

# RECORDS MANAGEMENT

## RWAP-05

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### 1.0 PURPOSE

- 1.1 This instruction describes the method for maintenance, retention, and disposition of National Nuclear Security Administration, Nevada Field Office (NNSA/NFO) records generated by the Radioactive Waste Acceptance Program (RWAP).

### 2.0 SCOPE

- 2.1 This instruction applies to NNSA/NFO personnel having responsibility to initiate, review, approve, revise, and/or process RWAP quality records.

### 3.0 RESPONSIBILITIES AND AUTHORITIES

- 3.1 The NNSA/NFO RWAP Task Manager (TM), or designee, has overall responsibility for the development, maintenance, and implementation of this instruction.
- 3.2 The following personnel have responsibilities as designated in the body of this instruction:
- 3.2.1 RWAP Manager (RM)
  - 3.2.2 Records Management Specialist (RMS)
  - 3.2.3 RWAP Personnel
  - 3.2.4 TM

### 4.0 DEFINITIONS

- 4.1 **Records Management Specialist** - The individual assigned responsibility for entering record information into the NNSA/NFO Environmental Management (EM) Records Information System (RIS) database and maintenance of record files.
- 4.2 **Quality Record** - A completed document, or other media (i.e., e-mail, photographs, radiographs, etc) that provides documentary evidence that an item or activity has met specified requirements. Records are valid if, initialed or signed and dated by authorized personnel.
- 4.3 **Record Initiator** - RWAP personnel having responsibility to initiate, review, approve, revise, and/or process quality records in accordance with RWAP program requirements.
- 4.4 **Records Inventory and Disposition Schedule (RIDS)** - DOE approved form used to inventory department records, establish retention schedules, and identify the authorized disposition.
- 4.5 **Memorandum for the Record (MFR)** - Internal memorandum generated to identify and transmit completed RWAP records to the NNSA/NFO, Environmental Management Records Center.

# RECORDS MANAGEMENT

## RWAP-05

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### 5.0 ACRONYMS

5.1	NNSA/NFO	National Nuclear Security Administration, Nevada Field Office
5.2	RMS	Records Management Specialist
5.3	EM	Environmental Management
5.4	MFR	Memorandum for the Record
5.5	RIDS	Records Inventory and Disposition Schedule
5.6	RIS	Records Information System
5.7	RM	RWAP Manager
5.8	RWAP	Radioactive Waste Acceptance Program
5.9	TM	RWAP Task Manager

### 6.0 PROCEDURE

#### 6.1 Records Inventory and Disposition

- 6.1.1 The TM ensures that records generated by RWAP are processed and maintained in accordance with the NNSA/NFO, Environmental Management (EM) Records and Inventory and Disposition Schedule (RIDS).

#### 6.2 Records Preparation and Transmittal

- 6.2.1 The record initiator is responsible for completing records in accordance with approved RWAP instructions and verifying, prior to use, that preprinted or computer generated forms are the current revision.
- 6.2.2 The record initiator should use appropriate measures to ensure that in-process records are protected from damage or loss while in their possession. Upon completion, the initiator reviews the records to ensure that:
- 6.2.2.1 The records are complete, legible, and reproducible.
  - 6.2.2.2 The records are traceable to the associated item and/or activity and accurately reflect the work process.
  - 6.2.2.3 The records are authenticated by authorized personnel in accordance with the applicable RWAP instruction.
- 6.2.3 The record initiator prepares a draft Memorandum for the Record (MFR); see Appendix 1, for approval by the NNSA/NFO Task Manager (TM). The MFR must describe the activity and/or process that generated the records, identify the record(s) type, and total number of pages enclosed. The draft MFR and completed records are submitted to the TM for approval and processing of the records. If the MFR contains information that is labeled Official Use Only, then the MFR cover page shall be labeled "Official Use Only".

