the "Revised" box at the top of the form.
- For changes to electronic files or data posted on the web, the record shall be versioned rather than superseded. The original submission (Record Transmittal Form and data) shall remain intact in the record package. The revised data shall be submitted with a new Record Transmittal Form with a check mark in the Revised Record box, a revised transmittal date, and contain a brief description of how and why data were changed. The revised record shall maintain the same RID number as the original submission, clearly indicate that it is a revised version, and be filed in front of the original submission in the record package.

6.0 RECORDS

Documents generated by this QAP are QA records and shall be submitted to the QARC by the responsible individual. Prior to submittal, the QAO shall ensure that each document is complete, legible, and adequately identifiable.

QA records generated by this QAP include the following:

- Record Transmittal Forms
- The QA database
- New records or record packages, including revised or corrected data

7.0 REFERENCES

Not Applicable

8.0 ATTACHMENTS

Attachment 1 Record Transmittal Form

Attachment 2 QA Record Stamp

Attachment 1
Record Transmittal Form

Form NCWD QAP-17.1-1 Rev 0
1-20-15

Nye County Nuclear Waste Repository Project Office **RECORD TRANSMITTAL FORM**		**RID Number**
Transmitter Information		**REVISED RECORD** ☐
Name:	Date Transmitted:	
Title:	Organization:	
	Post to Website: ☐ Yes ☐ No Filename(s):	
Record Information		
Date:	Revision or Version (if applicable):	
Title:		
Author:	Author Organization:	
Type (e.g., data, memo, map, CD):		
Description:		
Metadata Information		
Data Collection Method:		
Data Collection Location:		
Data Source(s):		
Supporting Data:		
Data Censored:		
Data Processing:		
Data Limitations:		
Period(s):	Governing QA Procedure or Plan:	
Transmittal Frequency:	Direct Questions Concerning Data To:	
Transmitter:		
Signature	Date	
Principal Investigator:		
Signature	Date	
QA Records Specialist:		
Signature	Date	

Attachment 2
QA Record Stamp