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## ACTIVITY/PROJECT SPECIFIC PROCEDURE

### SP 17-1 RECORDS CENTER OPERATIONS Revision 6

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(printed name)                      (signature)                      date

## 1.0 Purpose and Scope

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This procedure prescribes the system by which the Sandia National Laboratories (SNL) Waste Isolation Pilot Plant (WIPP) Records Center staff accepts, processes, indexes, stores, and protects, SNL-generated or received Quality Assurance (QA) records.

This procedure applies to all WIPP-funded QA records generated by or for SNL. QA records generated prior to April 1994 (issuance date of the Information Management Plan (IMP) CAO-94-1001) are excluded from the acceptance requirements of this procedure. Non-QA records will be accepted and processed to meet applicable Federal requirements.

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

## 2.0 Implementation Actions

Implementation actions are to be carried out only by Records Center Staff.

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### 2.1 Processing QA Records/ Record Packages

2.1.1 Verify that the records received are indeed the records listed and acknowledge receipt of Record Source submitted records and/or record packages by initialing Form NP 17-1-2, Records Submittal. Provide a copy of the completed form to the Record Source. Assist Record Source to open record packages. Resolve discrepancies in records or record packages either through direct interaction with the Record Source or by formally rejecting the record.

2.1.2 Verify that the record is authenticated, legible and complete (i.e., contains required indexing information), and that any corrections to the record have been made in accordance with NP 17-1.

**Note:** Editorial and/or review comments placed directly on draft documents and which were prepared in lieu of Document Review Comment (DRC) forms or prepared prior to the

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 two paper hard-copy QA records, records submitted on electronic media (machine-readable records) will be checked for complete labeling per NP 17-1, "Records". 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. Signature by the Record Source on Form NP 17-1-1 serves as verification that the content of the record on the media is complete and appropriate for the work performed.

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 Designation) 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).

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;
- QA designation for all individual records and records packages per the appropriate generating procedure or Record Source; and
- Retention designation for all QA records and QA record packages per the approved project retention schedule.

**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 two Records Center facilities or other separate locations);
- 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 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), or for the particular item while it is installed in the repository or is being stored for future use. Lifetime records shall be evaluated for the need to be upgraded to post closure records prior to their destruction.

QA records shall not be destroyed until the following conditions are met:

1. The appropriately assigned National Archives and Records Administration (NARA) authorized disposition specifies destruction;
2. Regulatory requirements are satisfied;
3. Operational status permits the disposal of such records; and
4. The related contractual requirements have been satisfied.

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.

2.2.1 When two copies are provided, either separate and place into dual storage, or place one copy in temporary storage until processing is completed.

2.2.2 Copies of QA records shall be placed into temporary storage (a certified one-hour UL or equivalent fire-rated container) for no longer than 90 days.

2.2.3 Store unique, one-of-a-kind (non-duplicable) QA records in a two-hour UL or equivalent fire-rated safe/container.

2.2.4 Ensure records are protected from moisture, temperature, and pressure by regulating normal office environmental controls. Ensure the records and special processed records are filed on shelves or in cabinets/fire cabinets to protect from excessive light, stacking, electromagnetic fields, radiation, and accidental or deliberate alteration or erasure of information.

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 Facility 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.

## 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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