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**SANDIA NATIONAL LABORATORIES  
QUALITY ASSURANCE PROGRAM  
for the  
OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT**

**QAP 17-1**

**RECORDS MANAGEMENT**

**Revision 1**

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**CHANGE HISTORY**

<b>Revision</b>	<b>Description</b>	<b>Effective Date</b>
0	This is the initial version of this document.	05/13/2004
1	Administrative changes resulting from audit OQA FS-04-07	05/20/2004

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## 1.0 Purpose and Scope

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This procedure prescribes the processes for identifying, creating, protecting, correcting, submitting, and retrieving records from the Sandia National Laboratories (SNL) 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 OCRWM activities.

Acronyms and definitions for terms used in this procedure may be found in the OSTI Glossary.

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## 2.0 Implementation Actions

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### 2.1 Identification and Creation of Records

Implementing procedures 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
- Appropriate stamp and date
- Memo with signature or initials and date

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

When a new activity is started, the Record Source should coordinate with OCRWM 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. The preferred method is to number each page as: "1 of 10, 2 of 10", etc. An acceptable alternative is to number the first page as "1 of 10" and then continue with straight numbering. Paginating a quality record after it has been validated is not considered a change requiring revalidation of the record. Pagination or page numbering can be set up as a footer for records created on a computer.

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
- Accessibility (e.g., proprietary, privileged)

The following additional information should also be provided:

- Unique identifier (e.g., report number)
- Attachments or enclosures
- Cross references
- Reference to Records Package (if applicable)

**Note:** Forms shall have all blanks filled in, or have “N/A” entered in the blank, unless instructions clearly state that an area does not need to be filled in.

## **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 OCRWM and a copy to the SNL 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 OCRWM and a copy to the SNL Records Center.

## **2.3 Submitting Records/Record Packages**

Paper hard copies of records should be submitted OCRWM and a copy to the SNL Records Center.

### **2.3.1 Non-paper Media Records**

Machine readable media submitted to OCRWM and a copy to the SNL Records Center shall have a detailed external label affixed, as shown in the sample on page 3 of Form QAP 17-1-1, (Appendix A). Completed pages 1 and 2 of Form QAP 17-1-1 must also accompany media records. Signature by the Record Source on this form serves as verification that the contents of the record on the media is complete and appropriate for the work performed.

The Record Source shall protect media records from magnetic fields, heat, moisture, light, or anything that would cause deterioration to the media and the information it contains.

### **2.3.2 E-Mail Records**

E-mails deemed by the Record Source as QA records shall be submitted to OCRWM and a copy to the SNL Records Center. They shall be submitted in paper hardcopy form, shall be authenticated and should include envelope/header information.

### **2.3.3 Special Processed Records**

Records that cannot be duplicated, (e.g., unique one-of-a-kind records), shall be identified as such when they are submitted to OCRWM and a copy to the SNL 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 OCRWM, a memorandum of correction should be submitted to OCRWM 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 OCRWM shall retrieve records.

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## 3.0 Records

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The following records, generated through implementation of this procedure, shall be prepared and submitted to OCRWM and a copy to the SNL Records Center in accordance with QAP 17-1, Records. QA records are lifetime records.

### QA Record

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

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## 4.0 Appendices

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



### Appendix A

	<b>Machine Readable Media</b> External Label Example and Indexing Needs	<b>Form Number:</b> QAP 17-1-1  <b>Page 1 of 3</b>
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Activity/Title: \_\_\_\_\_

Records Center Identifier No. \_\_\_\_\_ Organization: \_\_\_\_\_  
(to be issued by the Record Center)

Author \_\_\_\_\_  
Print \_\_\_\_\_ Signature \_\_\_\_\_

Date(s) Generated: \_\_\_\_\_ WBS (Project) #: \_\_\_\_\_

### I. COMPUTER-GENERATED RECORDS

#### 1. FORMAT TYPE AND SPECIFICATIONS

##### A. Tape

- 0.5-in nine track tape reel
- 0.25-in tape cassette
- 4-mm tape cassette
- 8-mm tape cassette
- Bernoulli
- DLT
- Other: \_\_\_\_\_

##### Floppy/Disk

- 3.5-in
- 5.25-in
- 8-in
- Other: \_\_\_\_\_

- Removable Disk
- Zip
- Jazz
- DVD
- CD ROM

#### 2. SOFTWARE INFORMATION

##### A. Hardware and Operating System Used to Execute the Software

Provide details regarding version, display, print, graphics, etc.  
(e.g.: SUN IPX Solaris 2.1; Gateway 486 DX2 66 Windows 5.1, DOS 6.2)

