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NUCLEAR WASTE MANAGEMENT PROCEDURE



NP 17-1 RECORDS Revision 11

Effective Date: September 17, 2020

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|---------|--------------------|---------------------------------------|------------------|
| Author: | <u>Grace Duran</u> | <u>Original signed by Grace Duran</u> | <u>9/17/2020</u> |
| | (printed name) | (signature) | (date) |

1.0 Purpose and Scope

This procedure prescribes the processes for identifying, creating, protecting, correcting, submitting, and retrieving records from the Sandia National Laboratories (SNL) Waste Isolation Pilot Plant (WIPP) Records Center. It also specifies the responsibilities of individuals who generate records for submittal to the Records Center - referred to in this procedure as the Record Source.

This procedure applies to quality assurance (QA) records generated by SNL and contractor personnel in support of WIPP activities.

Acronyms and definitions for terms used in this procedure may be found in the Glossary located at the Sandia National Laboratories WIPP Online Documents web site.

2.0 Implementation Actions

2.1 Identification and Creation of Records

Implementing procedures (NPs and SPs) shall identify those documents that shall become QA records. Individuals responsible for the creation of records shall ensure they are legible, accurate, completed appropriate to the work accomplished, and traceable to the item(s) or activity(s) to which they apply. QA records may be originals or copies.

Records shall be considered QA records when authenticated. Authentication is the act of attesting that the information contained within a record is accurate, complete, legible, and appropriate to the work accomplished. Authorized personnel may accomplish authentication by any of the following methods:

- Signature or initials, and date
- Memo with signature or initials, and date
- Signature on file (contained on form NP 2-1-1, Qualification and Training, which is retained in the Records Center)

Note: This authentication may take the form of a statement by the responsible individual or organization. Handwritten signatures are not required if the document is clearly identified as a statement by the reporting individual or organization (i.e., SAND documents, presentations, well logs, etc).

Authentication should not be confused with any subsequent reviews of the content.

When a new activity is started, the Record Source should coordinate with the WIPP Records Center Staff to open a records package that will be comprised of records associated with that specific activity. This allows these records to be processed while the activity is on going, and for them to be duplicated and maintained in dual storage.

The number of pages in a record must be indicated in some manner. Paginating a quality record after it has been validated is not considered a change requiring revalidation of the record.

The Record Source shall provide the following indexing information with submitted records to ensure traceability and retrieval:

- Date the record was created
- Author(s) name
- Recipient(s) name
- Full title or subject (specific)
- Numbers of pages
- File Code (Project/WBS or Task #:Subject Matter:QA-L or NQ Designation:Package ERMS # [if known]) reference as listed in the WIPP File Code on line. Forms are not required to carry a file code
- Accessibility (e.g., proprietary, privileged)
- A record package title (if necessary)

Note: Sandia National Laboratories-Carlsbad Programs Group Records Inventory and Disposition Schedule (RIDS) will be approved annually by the Records Officer in accordance with Procedure WP 15-RM3002. All SNL WIPP QA records are classified "Lifetime".

The following additional information should also be provided:

- Unique identifier, (e.g., report number)
- Attachments or enclosures
- Cross references

Note: Forms shall have all blanks filled in. Areas without information should have "N/A" entered in the blank space, have a diagonal line drawn through the space or somehow indicate no additional entries will be made.

2.2 Temporary Protection of In-Process Documents

The Record Source shall protect in-process documents from damage or loss from the time of creation of the document until the document is submitted to the WIPP Records Center. Documents intended to be records should be kept in a secure area when not in use, (e.g., a desk drawer or file cabinet).

When a QA record is complete and authenticated it must be submitted to the WIPP Records Center.

2.3 Submitting Records/Record Packages

The Record Source or cognizant designee shall submit all records using Form NP 17-1-2, (Appendix B). Prior to submittal to the Records Center, a member of the QA staff or designated delegate shall conduct a review on all QA submittals. The review shall be documented on Form NP 17-1-2 (Appendix B). This review verifies that the appropriate records are being submitted and that required reviews have been performed and documented per applicable procedures. This review is not a check of the

completeness or accuracy of the content of the records, but an existence check for appropriate records and required reviews. It is the responsibility of the Record Submitter to obtain this review.

Two paper hard copies of records should be submitted to the WIPP Records Center using the Records Submittal Form, Form NP 17-1-2 (Appendix B). An information copy of the submittal form will be returned to the Record Submitter after processing of the record(s) is complete.

