

SANDIA NATIONAL LABORATORIES
QUALITY ASSURANCE PROCEDURE (QAP)
QAP 17-3

WASTE ISOLATION PILOT PLANT (WIPP)
RECORDS INVENTORY AND DISPOSITION SCHEDULE

Revision A

Effective Date: September 30, 1990

Written by: Janis Trone
Janis Trone, Site QA Representative

Reviewed by: [Signature]
SWCF Records Coordinator, Sandia NWT D, 6341

9-21-90
Date

Reviewed by: [Signature]
SWCF Librarian, Sandia NWT D, 6341

9/21/90
Date

Approved by: [Signature]
Manager, Sandia NWT D 6340

9/21/90
Date

[Signature]
WIPP QA Chief, 6340

9-20-90
Date

900902



**SANDIA NATIONAL LABORATORIES
RECORDS INVENTORY AND DISPOSITION SCHEDULE**

**QAP 17-3
Revision A**

CONTENTS

1.0 Purpose.....	3
2.0 Scope.....	3
3.0 References.....	3
4.0 Definitions.....	3
5.0 RIDS.....	4
6.0 Record Submittal Procedure.....	5
Appendix A.....	6
Appendix B.....	9

**SANDIA NATIONAL LABORATORIES
RECORDS INVENTORY AND DISPOSITION SCHEDULE
QAP 17-3
Revision A**

1.0 PURPOSE

To provide a schedule and method for submittal of records to the Master Records Center (MRC) in Carlsbad, NM. This QAP establishes a procedure that meets the requirements of DOE/WIPP 89-013.

2.0 SCOPE

This QAP applies to all activities conducted by Sandia National Laboratories in support of the Waste Isolation Pilot Plant (WIPP).

3.0 REFERENCES

ANSI/ASME NQA-1-Current revision, Supplement 17S-1, Supplementary Requirements for Quality Assurance Records

DOE Order 1324.2A, Records Disposition

DOE/WIPP 89-013, WIPP Project Records Management Handbook

DOE/WIPP 103, Department of Energy (DOE) Management Plan and Directives for the Waste Isolation Pilot Plant (WIPP) Directive 4.5.1

DOE/WIPP 87-007, DOE Operation Quality Assurance Plan for the Waste Isolation Pilot Plant (WIPP) Project (Carlsbad, New Mexico), Section 17.0

Sandia National Laboratories, Quality Plan

Sandia National Laboratories, WIPP Quality Assurance Program Plan (QAPP)

Sandia Quality Assurance Procedures (QAP) 17-1 and 17-2.

4.0 DEFINITIONS

Master Records Center. A central record storage facility operated for the Owner (DOE) by the Operating Contractor for all nonactive WIPP Project records prior to final turnover to the Federal Records Center.

Nonpermanent Records. Records that present evidence of an activity, but do not need to be retained for the life of the facility or longer, because they do not meet the criteria in DOE Order 1324.2. These records are submitted to the MRC if their cutoff period does not exceed the retention period defined in the Records Inventory and Disposition Schedule (RIDS), QAP 17-3.

Nonrecord Material or Convenience Records. Nonrecord material or Convenience Records includes records maintained in the Sandia WIPP System only for the convenience of the Sandia staff but which have neither evidential nor informational value to the WIPP Project. After an official WIPP Project record is sent to the WIPP Master Records Center (MRC) in Carlsbad, a copy is maintained as a Convenience Record.

Permanent Records. Based on the WIPP Project's uniqueness as an R&D facility, most records will be considered as permanent and are required to be transferred to National Archives and Records Administration (NARA). Permanent records are identified in DOE Order 1324.2; some examples are:

**SANDIA NATIONAL LABORATORIES
RECORDS INVENTORY AND DISPOSITION SCHEDULE
QAP 17-3
Revision A**

- *Site underground facility characteristics*
- *Environmental characteristics*
- *Research/development reports having scientific, archival or historical interest*
- *Documents identifying the location of permanent site boundaries*
- *Site validation documentation*
- *Records associated with the fielding of an experiment, such as: Test Plans, Drilling/Coring Logs, Calibration Records, Installation Sheets, Raw Data*
- *Other records or data designated by the Owner (DOE) or Major Project Participants (Sandia) as requiring long-time retention.*

In addition, records also may be retained for the following reasons:

- *Would be of significant value in demonstrating capability for safe operation including inspection, audit and other QA records*
- *Would be of significant value in maintaining, reworking, repairing, replacing, or modifying an item*
- *Would be of significant value in determining the cause of an accident or malfunction of an item*
- *Provide baseline data for in-service inspection*
- *Establish significant technical*

or administrative decisions.

