

SANDIA NATIONAL LABORATORIES
WASTE ISOLATION PILOT PLANT
QUALITY ASSURANCE PROCEDURE (QAP)
QAP 17-1

QA RECORDS REQUIREMENTS

Revision K

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1.0 PURPOSE

This Quality Assurance Procedure (QAP) supplements the Sandia National Laboratories WIPP QA Program Description (WIPP QAPD) and defines the WIPP program for the collection, filing, storage, and maintenance of WIPP QA Records. 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 and applicable addenda, Supplement 17S-1, Supplementary Requirements for Quality Assurance Records.

DOE Order 1324.2A, Records Disposition

Sandia National Laboratories, WIPP Quality Assurance Program Description (QAPD)

Sandia National Laboratories, WIPP Quality Assurance Procedures, 17-2, 17-3

SNL WIPP Procedure 149, Quality Assurance Records/Notebook System at the WIPP Site.

4.0 DEFINITIONS

Project Records Services (PRS) - 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

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criteria in DOE Order 1324.2A. These records are submitted to the PRS 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 include records maintained in the Sandia WIPP Central File (SWCF) or the SNL WIPP Notebook 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 Project Records Services (PRS) 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 the National Archives and Records Administration (NARA). Permanent records are identified in DOE Order 1324.2A; some examples are:

- Site underground facility characteristics;
- Environmental characteristics;
- Research and 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 or 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-term 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 Official WIPP Project Records are classified as "Permanent". Included are all applicable books, papers, maps, photographs, and other documentary materials, regardless of physical form or characteristics, made or

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received by a project participant in connection with the WIPP project. Records include all of the above preserved as evidence of the organization, functions, policies, decisions, procedures, operations, or other contractual activities, or because of the informational value of data in them. Documents and records excluded from this definition are those which are of a personal or proprietary nature, and those considered to be Convenience (Nonrecord) records.

5.0 REQUIREMENTS

5.1 Records Maintenance Locations.

SNL WIPP Records will be submitted to the responsible person or department designated by applicable section of the QAPD or procedure, to receive the record. The person or department responsible for maintaining the record will also be responsible for turning those records over to the PRS in accordance with QAP 17-3.

5.2 Submittal of Records to the Sandia WIPP Central File.

The originator of an official SWCF maintained WIPP Project record, will ensure that the original record or a legible, reproducible copy is sent to the SWCF in stages commensurate with work completion. Original data from tests and experiments may be maintained by the responsible PI until the test or experiment is completed if the requirements of QAP 6-1.

5.3 Submittal of Records to the SNL WIPP Notebook System.

Records to be entered into the SNL WIPP Notebook system will be designated, by procedure, to be submitted to the SNL WIPP QA representative. SNL WIPP procedure 149 details the notebook system and its operation.

5.4 Storage.

Official Project Records and Convenience records maintained by the SWCF and the SNL WIPP Notebook System will be firmly attached in binders or placed in folders or envelopes for storage in steel file cabinets or on shelves. Film, negatives, prints, microfiche, etc., will be stored in appropriate containers designated for that purpose. Access to the records will be controlled. Doors or cabinets will be locked during non-working hours.

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5.5 Record Checkout.

Convenience records may be borrowed from the SWCF by completing a "WMT LIBRARY SIGN OUT CARD" (available at the SWCF) which is submitted to the Library Staff. Official Project Records may not be removed from the SWCF.

5.6 Record Validation.

Documents will be considered valid records only if stamped, tagged (e.g., "QA Controlled Test Document" tags), initialled, or signed and dated by WIPP project personnel or otherwise authenticated. 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. These records may be originals or reproduced copies.

5.7 Replacement, Restoration of Lost or Damaged Records.

Measures shall be taken to provide for replacement, restoration, or substitution of lost or damaged records.