Note: One copy of a cited reference must be submitted by the Record Source if not readily available and not already in the collection. Only one copy is necessary because cited references are treated as non-QA records. Readily available refers to documents that may be obtained from libraries or commercial establishments.

2.3.1 Non-paper Media Records

Note: Machine readable media is not required. However, the Records Center will accept one or two copies. These will be treated as non-quality affecting (NQ) records.

Machine readable media submitted to the WIPP Records Center shall have a detailed external label (handwritten or affixed) and will include title, author, task number, and date(s) generated. The completed form (NP 17-1-1) must accompany media records. The author will specify the media type (e.g.: CD ROM, DVD, etc.) as appropriate.

The Record Source shall protect machine readable media from damage or loss.

Note: The Records Center does not have the capability to access or to reproduce media.

2.3.2 E-Mail Records

E-mails may be submitted to the Records Center as a QA record. They shall be submitted in paper hardcopy form, shall be authenticated and should include envelope/header information.

2.3.3 Special Processed Records

Records which cannot be duplicated, (e.g., unique one-of-a-kind records), shall be identified as such when they are submitted to the WIPP Records Center.

2.4 Supplementing, Changing, or Correcting Records

Corrections to records shall include the initials or signature of the authorized person making the correction and the date the correction was made. Corrections to QA records should be made with a single line-through and shall not obliterate the prior entry. QA records shall not be corrected through the use of correction fluids or tapes. Corrections to QA records shall be authorized by the originating organization. Additionally, records should not contain highlighter markings, since this information may be lost when the record is photocopied or imaged.

Records that are incomplete or illegible may be corrected by transcribing, regenerating, or enhancing the illegible portion of the record, or by obtaining a new, complete, legible record. A memo of record shall be used to document the impact of the incomplete or illegible information.

If it is necessary to supplement, change, or correct records that have been accepted by the WIPP Records Center, a memorandum of correction will be submitted to the Records Center along with the page(s) containing the supplements, changes, or corrections.

If an entire record needs to be changed, or numerous corrections must be made, a new record should be submitted to supersede the old record.

2.5 Retrieval of Records

Upon request, the WIPP Records Center Staff will retrieve records using the indexing information prescribed in Section 2.1.

3.0 Records

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

- Records Submittal (Form NP 17-1-2)

Non Quality (NQ) Record

- Machine Readable Media (Form NP 17-1-1)

4.0 Appendices

Appendix A: Form NP 17-1-1, Machine Readable Media

Appendix B: Form NP 17-1-2, Records Submittal

Appendix C: Process Flow Chart – Records Submittal



Appendix A

| | | |
|--|--|--|
| <p style="text-align: center;">NUCLEAR WASTE MANAGEMENT PROCEDURE</p> <p>Sandia National Laboratories</p> | <h1 style="margin: 0;">Machine Readable Media</h1> | <p>Form Number: NP 17-1-1</p> <p style="text-align: center;">Page 1 of 2</p> |
|--|--|--|

Title: _____

Author: _____ WBS (Task) #: _____
Print

Date(s) Generated: _____

****The above information should be placed on the media being submitted to the WIPP Form Center.**

AUDIO/VIDEO or/and COMPUTER FILER/CD RECORD

1. FORMAT TYPE AND SPECIFICATIONS

A. Audio/Video

- CD ROM DVD
- VHS Other: _____

B. Computer Generated

- 3.5-in
- Zip
- Jazz
- DVD
- CD ROM
- Other: _____

2. HARDWARE/SOFTWARE INFORMATION

A. Hardware and Operating System Used to Execute the Software (not applicable for Audio/Video)

Include details regarding version, capacity, print, graphics, etc.
 (e.g.: Dell Workstation PWS 350 running Windows XP; Macintosh running MAC OSX 10.4, 10.3, etc.; Dell Workstation PWS 350 running RHEL (i486))

B. Application Software and/or Compiler Used to Create Software (not applicable for Audio/Video)

(e.g.: Excel, Microsoft C v6.0)

| | |
|-------------------------------|---|
| Machine Readable Media | Form Number: NP 17-1-1 Page 2 of 2 |
|-------------------------------|---|

