

SANDIA NATIONAL LABORATORIES  
CIVILIAN RADIOACTIVE WASTE MANAGEMENT  
QUALITY ASSURANCE IMPLEMENTING PROCEDURE (QAIP)

TECHNICAL PROCEDURES

Revision 05

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## REVISION HISTORY

Revision	Summary
00	Initial Issue.
01	Note 1 was added to Section 4.2 to explain what editorial corrections consist of, how they could be made, and what reviews were required. This implemented details from the QARD.
02	Sections 4.4 and 6.0 and Appendix A were modified to clarify the review and approval process for TPs, incorporate a new requirement concerning responsibility for data reduction and transfer, and to update titles in the "References" section.
03	Modifications were made to sections 4.1, 4.2, 5.0, and Appendix A to clarify how to document modifications to the process specified in a nationally-recognized standard, and to include a "Rationale for Revision" for each TP change.
04	Body of procedure put in playscript format; Revision History incorporated replacing "Rationale for Revision" form; and other modifications necessary to incorporate changes in requirements (QARD Revision 5). Corrective action resulting from Deficiency Report YMQAD-96-034 implemented to clarify records status of review comments.
05	Changes to section 4.2, 5.0, and Appendix A in response to Deficiency Reports YM-96-D080 and YM-96-D088. Concerning expedited changes, clarified that the PI is the authorizing "level of management", specified a time limit for completion of a formal change subsequent to an expedited change, specified a methodology for evaluation of the effect of a formal change differing from an expedited change, and specified that a memo or an e-mail is to be the mechanism for notifying concerned parties about expedited changes. Requires retention of mandatory comment records in section 4.1. Defines record retention period for records generated by this QAIP. Clarified in Appendix A that TPs must cite QAIP 17-1 for records submittal and that records resulting from activities governed by TPs are lifetime (QA:L) records.

# TABLE OF CONTENTS

	<u>Page</u>
1.0 PURPOSE .....	4
2.0 SCOPE .....	4
3.0 DEFINITIONS .....	4
4.0 PROCEDURE .....	5
4.1 Preparation, Review, Approval, and Issuance of TPs .....	5
4.2 Changes .....	7
5.0 RECORDS .....	9
6.0 REFERENCES .....	9
APPENDIX A: TECHNICAL PROCEDURE CONTENT .....	10

## 1.0 PURPOSE

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The purpose of this Sandia National Laboratories (SNL) Civilian Radioactive Waste Management (CRWM) procedure is to state the requirements for preparing, revising, and approving Technical Procedures (TPs) used in scientific investigations.

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## 2.0 SCOPE

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This procedure details the requirements for preparation and use of TPs and applies to SNL CRWM staff and others who plan, prepare, and conduct, and oversee scientific investigations.

In general, TPs are required for those portions of scientific investigations wherein personnel perform repetitive operations/activities (e.g., the operation of specific equipment or equipment systems used in scientific investigations, or data collection activities involving several replications).

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## 3.0 DEFINITIONS

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**Technical Procedure (TP):** Detailed implementing procedure consisting of a set of written instructions defining technical requirements; constraints; the type, range, and accuracy of measuring devices; and the procedural steps to accomplish a particular task.

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## 4.0 PROCEDURE

### 4.1 Preparation, Review, Approval, and Issuance of TPs

Responsible Individual(s)	Step	Procedure
Author	1	<p>Shall prepare the TP, to meet the objectives in the governing Work Agreement, addressing all content topics as shown in Appendix A. The format of the TP cover sheet should follow that of the cover sheet for this procedure, with "Technical Procedure" in place of "Qualify Assurance Implementing Procedure," followed by the appropriate TP title and TP plus the appropriate number entered in place of QAIP 20-1. The TP number is an Arabic numeral that provides a unique identification and is obtained from the SNL YMP Document Control staff. Each page of a TP should bear the following header, located in the upper right-hand side of the page:</p> <p style="padding-left: 40px;">TP (Number)                      Revision (Number)                      Page (Number) of (Total Number)</p> <p>The TP will have a Revision History immediately following the cover page that provides a description of the changes made to the TP, clearly indicating the source of the changes (procedure improvement, resolution of a deficiency, WA change, etc.).</p>
Reviewers	3	Shall conduct and document procedure reviews in accordance with QAIP 6-3.
Principal Investigator (if different than the author)	4	Review to ensure TP addresses WA objectives.
Technical Reviewer	5	Shall review the procedure to ensure technical adequacy, correctness, and completeness. (The technical review may be performed by the PI, if the PI is not the author.)
Quality Assurance (QA) Reviewer	6	Shall review the procedure to assure that appropriate quality requirements and controls are included.