##### B. Application Software and/or Compiler Used to Create Software

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

<b>Machine Readable Media</b> <b>External Label Example and Indexing Needs</b>	<b>Form Number:</b> <b>QAP 17-1-1</b>  <b>Page 2 of 3</b>
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**I. COMPUTER-GENERATED RECORDS  
(continued)**

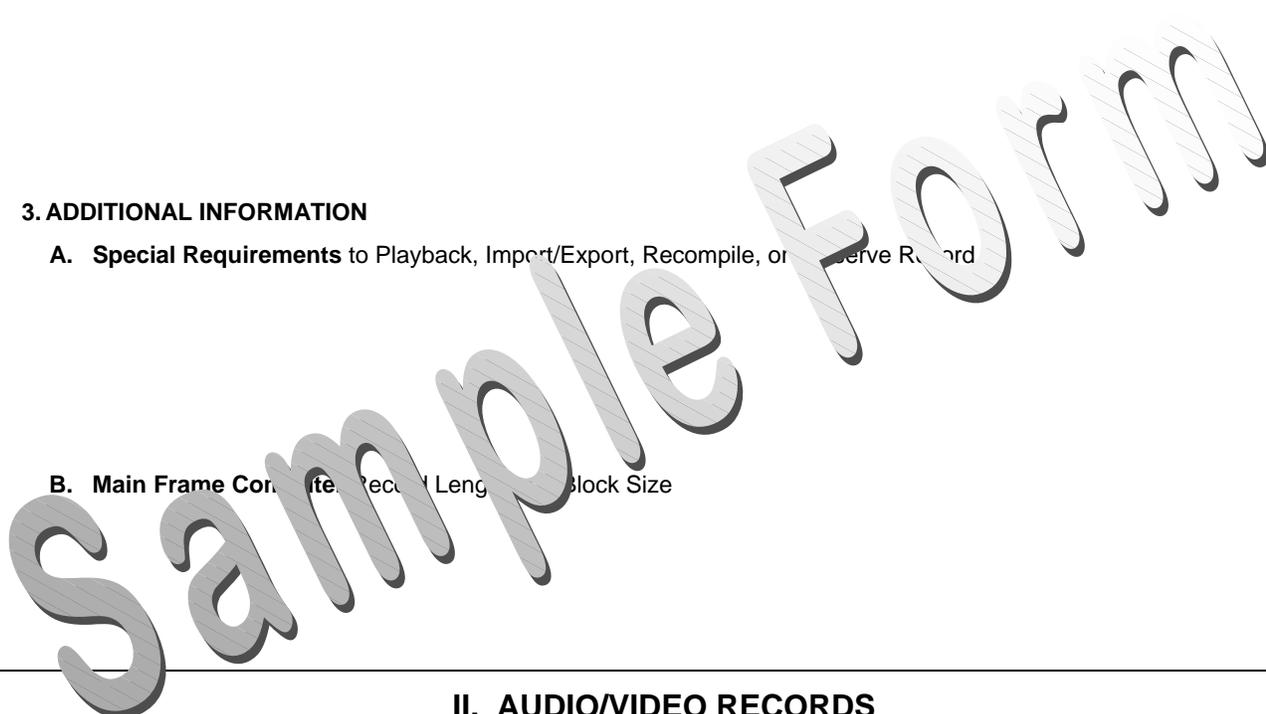
**C. Description of Subject Matter of Executable Software**

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.

**3. ADDITIONAL INFORMATION**

**A. Special Requirements** to Playback, Import/Export, Recompile, or Archive Record

**B. Main Frame Configuration, Record Length, Block Size**



**II. AUDIO/VIDEO RECORDS**

**1. FORMAT TYPE AND SPECIFICATIONS**

**A. Audio**

- 3.75-in/sec on 0.25-in open reel
- 3.75-in/sec on 0.25-in cassette
- 7.5-in/sec on 0.25-in open reel
- 7.5-in/sec on 0.25-in cassette
- CD ROM
- DVD
- Other: \_\_\_\_\_

