



CHANGE NOTICE

CN No.: 3.3-2-2

Effective Date: 11/1/91

Affected Document: 033-YMP-QP 3.3 Review of Technical Publications and Data

James Blink

N/A

Prepared by:

Approved by: (Technical Area Leader) Date

RM 10-22-91

R. E. Ash 10/28/91

J. A. Bell 22 Oct 91

Approved by: (YMP QA Manager) Date *See* Approved by: (YMP Leader) Date
YMP Ldr., Deputy Proj. Ldr., Publications Mgr. only.

Training Required: Yes No Major Changes Minor Changes *RM 10-22-91*

Reason for Change:

Change allows quicker turn-around of technical reports from YMPO.

- Section 3.3.4.3: Add the following sentence.

If programmatic or policy comments are received from YMPO, the author, or the LLNL-YMP Leader or designee, may sign the Document Review Sheets to accept or reject these comments.

NOTE: THIS CHANGE NOTICE IS TO BE FILED AT THE FRONT OF THE AFFECTED DOCUMENT



CHANGE NOTICE

CN No.: 3.3-2-1Effective Date: 09/13/91Affected Document: 033-YMP-QP 3.3 Review of Technical Publications and Data

Barbara Bryan

N/A

Prepared by:

Approved by: (Technical Area Leader) Date

Approved by: (YMP QA Manager) Date

Approved by: (YMP Leader) Date 9/5/91Training Required: Yes No Reason for Change: For clarity of paragraph. No new information was added.

1. Section 3.3.4.2: Change paragraph to read:

At least one technical reviewer is required. All formal technical reviews are documented. Technical reviewers are recommended by the author's programmatic supervisor and must be technically qualified in the report subject area. Technical reviewer(s) do not have to be employees of the organization where the work was performed. One technical reviewer must be independent of technical efforts that resulted in the report.

Examples of independent reviewers (who are all technically qualified) are:

- Peer in the same or another technical area who did not perform work.
- TAL in the same technical area who did not perform work (unless the TL performed the work).

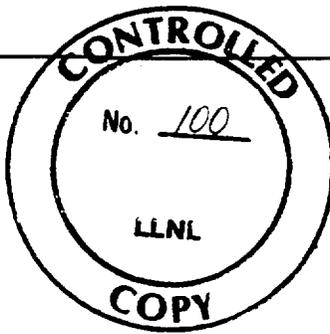
Examples of reviewers who are not considered independent are:

- Anyone who helped perform the work.
- The TL who is responsible for the work.
- The TAL who is responsible for the work, if the work was done by a subordinate TL.

Exception:

A TAL or TL who is responsible for the work may act as an independent reviewer, if the LLNL-YMP Leader or designee documents, and the QA manager concurs, that another technically qualified reviewer cannot be identified.

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subject:

REVIEW OF TECHNICAL PUBLICATIONS AND DATA

Approved by: *Philip J. Jardine 5/30/91*
Yucca Mountain Project Leader

Approved by: *RKDann 5/29/91*
YMP Quality Assurance
Manager

GENERAL REWRITE

3.3.1 PURPOSE

The purpose of this procedure is to describe the prior-to-publication review process for technical documents written under the auspices of the LLNL Yucca Mountain Project (YMP). This procedure prescribes documentation requirements associated with this review process. This procedure also describes the review process for LLNL-YMP data that are submitted to the YMP Technical Data Base (TDB) or Reference Information Base (RIB).

3.3.2 SCOPE

This procedure applies to the following products:

- technical reports (e.g., formal LLNL reports, journal articles, conference papers), abstracts, or summaries intended for publication that result from work conducted within the scope of the YMP Quality Assurance Program Plan, either on- or off-site; and
- technical data to be submitted to the YMP TDB or RIB.

This procedure does not apply to:

- technical planning documents;
- weekly, monthly, or quarterly reports;
- abstracts and summaries not intended for publication;
- letter reports from subcontractors;
- LLNL-YMP letter reports to the Yucca Mountain Site Characterization Project Office (YMPO);
- technical data not submitted to the YMP TDB or RIB;
- peer review reports; and
- viewgraphs not intended for publication.