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## 4.0 PROCEDURE, Continued

### 4.1 Preparation, Review, Approval, and Issuance, Continued

Responsible Individual(s)	Step	Procedure
Author	7	Other reviewers that may be considered include:
		a. Other independent technical reviewers, and b. The responsible SNL Task Manager.
Reviewers	8	For each review, shall resolve comments, incorporate the applicable responses in the procedure or revision, and ensure that documentation of any mandatory comments are submitted as QA records.
	9	Shall sign the procedure or revision for approval. The signatures indicate the procedure or revision was reviewed and that review comments, if any, have been satisfactorily resolved and incorporated, and that the procedure or revision ICN is approved for use, subject to its effective date.
PI	10	Enters the effective date on the procedure and on the Request to Provide Training form (refer to QAIP 2-5).
	11	Forwards the Request to Provide Training form to the Training Manager for processing in accordance with QAIP 2-5.
	12	Forwards the approved procedure or revision and a Request for Distribution/Recall of a Controlled Document form to the Document Control staff for distribution and processing in accordance with SNL YMP QAIP 6-1.

## 4.0 PROCEDURE, Continued

### 4.2 Changes

Responsible Individual(s)	Step	Procedure
Author	1	<p>Upon identifying the need for a procedural change, shall draft the procedure change(s) and revise the procedure. For all procedure revisions provide a description of each change in the Revision History. Review the Revision History each time a revision is proposed, to ensure that commitments are not inadvertently deleted.</p> <p><b>NOTE 1:</b> Editorial corrections may be made to documents without being subject to review requirements. The following items are examples of editorial corrections:</p> <ul style="list-style-type: none"> <li>a) Correcting grammar or spelling,</li> <li>b) Renumbering sections or attachments in a way that does not affect the sequence of work,</li> <li>c) Changing the title or number of the document, and</li> <li>d) Updating organizational titles (not responsibilities).</li> </ul> <p>Editorial changes shall be approved by the PI.</p> <p><b>NOTE 2:</b> If a user of the procedure determines an activity cannot be performed as listed and the change process would cause unreasonable delays, then an <b>EXPEDITED CHANGE</b> may be requested by performing the following steps:</p> <ul style="list-style-type: none"> <li>a) The user contacts the responsible PI (who is the "level of management" authorized to approve expedited changes).</li> <li>b) The PI reviews the nature of the change required and either authorizes an expedited change or shall stop work until the procedure is revised.</li> </ul>

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## 4.0 PROCEDURE, Continued

### 4.2 Changes, continued

Responsible Individual(s)	Step	Procedure
Author	1 cont.	<p>c) If an expedited change is authorized, the procedure is changed at the work location by taking the following steps:</p> <ol style="list-style-type: none"> <li>1) On the controlled copy of the procedure, draw a single line through the text to be changed.</li> <li>2) Insert the corrected text above or adjacent to the text being changed.</li> <li>3) Initial and date the change.</li> <li>4) Notify the PI of the change completion.</li> </ol> <p>d) In a timely manner, notifies other affected personnel, as necessary, of the expedited changes via memorandum or e-mail.</p> <p>e) Shall process an expedited change through the formal revision process within 30 working days of the approval of the expedited change. If the formal revision process results in change that is different from the expedited change, the results of the work activities performed under the expedited change shall be evaluated by comparing those results with the projected results had the activities been performed as the formal revision specifies. The results of the evaluation will be documented and included in the record of the activities.</p>
	2	Shall obtain reviews and approvals of the TP revision as specified in section 4.1.