# RECORDS MANAGEMENT

## RWAP-05

---

- 6.2.4 The TM reviews the MFR and enclosed records for accuracy and completeness. If additional information or clarification is required, the TM will contact the individual preparing the MFR.
- 6.2.5 The TM approves the MFR and applicable records and forwards them to the EM secretary to distribute a record copy of the MFR and completed records to the RWAP Manager. The original MFR and records are then submitted to the EM Document Management Specialist (RMS).
- 6.3 Record Filing and Maintenance
- 6.3.1 Upon receipt of the MFR and records, the RMS will ensure the records are legible and complete based on the total number of pages noted on the MFR. All incomplete records packages are returned to the TM for correction.
- 6.3.2 The RMS enters applicable record data into the EM Records Information System (RIS) and maintains the records on file in accordance with EM RIDS and records management practices. RWAP records *must* be stored in a manner that protects them from damage, loss, or deterioration, and allows for timely retrieval.
- 6.4 Record Revision / Correction
- 6.4.1 Only RWAP personnel are authorized to revise and/or correct RWAP records.
- 6.4.2 Revisions and/or corrections made to in-process records, the initiator *must* draw a single line through the incorrect information, insert the correct information, and initial and date the change. The use of correction fluid or tape is prohibited.
- 6.4.3 If revisions and/or corrections to completed records maintained by the RMS are necessary, the initiator notifies the TM of the required change and requests the records be retrieved.
- 6.4.3.1 If a complete page change is required, the initiator will annotate "Revised Page" in the upper right-hand corner and initial and date. The revised page is then inserted in front of the original page and the original page marked "Superseded" by the initiator and initial and date.
- 6.4.3.2 If revisions and/or corrections are made on the original document, the initiator draws a single line through the incorrect information, inserts the correct information and initial and dates the change. The use of correction fluid or tape is prohibited.
- 6.4.3.3 Changes to completed records are subjected to the same level of control used in preparation of the original documents. The TM determines if the record revision / changes warrants another review, approval, and/or distribution of the document(s).

# RECORDS MANAGEMENT

## RWAP-05

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### 7.0 FORMS

NONE

### 8.0 RECORDS MANAGEMENT

8.1 RWAP personnel who generate records are responsible for ensuring that the content and information presented complies with the requirements of this instruction. The following record is generated during implementation of this instruction.

8.1.1 Memorandum for the Record (MFR)

### 9.0 REFERENCES

- 9.1 NNS, *Nevada National Security Site Waste Acceptance Criteria*
- 9.2 RWAP-P1, *Radioactive Waste Acceptance Program Implementation Plan*
- 9.3 *Mixed Waste Disposal Unit, Waste Analysis Plan*
- 9.4 RWAP-01, *Preparation of Radioactive Waste Acceptance Program Instructions*
- 9.5 RWAP-02, *Conduct of Waste Generator Facility Evaluations*
- 9.6 RWAP-03, *Waste Generator Documentation Approval Process*
- 9.7 RWAP-04, *Training and Qualification of Personnel*
- 9.8 RWAP-05, *Records Management*
- 9.9 RWAP-07, *Corrective Action Requests*
- 9.10 RWAP-08, *Document Control*
- 9.11 RWAP-09, *Waste Verification Process*

### 10.0 EXHIBIT

None

### 11.0 APPENDIX

11.1 Appendix 1 - Memorandum for the Record (Example)

# RECORDS MANAGEMENT

## RWAP-05

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### Appendix 1 Memorandum for the Record (Example)

#### MEMORANDUM FOR THE RECORD

#### **RADIOACTIVE WASTE ACCEPTANCE PROGRAM (RWAP) SURVEILLANCE OF THE LAWRENCE LIVERMORE NATIONAL LABORATORY (LLNL), LOW-LEVEL RADIOACTIVE WASTE CERTIFICATION PROGRAM, SURVEILLANCE NO. RWAP-X-XX- XX**

RWAP personnel completed the subject surveillance on XX/XX/XXXX to evaluate compliance of the LLNL Low-Level Radioactive Waste Certification Program to the *Nevada National Security Site Waste Acceptance Criteria* (NTSWAC), Revision X.

The surveillance was conducted in accordance with the requirements of RWAP Instruction, RWAP-02, *Conduct of Waste Generator Facility Evaluations* and documented in the following enclosed records:

- Audit or Surveillance Report RWAP-X-XX-XX (XX pgs.)
- Audit or Surveillance Checklist RWAP-X-XX-XX (XX pgs.)
- RWAP Meeting Attendance Sheets (X pgs.)
- Original CAR, RWAP-X-XX-XX, Attachment 1 (X pgs.)
- LLNL Observation Responses, Attachment 2 (10 pgs.)
- Audit or Surveillance Plan
- Miscellaneous Correspondence, Attachment 3 (3 pgs.)

Radioactive Waste Acceptance Program  
Waste Management Project