This procedure only considers reviews applicable to YMP sponsored work. These reviews are accomplished prior to any other technical document review processes, since those processes are outside of YMP's purview and control (e.g., a journal may use reviewers and referees outside the YMP community to review a submitted paper).

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3.3.3 RESPONSIBILITIES

The LLNL-YMP Project Leader and Technical Area Leaders are responsible for the effective implementation of this procedure.

Authors are responsible for the content of the report, either in draft or final form.

The Responsible Author is usually the first (lead) author or the LLNL-YMP author if the report was written with others outside LLNL. This individual works with reviewers to resolve comments and provides the original and subsequent drafts to the Publications Manager.

The Publications Manager coordinates all reviews and submits the review record package to the Local Records Center.

The Technical Manager (usually the Task Leader) selects the Technical Reviewer(s).

A Technical Reviewer is responsible for conducting a review that includes an examination of the report's technical accuracy, a determination whether the data support the conclusions, and whether the description of the work in the publication and supporting records is sufficient to allow replication by an independent peer. For technical data, the Technical Reviewer examines the data's accuracy and determines if any calculations inherent in the data are described sufficiently (in the data submission or appropriate source documents) to allow replication by an independent peer.

The LLNL-YMP Leader resolves comments upon which the reviewer and Responsible Author cannot agree and submits publications for YMPO management review.

The Quality Assurance Manager reviews the document review package to determine that all QA requirements for the publication and data are met.

The LLNL-YMP Technical Representative acts as an interface between subcontractor author(s) and the LLNL Publications Manager.

3.3.4 PROCEDURE

Informal technical reviews of draft reports are encouraged. These reviews can be conducted as often and as informally as desired and do not have to become part of any record. However, when draft reports are ready for publication, they must be submitted to a formal, controlled, and thoroughly traceable review process.

3.3.4.1 Responsible Author

Throughout the review process, comments, questions, and requests are to be mutually resolved, answered, and accommodated by the Responsible Author and the reviewer. Comments are resolved in a manner suitable to their nature. Personal contact for resolution is encouraged, but records of this contact must be included in the review process documentation. These records are retained until the review is completed. Then, the actual comments and resolution notes are destroyed. (Documentation of comment resolution can be accomplished by completing a second reviewer comment form with no further review indicated.) However, if comments are resolved by the LLNL-YMP leader after the author and reviewer could not agree, then a record of the LLNL-YMP Leader resolution of the comments is retained in the record package.

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3.3.4.2 Technical Review of Publication

At least one technical reviewer is required. Technical reviewers are recommended by the author's programmatic supervisor and must be technically qualified in the report subject area. One technical reviewer must be independent of technical efforts that resulted in the report. A peer who works for the same programmatic supervisor (usually the Task Leader), but who did not perform the technical work, is considered independent. The next higher programmatic supervisor (usually the Technical Area Leader) who did not perform the technical work is also considered independent. The responsible programmatic supervisor who did not perform the technical work is not considered independent and cannot be a technical reviewer unless the LLNL-YMP Leader or designee documents, in advance, that another reviewer cannot be identified. Technical reviewer(s) do not have to be employees of the organization where the work was performed. All reviews are documented.

3.3.4.3 Approval by YMPO and LLNL-YMP

After inhouse reviews have been completed and documented, the Publications Manager submits the current reviewed draft to YMPO with an appropriate transmittal letter signed by the LLNL-YMP Leader. After approval (verbal or written) has been received from YMPO, all documentation is collected and submitted for final reviews by LLNL-YMP management and Quality Assurance. These reviews are documented by signature on the review record. If verbal approval from YMPO has been received, this is noted on the review record. When the subsequent YMPO approval letter is received, its date is added to the review record, and the letter is added to the record package.

3.3.4.4 Publishing the Manuscript

The Publications Manager arranges for publication and distribution of the report.

3.3.4.5 Submittal of Documentation to QA Records

The Publications Manager retains all review documentation in a fire resistant cabinet until distribution of the printed publication is completed. The Publications Manager completes the proper forms and submits the review package, along with a copy of the printed report, to the Local Records Center.

