



CHANGE NOTICE

CN No.: 6.0-2-1Effective Date: 9/27/91Affected Document: 033-YMP-QP 6.0 Document Control

Barbara Bryan

N/A

Prepared by:

Approved by: (Technical Area Leader) Date

Royce Monds 9/23/91W. J. Helame 9/23/91

Approved by: (YMP QA Manager)

Date

Approved by: (YMP Leader)

Date

Training Required: Yes No Major Changes Minor Changes

Reason for Change:

General clarification of procedure. Clarify which documents must be sent to YMPO-QA. Eliminate requirement to return Decontrol Notice.

- Section 6.0.5.1: Add the following paragraph:

Reference to documents herein refers to controlled documents.

- Add new Section 6.0.5.3.2 CONTROLLED DOCUMENTS DISTRIBUTED TO THE DIRECTOR, QA DIVISION - YMP.

Controlled copies of Activity Plans, Individual Software Plans, Quality Procedures, the Quality Assurance Program Plan, Quality Assurance Requirements Specifications, Scientific Investigation Plans, the Software Quality Assurance Plan, and Technical Implementing Procedures are sent to the Director, Quality Assurance Division - YMP.

- Section 6.0.5.5: Change the third sentence to read:

A Decontrol Notice of Controlled Document form (Exhibit 6.0 - B) will be sent...

- Section 6.0.5.6: Add sentence to beginning:

All changes to controlled documents are handled through change notices or a revision of the document.

9210260260 921013
PDR WASTE
WM-11 PDR

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

5. Section 6.0.5.6: Change the second and third paragraphs to read:

Minor changes do not require the same review and approval as the original document. Minor changes are limited to spelling and grammar corrections, and editorial corrections that do not change the intent of the procedure. The LLNL-YMP Leader and Quality Assurance Manager must approve minor changes. The Quality Assurance Manager indicates on the change notice whether the changes are major or minor.

Interim changes or change notices that are considered major may be made to any controlled document with the approval of those authorized to approve the original document. Change notices are placed at the front of the affected document and are issued along with a revised table of contents, if applicable, to controlled copy holders in accordance with Section 6.0.5.3. Interim changes remain in effect until the next revision of the document or until cancelled.

6. Section 6.0.8: second bullet: change to read:

A distribution list authenticated that all receipts have been returned and copies of any Decontrol Notice of Controlled Documents forms will be retained as part of the record package and will be transmitted to the LRC in accordance with Procedure 033-YMP-QP 17.0 when completed.

7. Exhibit 6.0-B: Change the title and information so that a signature will no longer be required. See page 3 of this change notice.

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YUCCA MOUNTAIN PROJECT

Page _____

Of _____

DECONTROL NOTICE OF CONTROLLED DOCUMENTS

APPROVED FOR DISTRIBUTION:

TO: (Name, Organization, Address, Telephone)

(Responsible Manager)
LLNL/YMP Local Records Center
P.O. Box 808, L-217
Livermore, CA 94550

Date

Controlled Copy No.

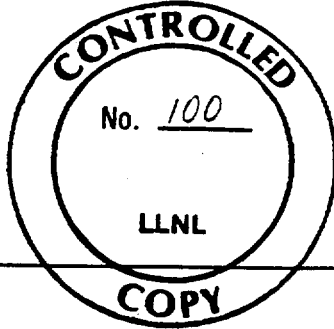
DESTROY THE CONTROLLED DOCUMENTS LISTED BELOW FOR THE FOLLOWING REASON:

[] COMPLETION OF ASSIGNMENT [] INACTIVE [] OTHER

ITEM	REV.	DATE

If you wish to retain this document for your information, mark it decontrolled both on the cover and on any inside pages previously marked "Controlled". Retain this notice as the first page of the decontrolled document.

YUCCA MOUNTAIN PROJECT



No.: 033-YMP-QP 6.0
Revision: 2
Date: MAY 16 1991
Page: 1 of 8

Subject: DOCUMENT CONTROL

Approved by: *Philip Jardine 5/16/91*
Yucca Mountain Project Leader

Approved by: *RKD 5-15-91*
YMP Quality Assurance
Manager

6.0.1 PURPOSE

This procedure establishes the method for issue of controlled documents. The controls are established to assure proper documents prescribing work are available at the work location. These controls are also established to assure that documents have been appropriately approved and that procedures or records reflecting the documents' distribution are maintained. Separate procedures address the preparation, review, and approval of individual document types as well as coordination of interface documents.