Ym-46-D-050  
QAIP 20-1  
3/2/05  
12/15/05

## 5.0 RECORDS

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The following QA records and record packages, including corrections and changes thereto, generated as a result of implementing this procedure are submitted to the SNL Local Records Receiving Organization by the records source in the applicable procedure:

<u>QA Records/Designation</u>	<u>Procedure</u>
The approved procedure or revision. (LIFETIME)	QAIP 6-1

The following QA records and record packages, including corrections and changes thereto, shall be prepared and submitted to the Local Records Receiving Organization in accordance with QAIP 17-1, "Protecting, Preparing, and Submitting CRWM QA Records." These QA records include:

Document Review and Comment Forms (and associated documentation) for any mandatory review comments (LIFETIME)

Documentation of the evaluation resulting from differing expedited and formal revisions to a TP. (NONPERMANENT)

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## 6.0 REFERENCES

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QAIP 2-5	Training
QAIP 6-1	Document Control System
QAIP 6-3	Conducting and Documenting Reviews of Documents
QAIP 17-1	Protecting, Preparing, and Submitting YMP QA Records

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## APPENDIX A TECHNICAL PROCEDURE CONTENT

The topics listed below shall be included in Technical Procedures (TPs), as appropriate. Many of the following requirements for a scientific investigation may already be addressed in a Work Agreement (WA) and need not be repeated in the TP. Conversely, some of these topics may be addressed in the WA, but in a less-detailed manner than is needed in a TP. In such cases, the author may include as much detail as deemed necessary in the TP.

1. Objectives and the primary tasks involved (including sequencing, if appropriate).
2. Acceptance criteria sufficient for determining that activities were satisfactorily accomplished.
3. Personnel responsibilities.
4. Reference to any applicable nationally-recognized standards and criteria (e.g., ASTM or ISRM Standards).
5. Reference to the appropriate implementing documents (e.g., other TPs). Reference to the appropriate planning documents (e.g., WAs, Study Plan) and the identification of associated investigative activities.
6. A description of the laboratory and/or field testing equipment.
7. The identification of computer software.
8. The necessary prerequisites (e.g., calibrated instrumentation, personnel familiarization), special controls, precautions, environmental conditions, process parameters, and/or skills.
9. Methods of identifying, recording, and documenting data to provide traceability, indicate usability, document validation status, and any applicable Project Data Archive Data-Set Identification number.
10. Identify methods on how data reduction and transfer shall be controlled to permit independent reproducibility by another qualified individual.
11. Instructions for addressing accuracy, precision, and representativeness of the results (or a detailed reference to appropriate study plan that discusses this issue).
12. A sequential description of the actions to be taken (scientific approach or technical methods used) including the quality assurance program verifications and hold points to overview the work.
13. Controls for altering the sequence of required operations.

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**APPENDIX A**  
**TECHNICAL PROCEDURE CONTENT**  
(Continued)

14. The required records generated by the TP and method for the recording of objective evidence of the results of the work performed; for example, data collection forms specified by the TP, data acquisition system printouts, sample control documentation (e.g. chain of custody forms), instrumentation calibration/calibration check records, etc. Also included would be documentation of the evaluation of the results of activities governed by the TP if there is a difference between an expedited change to a TP and the subsequent resulting "formal" revision. This section shall require that records be submitted in accordance with QAIP 17-1 and/or QAIP 17-2 and that they be designated QA:L.

OFFICE OF CIVILIAN  
RADIOACTIVE WASTE MANAGEMENT  
U.S. DEPARTMENT OF ENERGY  
WASHINGTON, D.C.

8  Performance Report  
 Deficiency Report

NO. YM-96-D-080

PAGE 36 OF 36

QA: L

PR/DR CONTINUATION PAGE

VERIFICATION OF CORRECTIVE ACTION FOR DR YM-96-D-080

Block 22 - Corrective Actions Verified

Actions to Preclude Recurrence -

1. Verified QAIP 1-5, Revision 11, effective 12/4/96, Tilled; Establishing Work Agreements, Section 4.3, Revising Work Agreements incorporated the following changes:

- Section 4.3 Note, specifies the customer is the Management level authorized to make expedited changes.
- Section 4.3, Step 1, specifies the expedited change is to be processed through the formal WA revision--within 30 working days.
- Section 4.3, Step 1, requires notification of affected parties by memorandum or e-mail.
- Section 4.3, Step 1, the difference in the expedited change and subsequent normal changes are required to be evaluated and documented.

2. Verified QAIP 20-1, Revision 05, effective 12/4/96, Tilled; Technical Procedures, Section 4.2 changes incorporated the following changes:

- Para 4.2, Step 1, Note 22, designates the PI as the Management level to authorize expedited changes.
- Note 2d, requires the notification of affected personnel and other of the changes.
- Note 2e, specifies the expedited change is to be processed through the normal change processed within 15 working days.
- Note 2 e, requires a documented evaluation to be performed when the normal change is difference than the expedited change.

Donald J. Harris  
Donald J. Harris, QAR

12/18/96  
Date