



Microfilming Nuclear Records on 105MM Microfiche

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**NUCLEAR INFORMATION AND RECORDS MANAGEMENT ASSOCIATION
245 Sunnyridge Avenue #41, Fairfield, CT 06824**

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CONTENTS

FOREWORD	4
1. SCOPE	1
2. DEFINITIONS.....	1
2.1. Quality Assurance Tests	1
2.2. Record(s).....	1
3. NUCLEAR RECORDS INDEXING.....	1
3.1. Types of Records Indices.....	1
3.2. Index Design	1
4. SOURCE DOCUMENT QUALITY AND CONTROL	1
4.1. Document Quality	1
4.2. Control of Documents During Microfilming.....	1
5. PREPARING DOCUMENTS FOR FILMING.....	1
5.1. Organization of Files.....	1
5.2. Targets.....	1
5.3. Physical Preparation.....	1
6. MICROFILMING NUCLEAR RECORDS.....	1
6.1. Policies and Procedures.	1
6.2. Certification and Declaration of Intent.	1
6.3. Filming Guidelines.....	1
6.4. Errors During Microfilming.....	1
6.5. Security of Documents.....	1
6.6. Retrievability.....	1
7. MICROFICHE QUALITY CONTROL.....	2
7.1. Supplies and Equipment.	2
7.2. Quality Control Tests and Inspections.....	3
8. STORAGE OF MICROFICHE	4
8.1. Type of Film Used.	4
8.2. Length of Record Retention.....	4
8.3. Storage Containers and Equipment.....	1
8.4. Storage Conditions.....	1
9. REFERENCES AND SOURCE MATERIAL.....	1
APPENDIX A.....	3
Appendix A.1	12
Appendix A.2	13
Appendix A.3	14
Appendix A.4.....	15
Appendix A.5	16

FOREWORD

[This foreword is not part of the Nuclear Information and Records Management Association Guideline for Microfilming Nuclear Records on 105MM Microfiche, NIRMA TG05.]

This guideline was developed under the auspices of the NIRMA Board of Directors by the Micrographics Committee. Suggestions for improvement will be welcome. They should be sent to: President, Nuclear Information and Records Management Association, 245 Sunnyridge Avenue #41, Fairfield, CT 06824.

Nuclear- facilities have the task of creating, assembling, indexing, storing, and retrieving large volumes of records. Requirements for record keeping are imposed by good business practice, legal considerations, and by state and federal regulatory requirements, i.e., Federal Energy Regulatory Commission (FERC) and the Nuclear Regulatory Commission (NRC). For these reasons, a sound, well-documented records management program is necessary. Many programs include the use of various forms of microfilm. This guideline was written to assist companies in establishing a microfilm program by using 105mm microfiche to meet all regulatory requirements, as well as operational needs.

This guideline was originally developed by the Micrographic Committee as it existed in 1983 and approved by the NIRMA Board of Directors in May 1983. This revision has been made to reformat the guideline in accordance with the NIRMA Style Guide, AD01. No substantial technical changes have been made by this revision.

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MICROFILMING NUCLEAR RECORDS ON 105MM MICROFICHE

1. SCOPE

1.1. This guideline addresses all phases of a source document microfilm system utilizing 105mm microfilm including nuclear records indexing, source document quality control, preparing documents for filming, microfilming nuclear records, microfiche quality control, and storage of microfiche quality control, and storage of microfiche. It is recommended that the national and industry standards referenced herein be applied as deemed appropriate by the user.

1.2. This guideline also recommends policies and standard practices to be considered by companies in the development and implementation of a 105mm microfiche procedure as part of a total records management program. For this reason, areas of the records management program that interface with the microfilm program, but are not a part of it, are mentioned so that their interface may be considered in the design of the microfilm system.

2. DEFINITIONS

2.1. Quality Assurance Tests

Tests completed to verify that the records have been properly filmed and the film properly processed.

2.2. Record(s)

(1) An item, collection, or grouping of information regardless of the form or process by which it is maintained; (2) A managed record is maintained to provide documented evidence of the characteristics of an item and activities affecting the characteristics and their development; (3) To copy or set down information in some form for future use.

3. NUCLEAR RECORDS INDEXING

3.1. Types of Records Indices

The key to a collection of nuclear records is a records index(ices). The type of index maintained by a company depends on the:

- a) purpose (function) of the records,
- b) required retrieval time,
- c) degree of familiarity of the user with the records and with the records index,
- d) amount of detailed information contained in the records index, and
- e) cost to maintain the records index.

Each company must decide which type of records index shall be used based upon the above factors. Some types of records indices currently in use are handwritten lists of documents by number or date, computer-printed report indices, and online computer indices. Other factors to be considered in selecting indexing methods include:

- requirements for maintenance of audit trails
- total number of individual documents
- number of different record types in the same index
- responsibility for creating and maintaining the index(ices)
- resources (hardware, software, personnel)

3.2. Index Design

No matter what type of index is used, the index should be designed with input from the users. Along with Records Management, representatives from other company organizations may be included such as Quality Assurance, Document Control, Engineering, Operations, Maintenance, Stores, and Computer Services.

4. SOURCE DOCUMENT QUALITY AND CONTROL

4.1. Document Quality

One key factor in using microfilm for nuclear power plant records is the source document quality. Utilities should establish standards and requirements for document quality which consider such criteria as type, weight, and color of paper intended to be microfilmed. Writing and printing media should also be addressed.

4.1.1. Each department releasing records within a company should be responsible for assuring hardcopy record legibility and completeness.

4.1.2. All records should include initials or signatures and date or revision indicators for authenticity and traceability. If changes are made on completed quality records, they should be made by lining through (not obliterating) or circling the old data and entering the new data. Changes should be initialed and dated by the person making the change. Changes can also be made by issuing a revised document according to established company policy.

4.1.3. Policy should be established for the acceptability of documents received for filming. Batched documents should be inspected and if not acceptable, be returned to the originator for correction. (Note: It may not always be possible to return documents for correction.) Receipt acknowledgement should include notice of document acceptability. However, document receipt could be acknowledged immediately and acceptance or rejection deferred until the documents have been inspected.

A checklist should be included with each document package or shipment received and the documents should be compared to the checklist. Any missing documents could then be requested from the sender. Appendix A.1 shows a sample of a document checklist.

Appendix A.2 shows an example of a Document Inspection Form that can be used to record specific quality values and reasons for document rejection. Initialing of documents by the person performing the inspection could also show document acceptance.

4.2. Control of Documents During Microfilming.

Procedures should be established to control documents received for microfilming. Controls should include:

- Logging-in of batched documents
- Logging-out of documents required for modification or reference
- Use of batched document identification tickets
- Protection from fire, water, chemicals, and other harmful conditions

Records received in camera-ready condition should be maintained in the original containers unless bound.