6.0.2 SCOPE

This procedure applies to all controlled documents and their revisions required for activities by the Yucca Mountain Project (YMP) at Lawrence Livermore National Laboratory (LLNL). Controlled documents are identified in procedures which govern their preparation. Maintenance of master lists for controlled documents is addressed in this procedure.

Documents that are not subject to the document control requirements of this procedure may be subject to the records control requirements of Procedure 033-YMP-QP 17.0, "Quality Assurance Records."

6.0.3 RESPONSIBILITIES

LLNL-YMP Project Administrator, or designee, manages the implementation and maintenance of an effective document control system.

The preparation, review and approval of documents subject to document control is discussed in individual procedures contained in the Quality Procedures manual. It is the responsibility of the document originator(s) to assure that such documents are prepared, reviewed and approved in accordance with applicable procedure(s) and that the documents have been reviewed for technical adequacy, completeness, correctness and inclusion of appropriate quality requirements.

Recipients of controlled documents are responsible for maintaining their assigned copy; promptly returning signed receipt acknowledgments; returning, marking, or destroying obsolete or superseded documents; notifying the Local Records Center (LRC) of changes in name, position, address and employment status; and assuring that controlled documents are available at the work place.

It is also the responsibility of YMP document users to assure that they are working with current documents, as indicated on the document's Table of Contents or periodic master lists.

No.: 033-YMP-QP 6.0	Revision: 2	Date: MAY 16 1991	Page: 2 of 8
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6.0.4 TERMS AND DEFINITIONS

Document: Any written or pictorial information describing, defining, specifying, reporting or certifying activities, requirements, procedures or results.

Controlled Document: Document that has been designated as controlled in accordance with QAPP or by a member of the YMP. Controlled documents include documents that assure technical adequacy, documents containing or specifying quality requirements, and documents that prescribe activities affecting quality.

Uncontrolled Document: A document, such as a procedure, which is issued for information purposes. Such documents will be clearly marked "UNCONTROLLED" and may not necessarily be reissued on subsequent revisions of the document.

See Tab C, Terms and Definitions, of the Quality Procedures Manual for additional definitions.

6.0.5 PROCEDURE

6.0.5.1 General

Documents received or generated by LLNL-YMP personnel (Record Source) will be processed in a centralized project local records center (LRC). Documents received are checked by the LRC for completeness against the transmittal, table of contents (if any), and for listed attachments and references; they are checked for legibility for reproduction and are verified for proper authorization (if necessary), against the signature authentication list, which is maintained by the Training Coordinator. Incomplete or illegible documents or transmittals will be rejected by the LRC and returned to the Record Source for correction or completion and resubmittal.

6.0.5.2 Controlled Document Types

The following documents are controlled through this procedure:

- Activity Plan
- Individual Software Plans
- Quality Assurance Grading Report
- Quality Procedures
- Quality Assurance Program Plans
- Quality Assurance Requirements Specifications
- Scientific Investigation Plans
- Software Quality Assurance Plan
- Technical Implementing Procedures

6.0.5.3 Controlled Distribution

For controlled distributions, individuals are assigned a unique control copy number and distribution is made using a Receipt Acknowledgement Form (Exhibit 6.0 - A). If, after 20 working days the signed Receipt Acknowledgement Form is not returned, the LRC issues a letter to the delinquent document holder with a copy to the holder's LLNL-YMP supervisor and the Quality Assurance Manager.

If the signed Receipt Acknowledgement Form is not received within 10 working days of the letter date, the LRC sends a final letter to the copy holder, with a copy to the holder's LLNL-YMP supervisor and the Quality Assurance Manager for appropriate management action.

Those individuals who are not LLNL-YMP personnel will automatically be decontrolled if the acknowledgement receipt is not returned ten days after the second notice. The individual will be notified of such action.

6.0.5.3.1 Authentication of Table of Contents

The LLNL-YMP Project Administrator, or designee, indicates review and authentication of a Table of Contents or revised Table of Contents by signing and dating the "Approved" box.

6.0.5.4 Obsolete or Superseded Documents

Distributed controlled documents that are made obsolete or are superseded are to be removed or marked, as indicated on the receipt acknowledgment form, to prevent inadvertent use.

The document master list (Section 6.0.5.8) is updated and distributed to reflect the deletion of the document.