Official WIPP Project Records. The

5.0 RIDS

5.1 Purpose of RIDS. To establish a plan for the transfer of records no longer required for current activities to the Master Records Center. This schedule (Appendix A) will provide staff guidance and assistance in their implementation of the records disposition program.

5.2 RIDS Submittal Periods. Sandia records will be submitted to the MRC in four time periods; annually, at the end of an experiment at the end of final analysis or at the end of the entire experimental program.

Records which are designated to be submitted annually to the MRC will be submitted as calendar year packages. Submittal will begin within 90 days after the end of the calendar year.

Records associated with the fielding of a specific experiment, such as a Test Plan, instrumentation records, field notes, etc., will be submitted to the MRC within 90 days after the conclusion of an experiment.

An experiment is considered complete when the objectives of the experiment, as stated in the Test Plan, have been met; or data collection ceases; or the Principal Investigator (PI), SNL management and WPO agree to terminate the test. The Test Plan will state what indicates the end of the experiment. Sandia will send written notification to WPO 30 days before terminating an experiment.

**SANDIA NATIONAL LABORATORIES
RECORDS INVENTORY AND DISPOSITION SCHEDULE
QAP 17-3
Revision A**

Certified data and associated documentation will be submitted to the MRC when final analysis is complete. Final analysis is usually accomplished by the publication of a SAND Report.

Records spanning the whole project, which have been filed together for a more complete history of events, such as Data Acquisition System supporting documentation and gage calibrations, will be submitted to the MRC at the conclusion of the entire experimental program. This submittal process will begin within 90 days after the "End of the Project."

6.0 RECORD SUBMITTAL PROCEDURE

6.1 Submittal to Master Record Center (MRC). The person or department responsible for maintaining records will submit project records to the MRC according to the RIDS, Appendix A, utilizing a Records Transmittal and Receipt Form 1039, Appendix B, or equivalent.

6.1.1 Prior to forwarding Official Project Records, the responsible person or department will assure that:

- records are identified by document number, title, author, and revision (as appropriate);
- retention designation is specified;
- records are legible and reproducible.

6.1.2 Records will be grouped according to the RIDS classifications, as outlined in Appendix A. Different classifications will not be

submitted together to the MRC. Each classification will be packaged separately.

6.1.3 After records are grouped for transfer, Form 1039 will be initiated. Follow instructions included in Appendix B for completing Form 1039. Keep a copy of all records sent, as convenience records.

6.1.4 Records will be sent to the MRC in folders, cartons, or boxes suitable for the records to reach their destination undamaged.

6.1.5 The completed Form 1039 will be included in the folder, carton or box. Two copies of Form 1039 will be made before shipment. One will be sent to the MRC through the mail, and one is to be retained by the sender. Form 1039 will serve as an index of the records sent.

6.1.6 Individual containers should be clearly marked with the following information:

Senders Name
Senders Department
Senders Address
Senders Phone Number

Send to:
Department of Energy
c/o WIPP Project Records
Operations
101 W. Greene Street
Carlsbad, NM 88220

6.1.7 After verification of the records received, the MRC will return a signed copy of Form 1039 to the sender. This copy should replace the unsigned copy held after submittal.

DOE F 1324.10 (6-87)		RECORDS INVENTORY AND DISPOSITION SCHEDULE		OMB Control No. 1910-1700		<input type="checkbox"/> DOE <input checked="" type="checkbox"/> Contractor		1. Page <u>1</u> of <u>3</u>			
2a. Organizational Unit (Creating or Custodial Unit) SANDIA NATIONAL LABORATORIES - WIPP SITE						2b. Routing Symbol ---		3. Date 08-30-90			
4. Signature (of appropriate personnel)											
Prepared by _____			Date _____			Records Liaison Officer _____			Date _____		
Approved by _____			Date _____			Records Officer Approved _____			Date _____		
5. Item No.	6. Filing Series Title, Description, and Location of File, and Inclusive Dates	7. Disposition Authority	8. Authorized Disposition Instructions	9. Transfer Instructions							
1.	RAW DATA - Remotely read data.	DOE R&D 1. e (1)	Permanent. Cut off files after completion of project. Send to Federal Records center 2 years after completion of project. Transfer to National Archives 20 years after completion of project.	Retain in SWCF. Transfer to the MRC after 1 year.							
2.	CERTIFIED DATA - Evaluated data resulting from study of Raw data, including memoranda, graphs, reports, log books, and related papers. Certified by Principal Investigation with approval of department supervisor.	DOE R&D 1. e (1)	PERMANENT. Cut off files after completion of project. Send to Federal Records center 2 years after completion of project. Transfer to National Archives 20 years after completion of project.	Retain in SWCF. Begin transfer to the MRC within 90 days of conclusion of final analysis.							

