



## **2.1.2 Glossary**

Acronyms and definitions for terms used in NPs and SPs which are not in common English usage may be included in the Glossary. They also may be defined within the NP or SP as necessary for clarity. Section 1.0 "Purpose and Scope" of all NPs and SPs shall contain a pointer to the Glossary. When a new procedure is developed, or a procedure is revised, the author shall review the Glossary, and provide recommended changes to Document Control. The Glossary shall be published as a controlled document, and will go through a QA review in accordance with NP 6-1. Document Control shall be responsible for maintaining the terms and acronyms in the Glossary, and configuration control, e.g., effective date, revision number. Changes shall be indicated by change bars in the right margin of the glossary.

## **2.1.3 Determining Training**

The author of a new procedure or procedure revision shall determine if training is required, and document this decision on a Form NP 5-1-1 (Procedure History and Review/Approval) under the "Training Determination" header. After completion of the review process for the procedure/revision, the author shall forward a copy of the Form NP 5-1-1 to Document Control. As noted in NP 2-1 (Qualification and Training), SNL managers are responsible for ensuring individuals under their supervision are properly trained to perform assigned tasks.

## **2.2 Format and Content Elements of Implementing Procedures**

### **2.2.1 Types of Implementing Procedures**

Those procedures which contain requirements that apply to the entire SNL WIPP program shall be published as NPs, whereas those procedures which are activity/project specific shall be designated SPs. Both NPs and SPs may contain upper-tier requirements.

### **2.2.2 Procedure Format**

All NPs and SPs shall contain the following four Sections:

- 1.0 Purpose and Scope**
- 2.0 Implementation Actions**
- 3.0 Records**
- 4.0 Appendix(ces)**

If a Section does not apply to a particular procedure, the words "Not Applicable" shall be entered after the Section title, followed by a brief explanation of why the Section is not applicable.

Subsections shall be numbered sequentially. For example:

- 2.1
- 2.1.1
- 2.1.2
- 2.1.3
- 2.1.3.1
- 2.2

**2.2.3 Procedure Content**

Specific guidance on what should be included in the content of NPs and SPs is included in Appendix A of this procedure.

**2.2.4 Page Format**

Document Control shall assign procedure numbers and revision numbers. New procedures shall be designated “Revision 0”. Subsequent revisions shall be sequentially numbered, i.e., the first revision shall be numbered “Revision 1.”

Normally, the first number of a procedure shall correspond to an NQA-1 basic element, for example, NP 5-1 contains requirements related to NQA-1 basic element 5 “Instructions, Procedures, and Drawings.”

Each NP and SP page, including pages which contain forms and flow charts, shall contain the following document control header in the upper-right corner of the page:

<u>Example</u>	<u>Explanation</u>
NP 5-1 Revision 0 Page 4 of 13	Procedure Number Revision number Page x of x

The procedure’s title shall be included in the upper-left portion of all pages except the first page.

Note: The pagination for NP and SP forms shall appear within the body of the form, and the page of the procedure which contains the form shall include the normal document control header at the top of the page (See Appendix B of this procedure for an example).

A warning to the reader, such as the example given below, shall be placed near the top of the first page of procedures:

*“IMPORTANT NOTICE: The current official version of this document is available via the Sandia National Laboratories WIPP Online Documents web site. A printed copy of this document may not be the version currently in effect.”*

**2.3 Preparation, Review, and Approval of Implementing Procedures and Revisions**

The process flow chart in Appendix C depicts roles and responsibilities for the preparation, review, and approval of implementing procedures and their associated revisions. Procedure SP 1-1, “QA Grading”, is required to be submitted to the CBFO QA Director for approval (see Section 2.3.1 below) of all revisions. In addition, a periodic review of the procedures will be performed by the author or responsible individual to ensure that CBFO QAPD (current revision) requirements are met and to verify that implementation actions are performed as stated in the procedure. The period of review should not exceed three years from the effective date of the procedure (or since the last periodic review was completed). If the author or responsible individual determines during the review that the procedure does not require a revision, a statement indicating that the procedure is still meeting the applicable requirements and no revision is necessary will be documented on a Document Review and Comment (DRC) form, Form NP 6-1-1, and submitted to Document Control. A procedure requiring changes will be handled according to Sections 2.3.1 and 2.4.1 below.

### 2.3.1 Approval

The approvals described below shall be documented on Form NP 5-1-1. The author may obtain additional approval signatures to meet customer requirements, or to provide support. Note: CBFO approval for SP 1-1 will be documented in a letter not on Form NP 5-1-1.