3.3.5 TECHNICAL DATA REVIEW

Technical data that are to be submitted to the YMP TDB or RIB must be reviewed for technical accuracy and to determine whether any calculations inherent in the data are described sufficiently (in the data submission or appropriate source documents) to allow replication by an independent peer. The data documentation is also reviewed by LLNL-YMP Quality Assurance and the LLNL-YMP Leader or designee.

It is convenient, but not required, for the data review to take place in conjunction with the associated publication review. In some cases, a publication must be processed quickly (for example, to meet a conference deadline) and in these cases, the data review may follow the publication review. In other cases, there may be a need to add data to the YMP TDB or RIB prior to completion of a publication. In these cases, the data review may precede the publication review.

The criteria for reviewing technical data fall into three categories:

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1. Data that have not been previously reviewed: in this case, the reviewer may need to review the scientific notebook or other source documents to assure the data accuracy.
2. Previously reviewed data that have received additional analysis or refinement: in this case, the reviewer checks the additional analysis.
3. Data that have been previously (or are being concurrently) reviewed as part of a publication review, scientific notebook review, or verification: in this case, the reviewer merely checks to see that the data were correctly transcribed to the format required by the TDB or RIB administrator.

3.3.6 TECHNICAL DOCUMENTS OR DATA FROM LLNL-YMP SUBCONTRACTORS

Subcontractors are required to follow this procedure for submittal of both technical documents and data. The procedure is initiated when the LLNL-YMP Technical Representative submits the report or data to the Publications Manager.

3.3.7 QUALITY ASSURANCE RECORDS

Quality assurance records created by the implementation of this procedure are collected, stored, and maintained in accordance with Procedure No. 033-YMP-QP 17.0, "Quality Assurance Records."

For both publication and data review, annotated drafts are not included in the QA record package; they are destroyed once the review process is complete. Quality assurance records include the following documents, as applicable:

Publication Review:

- the original draft;
- completed "Technical Data, Milestones, and Records Form" (EXHIBIT A);
- completed "Technical Report Review Record for YMP Reports" (EXHIBIT B);
- completed "Technical Reviewer's Comment Form(s)" (EXHIBIT C);
- documentation of comment resolution, if applicable (usually a second EXHIBIT C);
- copy of transmittal letter to YMPO with manuscript, if different from the original;
- all supporting documentation from YMPO reviews;
- YMPO approval letter;
- any documentation of disputed comments and their resolution by the LLNL-YMP Leader; and
- published technical report.

Data Review:

- the original draft (paper or other approved media);
- completed "Technical Reviewer's Comment Form(s) for Technical Data Submittal" (EXHIBIT D);
- completed "Technical Review Record for YMP Technical Data Submittal" (EXHIBIT E);
- documentation of comment resolution, if applicable (usually a second EXHIBIT D);
- documentation of disputed comments and their resolution by the LLNL-YMP Leader, if applicable;
- final version of the data document (paper or other approved media); and
- copy of the transmittal letter and Technical Data Information Form (TDIF) to the appropriate database administrator.

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TECHNICAL DATA, MILESTONES, & RECORDS FORM		
Title _____		
WBS _____ QA: () QA: N/A ()		
1. Have technical data been collected in support of this publication? Yes (), No () If <u>yes</u> , have Technical Data Information Forms been submitted to the LRC with the necessary supporting documentation? Yes (), No (), Date for submission _____		
2. Does this report include any new candidate data for the Site & Engineering Properties Data Base (SEPDB) or EQ3/6 Data Base? Yes (), No () If <u>yes</u> , are the data, TDIF, Reviewer's Comment Form, & Review Record attached? Yes (), No (), Date for submission _____		
3. Does this report include any new candidate data for the Reference Information Base (RIB)? Yes (), No () If <u>yes</u> , is a written request to change the RIB attached, for submission to the RIB Administration? Yes () No (), Date for submission _____		
4. Does this report use any existing data from the Reference Information Base? Yes (), No () If <u>yes</u> , describe the data briefly: _____		
5. Does this report or its supporting research complete any project or PACS milestones? Yes (), No () If <u>yes</u> , describe the milestone briefly or note its number: _____		
6. Are there scientific notebooks or other records associated with this report or its supporting research? Yes (), No ()		
Responsible Author _____		Date _____