SANDIA NATIONAL LABORATORIES
 RECORDS INVENTORY AND DISPOSITION SCHEDULE
 QAP 17-3
 Revision A

Appendix A

RECORDS INVENTORY AND DISPOSITION SCHEDULE - Continued

6. Item No.	6. Filing Series Title, Description, and Location of File, and Inclusive Dates	7. Disposition Authority	8. Authorized Disposition Instructions	9. Transfer Instructions
3.	PURCHASE RECORDS - WIPP related purchasing records.	DOE R&D 1. a (1)	Permanent. Cut off files after completion of project. Send to Federal Records center 2 years after completion of project. Transfer to National Archives 20 years after completion of project.	Retain in Purchasing Record Files (Site) Transfer completed records to the MRC after 1 year.
4.	QA PROGRAM DOCUMENTS - QA plans, QA procedures, audits surveillances, NCRs, etc.	DOE R&D 1. c (1)	Permanent. Cut off files after completion of project. Send to Federal Records center 2 years after completion of project. Transfer to National Archives 20 years after completion of project.	Retain in SNL WIPP Notebook System. Transfer to the MRC after 1 year.
5.	OFFICIAL WIPP PROJECT FOR AN INDIVIDUAL EXPERIMENT - Documents which can be easily associated with only one experiment. Examples: Test Plan, installation sheets, field notes.	DOE R&D 1. a-e (1)	Permanent. Cut off files after completion of project. Send to Federal Records center 2 Years after completion of project. Transfer to National Archives 20 years after completion of project.	Retain in SWCF or SNL Notebook System for the life of the experiment. Begin transfer to the MRC within 90 days after the completion of experiment.

Appendix A

SANDIA NATIONAL LABORATORIES
 RECORDS INVENTORY AND DISPOSITION SCHEDULE
 QAP 17-3
 Revision A

RECORDS INVENTORY AND DISPOSITION SCHEDULE - Continued

5. Item No.	6. Filing Series Title, Description, and Location of File, and Inclusive Dates	7. Disposition Authority	8. Authorized Disposition Instructions	9. Transfer Instructions
6.	PROJECT RELATED WHICH ARE SPECIFIC - Records spanning the whole project which have been filed together for a more complete history of events.	DOE R&D 1. a-e (1)	Permanent. Cut off files after completion of project. Send to Federal Records center 2 years after completion of project. Transfer to National Archives 20 years after completion of project.	Retain in SWCF or the SNL WIPP Notebook system for the lifetime of the project. Begin Transfer to the MRC within 90 days after the termination of the project.
7.	REFERENCE MATERIAL - Extra copies of correspondence, reports, and other documents which are preserved only for reference. (Convenience Records)	N/A	Nonrecords	Screen annually. Destroy when no longer needed.

80

Appendix A

SANDIA NATIONAL LABORATORIES
RECORDS INVENTORY AND DISPOSITION SCHEDULE
QAP 17-3
Revision A

**SANDIA NATIONAL LABORATORIES
RECORDS INVENTORY AND DISPOSITION SCHEDULE
QAP 17-3
Revision A**

Appendix B

**Instructions for Completing the Records
Transmittal Form, No. 1039**

- | <u>Item</u> | <u>Instructions</u> |
|--------------------|---|
| 2. | To be signed by the department/activity manager/supervisor. |
| 3. | Records Operations (MRC) personnel review submitted records and sign, acknowledging receipt of the records. |
| 4. | Records Coordinator name and department. |
| 5. | <u>Department Code</u> - Correspondence department alpha code. (ie. SNL) |
| | <u>RIDS Number</u> - The Disposal Authority listed in item 7 on the RIDS (Appedix A of QAP 17-3). |
| | <u>Originator</u> - Originator or author of each document. |
| | <u>Date</u> - Date on each document. |
| | <u>I.D. Number</u> - Unique identifier such as a Location Number, Department Number, Procedure Number, Purchase Order Number, etc. If a unique identifier is not present on the document, enter N/A. |
| | <u>Brief Description</u> - A brief summary of each record. |
| | <u>Dwg./CCP Number</u> - List drawing and CCP number if applicable. |
| | <u>Records Form</u> - Identify the record format such as hard copy, microfilm, photographs, microfiche, aperture cards, drawings, etc. |
| | <u>QA</u> - Identify QA records (Y or N). |
| | <u>Retention</u> - Enter whether the records are classified as permanent or non-permanent. |
| 6. | Requires signature and title of Transferring Organization Official and date. |