**AUDIO/VIDEO and/or COMPUTER-GENERATED RECORDS
(continued)**

3. DESCRIPTION OF SUBJECT MATTER

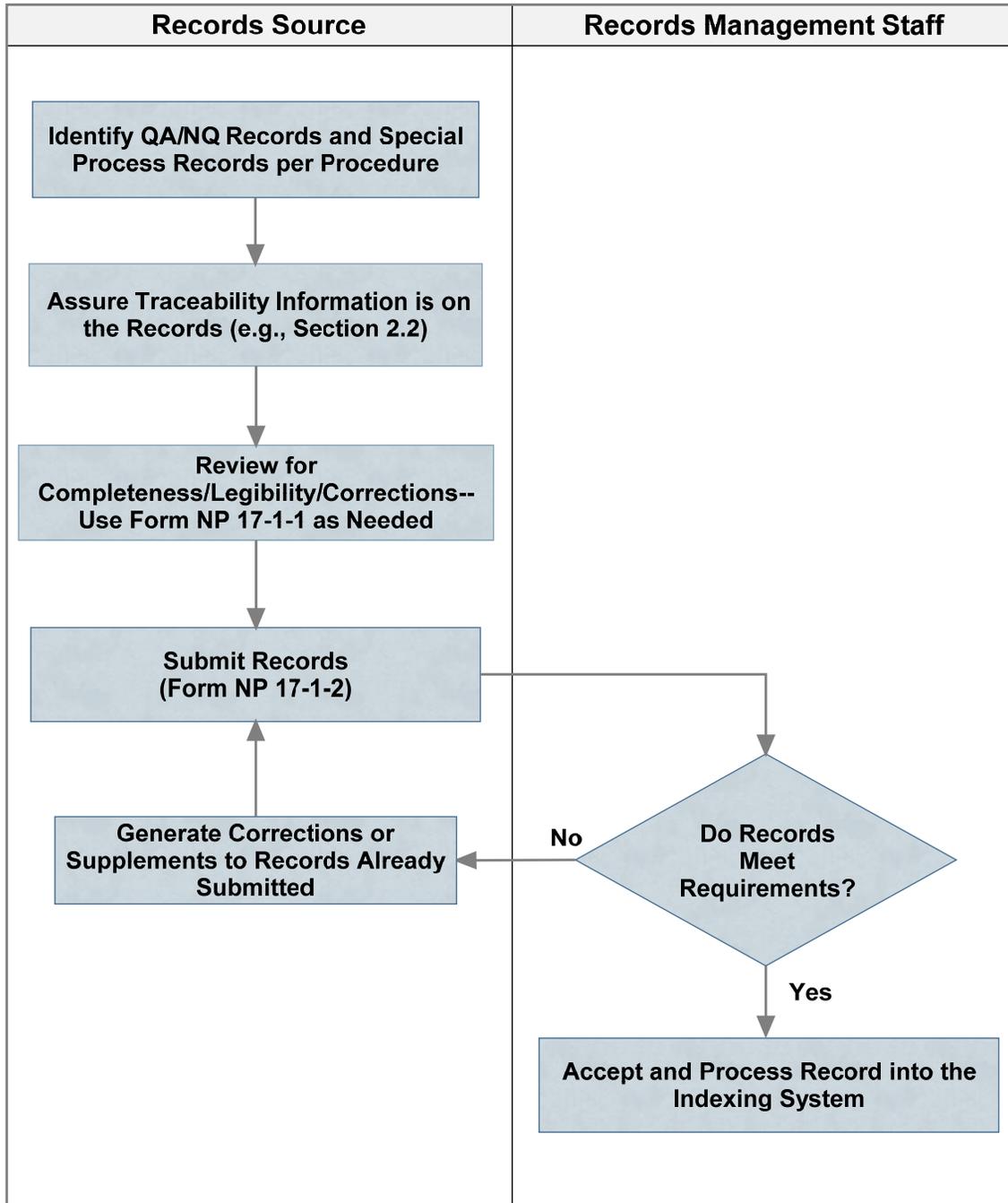
Description may include: file layout; field names; field parameters; form of data-numeric, alphabetic, packed, decimal, float, real, integer, etc.; instructions to identify and interpret codes in file data. It also may include major topics; test plans; activity; track number(s) reflecting starting times of major topics.

4. SPECIAL REQUIREMENTS

To Playback, Ingest, Export, Re-compile or Preserve Record (e.g.: Adobe; MS Excel; Quick Time; Windows Media Player; etc.)



Appendix C Process Flow Chart – Records Submittal



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