**B. Video -Size:**

- 0.75 in
- 1-in
- Other: \_\_\_\_\_

**Type:**

- Mil tape
- S-VHS tape
- BETACAM tape
- DVD
- CDROM
- Other: \_\_\_\_\_

**2. DESCRIPTION OF SUBJECT MATTER**

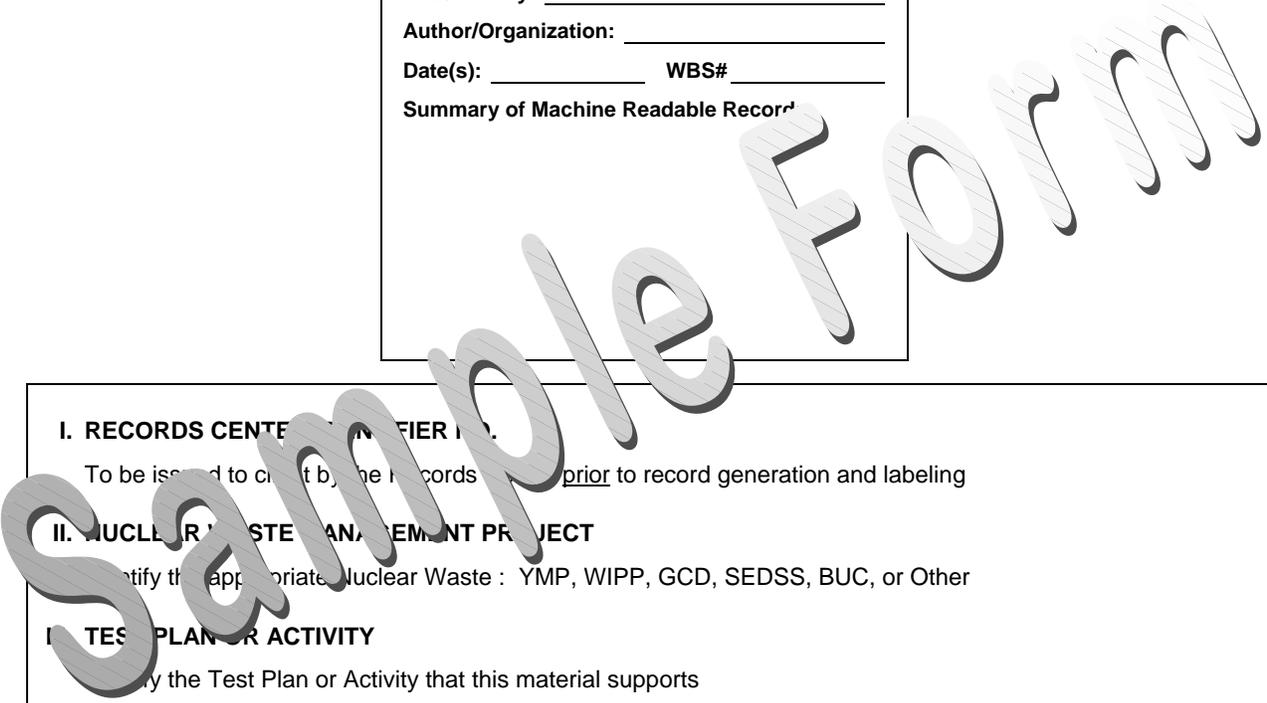
Description may include: major topics; test plans; activity; track number(s) reflecting starting times of major topics.

<b>Machine Readable Media</b> <b>External Label Example and Indexing Needs</b>	<b>Form Number:</b> <b>QAP 17-1-1</b>  <b>Page 3 of 3</b>
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(To Be Adhered Directly to the Reel/Cassette/Tape/Floppy/Disk)

**SAMPLE**

<b>Records Center Identifier No.:</b> _____
<b>Nuclear Waste Project:</b> _____
<b>Test/Activity:</b> _____
<b>Author/Organization:</b> _____
<b>Date(s):</b> _____ <b>WBS#</b> _____
<b>Summary of Machine Readable Record:</b> _____



**I. RECORDS CENTER IDENTIFIER NO.**

To be issued to client by the Records Center prior to record generation and labeling

**II. NUCLEAR WASTE MANAGEMENT PROJECT**

Identify the appropriate Nuclear Waste : YMP, WIPP, GCD, SEDSS, BUC, or Other

**III. TEST PLAN OR ACTIVITY**

Identify the Test Plan or Activity that this material supports

**IV. AUTHOR/ORGANIZATION**

State the Test Principal Investigator and the Organization which generated the record  
(First Name initial, middle initial, full last name) (Organization number)

**V. DATE(S)**

Indicate the date(s) the record was generated not the date the media was labeled

**VI. SUMMARY OF CONTENTS**

Include any information valuable to the identification of the record

- EXAMPLES:
- Computer-Generated Record**, e.g.: INTERA's WIPP PERM data-acquisition software program disks include: a directory listing stating the file name (first five characters define test series, remaining three characters define test sequence), file size, and date
  - Video or Audio Record**, e.g.: Track number(s) with brief description of content