<u>Roles and Responsibilities</u>	<u>NP-Required Approval</u>	<u>SP-Required Approval</u>
<b>Author (SNL staff member)</b> ensures that the procedure/revision is complete, ready for review, approval, and issuance.	X	X
<b>QA Reviewer (independent SNL QA staff member)</b> verifies through review that appropriate quality requirements and controls are included, and any resultant comments have been adequately addressed in the procedure/revision.	X	X
<b>SNL QA Team Lead (or delegate)</b> confirms that the procedure/revision is consistent with Project/Program QA policies and requirements.	X	
<b>SNL Manager (or delegate)</b> confirms that the procedure/revision is consistent with Project/Program direction.	X	
<b>Technical Reviewer (review may be performed by the Principal Investigator if that individual is not the author)</b> verifies that the procedure/revision is technically adequate, correct, and complete. This person must be independent and technically competent to review the procedure (see definitions of “independence” and “technical reviewer” in the Glossary).		X
<b>SNL ES&amp;H Coordinator</b> confirms that the procedure/revision addresses SNL safety requirements or actions applicable to the activity.		X
<b>CBFO QA Director</b> verifies that the QA Grading procedure/revision is consistent with the CBFO QAPD requirements. This approval will be documented in a letter to SNL.		X (SP 1-1 only)
<b><u>Reviews for Activities Performed at the WIPP Site ONLY</u></b> <b>Managing and Operating Contractor (MOC) Manager of Industrial Safety</b> confirms that the procedure/revision addresses all safety requirements in order for work to be done at the WIPP site. A signature signifies concurrence and permits MOC or SNL personnel to perform work at the site (e.g., underground).		X

### 2.3.2 Implementing Procedure Review Process

NPs and SPs shall be reviewed in accordance with NP 6-1 (Document Review Process) and documented on a DRC form, Form NP 6-1-1.

## 2.4 Changes to Implementing Procedures

### 2.4.1 Process for Changing Procedures

Changes to NPs and SPs shall be prepared by the author, and reviewed in accordance with NP 6-1 and documented on a DRC form, Form NP 6-1-1. If the change is editorial only, the approvals

required are the author and QA reviewer. The author shall ensure that revisions to an NP or SP are clearly indicated with vertical change bars in the margin of the revised procedure.

Note: Change bars will indicate changes for the current revision only.

## 2.4.2 History of Changes

Changes to NPs and SPs, and the reasons for those changes, shall be documented in the "Revision Description" Section of Form NP 5-1-1. The revision history of the procedure shall be reviewed prior to changing the procedure to ensure requirements are not inadvertently omitted.

## 2.5 Issuance and Recall of Implementing Procedures

Once all required signatures are obtained (see Section 2.3.1 above), the new/revised procedure is approved for issuance by the author. This individual's signature is added to the first page of the procedure. The author shall submit the NP/SP to Document Control, along with the documents specified in Section 3.0 Records of this procedure in accordance with NP 6-2 (Document Control Process).

When an implementing procedure is no longer needed or used, it should be recalled in accordance with NP 6-2.

## 2.6 Compliance with Implementing Procedures

Individuals performing work shall comply with NPs and SPs. When work cannot be accomplished as described in the implementing procedure, or when it would result in an undesirable situation, a condition adverse to quality, or a safety risk, the work shall be suspended. If there is no safety risk, work may be resumed as soon as a Corrective Action Request (CAR) is written in accordance with NP 16-1 (Corrective Action). If there is a safety concern, ES&H must be consulted before work is resumed.

## 3.0 Records

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The following records, generated through implementation of this procedure, shall be prepared and submitted to the WIPP Records Center in accordance with NP 17-1 (Records):

### QA Record

- Final approved procedure/revision, glossary
- Form NP 5-1-1
- DRC forms, Form NP 6-1-1
- Form NP 6-2-1
- Form NP 2-1-2

## 4.0 Appendices

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Appendix A: NP and SP Guidance

Appendix B: Form NP 5-1-1, Procedure History and Review/Approval

Appendix C: NP 5-1 Process Flow Chart

## Appendix A NP and SP Guidance

### 1.0 Purpose and Scope

The **purpose** states what the procedure is intended to accomplish.

The **scope**:

- describes the extent to which the procedure applies to specific organizations, responsibilities, activities, tasks, or personnel.
- describes activities specifically excluded from the procedure's scope.