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EXHIBIT A
 TECHNICAL DATA, MILESTONES, & RECORDS FORM

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YUCCA MOUNTAIN PROJECT																																									
TECHNICAL REPORT REVIEW RECORD FOR YMP REPORTS																																									
Responsible Author: _____ Ext: _____ Milestone No.: _____ WBS No: _____ Account #: _____ Task: _____ QA () QA:N/A () Activity No: _____ Document No.: _____ Document Title: _____ _____ Abstract: () Conference Paper: () Journal Article: () Report: () Prepared for Submittal to: _____ _____																																									
1. Technical Content Review <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:40%;">Reviewer's Name</th> <th style="width:20%;">Reviewers Recommended by</th> <th style="width:40%;">Date</th> <th style="width:20%;">Remarks</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>	Reviewer's Name	Reviewers Recommended by	Date	Remarks																																					
Reviewer's Name	Reviewers Recommended by	Date	Remarks																																						
2. TECHNICAL APPROVAL: Approved by _____ Date: _____																																									
3. INITIAL LLNL-YMP APPROVAL: Approved by _____ Date: _____																																									
4. INITIAL QUALITY ASSURANCE APPROVAL: Approved by _____ Date: _____																																									
5. YMPO APPROVAL: YMPO Reference No. _____ Date: _____																																									
6. FINAL LLNL-YMP ADMINISTRATIVE APPROVAL: Approved by _____ Date: _____																																									
7. FINAL QUALITY ASSURANCE REVIEW AND APPROVAL: Reviewed by _____ Date: _____																																									

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TECHNICAL REVIEWER'S COMMENT FORM

Title of paper: _____

Authors: _____

- Recommendation:
- Publish as - is
 - Publish. Optional minor revisions are noted on text
 - Publish after major revision(s) are re-reviewed by me
 - Not suitable for publication

Comments:

Reviewed by: _____ Date: _____

NOTES TO REVIEWER:

The review of this report should be similar to one that would be conducted for a refereed technical journal. At a minimum, include an examination of the report's technical accuracy, a determination whether the data support the conclusions, and whether the description of the work in the publication and supporting records is sufficient to allow replication by an independent peer. It is preferred that black or another reproducible color of ink be used when commenting on the draft and on this review sheet. Please type or write your comments legibly. Sign and date the cover page of the draft. Please return the draft.

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TECHNICAL REVIEWER'S COMMENT FORM FOR TECHNICAL DATA SUBMITTAL	
Title/Description of data: _____ _____ _____	
Responsible Author: _____	
Recommendation: <input type="checkbox"/> Publish as - is <input type="checkbox"/> Publish. Optional minor revisions are noted <input type="checkbox"/> Publish after major revision(s) are re-reviewed by me <input type="checkbox"/> Not suitable for publication	
Comments:	
<div style="font-size: 4em; opacity: 0.2; transform: rotate(-15deg); pointer-events: none;">SAMPLE</div>	
Reviewed by _____ Date: _____ NOTES TO REVIEWER: The review of this data should be similar to one that would be conducted for data/analysis for inclusion in a refereed technical journal article. At a minimum, include an examination of the technical accuracy and whether the calculations are described sufficiently to allow replication by an independent peer. It is preferred that black or another reproducible color of ink be used when commenting. Please type or write your comments legibly. Sign and date the cover page of the data document. Please return the data document.	

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EXHIBIT D
TECHNICAL REVIEWER'S COMMENT FORM
FOR TECHNICAL DATA SUBMITTAL

TECHNICAL REVIEW RECORD FOR YMP TECHNICAL DATA SUBMITTAL

Description of Data: _____

Responsible Author: _____

Prepared for submittal to: RIB SEPDB EQ3/6 Database

1. TECHNICAL CONTENT REVIEW Reviewers Recommended by: _____

Reviewer's Name	Date	Remarks

2. TECHNICAL APPROVAL:
 Approved by: _____ Date: _____

3. QUALITY ASSURANCE REVIEW:
 Reviewed by: _____ Date: _____

4. LLNL-YMP APPROVAL:
 Approved by: _____ Date: _____

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