



existence of DRC forms, are NOT considered to be QA records corrections, rather they are review comments for consideration of the author. Therefore, these markings do NOT require initials and dates of a QA records correction process.

2.1.3 Verify that E-Mail records received include all envelope/header information.

2.1.4 When accompanying QA records, records submitted on electronic media (machine-readable records) will be checked for complete labeling per NP 17-1. The records shall be processed per the instructions in section 2.1.5.

**Note:** The actual media item is NOT machine verified by the Records Management staff.

2.1.5 Inspect new, supplemental, or corrected records for inclusion of the following required indexing information:

- Date the record was created;
- Author(s) name;
- Recipient(s) name;
- Full title or subject (specific);
- Number of pages;
- File Code (Project/WBS or Task #:Subject Matter:QA 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); and
- A record package title (if necessary).

**Note:** Sandia National Laboratories-Carlsbad Programs Group Retention Inventory and Disposition Schedule has been approved by the DOE/CBFO. All SNL WIPP records are classified as “Lifetime”.

2.1.6 After acceptability criteria identified in Section 2.1.5 have been verified, index records into the Records Management System ensuring that the following items are clearly identified:

- “Privileged” designation for training, qualification, and certification records;
- “Proprietary” designation for procurement records;

**Note:** The Record Center staff may make administrative changes to records. Administrative changes are those used to enhance legibility, correct typographical errors, make editorial changes, add or enhance title content, label privileged or proprietary records, and add or correct page counts or page numbering.

The processing progression of the records is tracked on the bottom of the Records Submittal Form NP 17-1-2.

**Note:** Detailed indexing and retrieval processes are NOT included in this SP.

### 2.1.7 Complete processing of and protect accepted records/record packages by:

- Verifying duplicates provided or duplicating hardcopy records and record packages and protecting the duplicates until dual storage is verified; (dual storage is accomplished through placement of records at the dual storage facility);
- Attaching a special instruction sheet to unique/one-of-a-kind records and including one in the transmittal package to identify those records being transmitted under separate cover;
- Transmitting the records to dual storage; and
- Retaining the dual storage verification or the signed transmittal that has been returned by the receiving Records Center.

2.1.8 Replace, restore, or substitute a lost or damaged record by obtaining another copy of the record, if available, from the Record Source. If replacement or restoration is not practical (i.e., one-of-a-kind record), the Records Management staff shall request that the Record Source document the loss in a memorandum to file that has been signed by the Record Source's immediate manager and that describes the impact of the loss on the work.

## 2.2 Storing and Protecting QA Records

All QA records are protected either through dual storage in sufficiently separate facilities or a fire safe rated at one-hour or more. SNL does not utilize a Single Storage Facility.

All QA records created by SNL are currently classified as "Lifetime" and are required to be retained and preserved in an acceptable condition for the operating life of the WIPP repository (e.g., until termination of the operating permits). Records will be eventually turned over to the WIPP Records Archive (WRA) facility and SNL Inactive Records Storage.

2.2.1 Place the two copies of the records received into temporary storage until processing and transfer to dual storage is complete.

2.2.2 QA records shall be placed into temporary storage (a certified one-hour UL or equivalent fire-rated container) for no longer than 120 days.

2.2.3 Store special process QA records in a two-hour UL or equivalent fire-rated safe/container.

2.2.4 Ensure records are protected from natural disasters such as winds, floods, or fires. Environmental conditions such as high and low temperatures, humidity, dust and particulate matter. Infestation of insects, mold, or rodents. Special process QA records shall be controlled to ensure usability. All records shall be placed in folders on shelves or in fire-rated cabinets.

2.2.5 Preclude the entry of unauthorized personnel in the storage area(s) of the Records Center by:

- Locking all entries to the storage areas when records staff are not present; and
- Posting a list that designates those personnel who shall have access to records, including viewing privileged and proprietary records.

2.2.6 Maintain control and accountability for records within the Records Center by:

- Retrieving requests per indexing information and providing records for reading in the Records Center or make "Information Copies" of records for authorized personnel.
- Restricting viewing access to hard copy and microfilm holdings of all privileged, proprietary, and special access records as defined in the Records Center Access List; and

- Retaining documentation of those with permission to access training, certification, and qualification records.

**Note:** Personnel may receive a copy of their own Qualification and Training Form (NP 2-1-1). Managers may also receive a copy of the Qualification and Training Form of their staff.

2.2.7 Project records that are designated by the Records Management staff to be shipped to the SNL Inactive Records Storage will be boxed as directed in the SNL Corporate Records Management Manual.

## 2.3 Safety

Activities covered by this procedure involve only those hazards associated with normal office activities (lifting, tripping hazards, use of shelving, etc.). These hazards are adequately mitigated by the requirement that all Records Personnel be current in all SNL required basic ES&H training. The activities described in this SP shall conform to SNL Environmental Health and Safety Programs (ES&H).

## 3.0 Records

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Records, including corrections, supplemental information, or changes thereto, generated as a result of implementing this SP should be prepared and submitted to the Records Center in accordance with NP 17-1 (Records).

The QA records generated by this procedure shall include:

- Records Center Access List / Proprietary and Privileged records Access List

## 4.0 Appendices

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None

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