This section shall contain a pointer to the Glossary, such as the following statement, "Acronyms and definitions for terms used in this procedure may be found in the Glossary located at the Sandia National Laboratories (SNL) WIPP Online Documents web site."

### 2.0 Implementation Actions

This section prescribes how to perform the procedure activity.

A **process flow chart** may be included in the procedure to graphically illustrate roles and responsibilities for actions. Process flow chart(s) shall be located in the procedure's appendix(ces).

The following information shall be included as appropriate for the work to be performed:

- Responsibilities and interfaces of the organizations affected by the document.
- Technical, regulatory, quality assurance, or other program requirements including ES&H requirements.
- A sequential description of the work to be performed including controls for altering the sequence of required inspections, tests, and other operations. The organization responsible for preparing the document shall determine the appropriate level of detail.
- Quantitative or qualitative acceptance criteria sufficient for determining that activities were satisfactorily accomplished.
- Prerequisites, limits, assumptions, precautions, process parameters, and environmental conditions.
- Special qualification and training requirements including any ES&H requirements.
- Quality verification points and hold points.
- Methods for demonstrating that the work was performed as required (such as provisions for recording inspection and test results, check-off lists, or sign-off blocks).

### SPs:

SPs shall contain a Safety Section which addresses any SNL safety requirements or actions intended to eliminate or mitigate hazards associated with the activity. If there is an Environmental Safety and Health (ES&H) Standard Operating Procedure (SOP) associated with the activity, it should be listed here. If there are no safety requirements or actions required, this subsection will state that it is not applicable, and provide justification.

### **3.0 Records**

If QA records are generated as a result of implementing the procedure, this section should include instructions for processing the records. Refer to this procedure's "Records" section for guidance.

### **4.0 Appendices**

Appendices should be listed individually.

A procedure that results in a document, should have the format and content of that document specified in an appendix, unless it is more appropriate to describe these in the body of the procedure.

Descriptive information used to provide background material or explanation that cannot be succinctly given in a note should be summarized in an appendix.

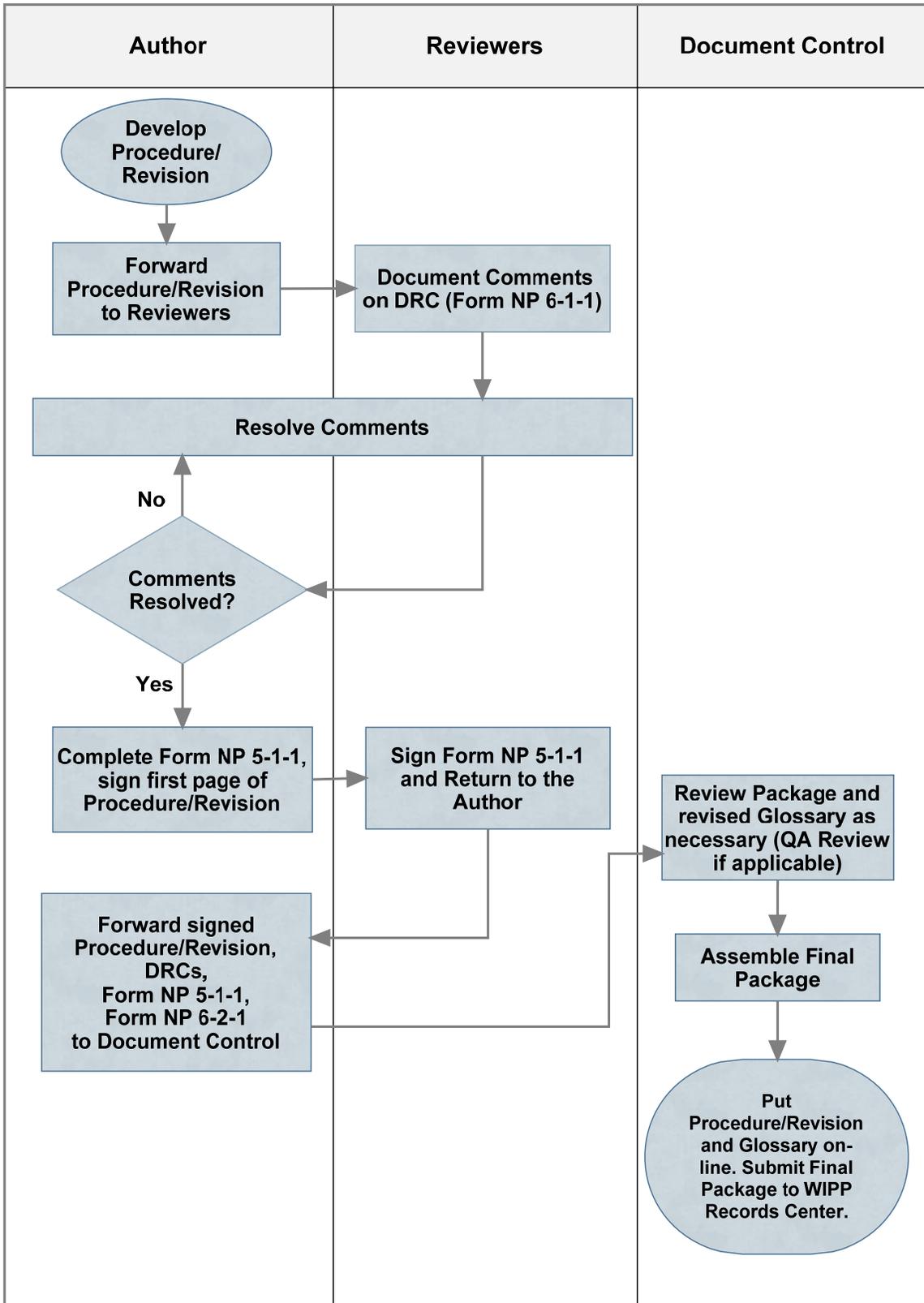
Forms may be included as appendices to NPs or SPs, and are considered an integral part of the procedure. If a form needs to be revised, the procedure which contains the form shall be revised. Forms may be downloaded and printed from the SNL WIPP Online Documents web site.



## Appendix B

<p style="text-align: center;"><b>NUCLEAR WASTE MANAGEMENT PROCEDURE</b></p> <p><small>Sandia National Laboratories</small></p>	<h1 style="margin: 0;">Procedure History and Review/Approval</h1>	<p><b>Form Number: NP 5-1-1</b></p> <p><b>Page 1 of 1</b></p>												
<p>Procedure Number _____ Revision _____ Title _____</p> <p>Revision Description: If this is a new procedure, describe its purpose and scope. If this is a revision, provide a short description of the change and the reason for the change. Reference any commitments addressed by the revision, e.g., deficiency corrective actions, upper-tier requirement changes.</p>														
<p><b>Training Determination:</b></p> <p><input type="checkbox"/> No Training Required (no impact to operations)</p> <p><input type="checkbox"/> Notification to Users Only (minor impact to operations; can be understood by reading the notification)</p> <p><input type="checkbox"/> SP procedure/revision, user must read and sign Form NP 5-1-2 (Author responsibility)</p> <p><input type="checkbox"/> Training Required (significant change to operations; includes detailed instruction)</p> <p style="padding-left: 20px;"><input type="checkbox"/> QA Programmatic Training (QA department responsibility)</p> <p style="padding-left: 20px;"><input type="checkbox"/> Technical Training (author responsibility)</p>														
<p><input type="checkbox"/> If this is an editorial change only (Only author and QA approvals are needed for an editorial change.)</p> <p><b>Notification and SP Approvals:</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;"></th> <th style="width: 20%; text-align: center;">Printed Name</th> <th style="width: 15%; text-align: center;">Signature</th> <th style="width: 5%; text-align: center;">Date</th> </tr> </thead> <tbody> <tr> <td>Author</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>QA Approver</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>				Printed Name	Signature	Date	Author	_____	_____	_____	QA Approver	_____	_____	_____
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QA Team Lead (or designee)	_____	_____	_____											
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<p><b>SP Approval ONLY:</b></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">Technical Reviewer</td> <td style="width: 20%;">_____</td> <td style="width: 15%;">_____</td> <td style="width: 5%;">_____</td> </tr> <tr> <td>SNL ES&amp;H</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>			Technical Reviewer	_____	_____	_____	SNL ES&H	_____	_____	_____				
Technical Reviewer	_____	_____	_____											
SNL ES&H	_____	_____	_____											
<p><b>Additional Customer Required Approvals (leave blank if not applicable):</b></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;">WIPP MOC Manager of Industrial Safety</td> <td style="width: 20%;">_____</td> <td style="width: 15%;">_____</td> <td style="width: 5%;">_____</td> </tr> <tr> <td>Other-Title:</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>			WIPP MOC Manager of Industrial Safety	_____	_____	_____	Other-Title:	_____	_____	_____				
WIPP MOC Manager of Industrial Safety	_____	_____	_____											
Other-Title:	_____	_____	_____											

### Appendix C NP 5-1 Process Flow Chart



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