6.0.5.5 Removal of Individuals from Controlled Distribution

Individuals may be removed from a controlled distribution on completion of assignment, termination and if a document is inappropriate for their function. With the exception of project management, authorization for the LRC to remove an individual from controlled distribution must come from the individual's supervisor. A Request for collection of Controlled Document form (Exhibit 6.0 - B) will be sent to the individual requesting destruction or return of the controlled document to the LRC. If requested, the LRC may provide the individual uncontrolled copies of the document, stamped "uncontrolled."

6.0.5.6 Changes to Controlled Documents

Changes to documents are categorized as major or minor changes. Major changes require the same level of review and approval, and access to pertinent background data, as the original issue. The reviewing organization will, if applicable, specifically consider whether or not the activities being changed are repeatable, have the potential to impact the waste isolation capability of the site or interface with other site characterization activities.

Minor changes do not require the same review and approval as the original document. Minor changes are limited to spelling and grammar corrections, and editorial corrections that do not change the intent of the procedure. The original record will be corrected by the record source by scribing a single line through the incorrect information, entering the correct information in close proximity, dating, and signing or initialing the change. The incorrect information shall remain legible. Concurrence and approval to issue the change will be made by the LLNL-YMP Project Leader or Quality Assurance Manager. For controlled distributions the revised document or change notice will be distributed to control copy holders in accordance with Section 6.0.5.3 with a receipt acknowledgment required.

Interim changes or change notices may be made to any controlled document with the approval of those who approved the original document. The change is placed at the front of the affected document and is issued along with a revised table of contents in accordance with Section 6.0.5.3. Interim changes remain in effect until the next revision of the document or until cancelled.

No.: 033-YMP-QP 6.0	Revision: 2	Date: MAY 16 1991	Page: 4 of 8
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6.0.5.7 Release of Preliminary Draft and Unverified Documents

It may be necessary to issue uncontrolled copies of controlled documents, such as procedures. To handle such requests, the LRC will stamp these copies "uncontrolled" prior to issue. Uncontrolled copies will not necessarily be reissued on subsequent revisions of the document.

The YMP may be required to issue for use a preliminary draft of a document containing data or conclusions that have not been verified. **For those quality affecting documents, the unverified portion of the document will be identified by the Task Leader/Record Source and controlled prior to transmittal.** A copy of the document, with the unverified portion identified, will be delivered to the LRC with a Release Prior to Verification Form (Exhibit 6.0 - C) indicating the reason for the issue and bearing the approval of the LLNL-YMP Project Leader and the Quality Assurance Manager for release of the unverified information.

The LRC will stamp the document "Unverified - For Information Only" and issue the document on a controlled distribution. The LRC will maintain a log of releases of unverified documents. Such documents, when verified and approved, will be redistributed to copy holders.

6.0.5.8 YMP Master Lists

The LRC develops and maintains document master lists for all controlled document categories, such as scientific investigation plans, procedures, and computer software plans. A master list of those documents that do not have a Table of Contents is issued to all recipients quarterly.

6.0.6 INTERFACE DOCUMENTS

Documents received from sponsor organizations and other project participants will be processed through the LRC. The LLNL-YMP Project Leader or the Quality Assurance Manager may designate an interface document for controlled distribution. Such documents will be processed in accordance with Section 6.0.5.3.

6.0.7 REFERENCES

Lawrence Livermore National Laboratory, Yucca Mountain Project, Quality Assurance Program Plan, Section 033-YMP-R6, Document Control.

6.0.8 QUALITY ASSURANCE RECORDS

- The original and all revisions of completed controlled documents generated by the YMP will be retained in Records and a copy will be transmitted to the DOE Project Office in accordance with Procedure 033-YMP-QP 17.0.
- Controlled distribution receipt acknowledgments, distribution lists and requests for collection of documents forms will be retained as part of the record package and will be transferred to the DOE Project Office when completed.
- Release prior to verification forms and log, along with a stamped copy of the document, will be retained in Records and a copy will be transmitted to the DOE Project Office.

University of California Lawrence Livermore National Laboratory		Page _____ Of _____
YUCCA MOUNTAIN PROJECT		
CONTROLLED DOCUMENT TRANSMITTAL/RECEIPT RECORD		
APPROVED FOR DISTRIBUTION:		TO:
_____ (Responsible Manager) LLNL/YMP Local Records Center P.O. Box 808, L-217 Livermore, CA 94550	_____ (Name) _____ (Organization)	_____ Transmittal Date _____ Controlled Copy No.
SUBJECT:		
ITEM	REV.	DATE
SAMPLE		
INSTRUCTIONS/REMARKS If you have any questions, please call Pat Walden at 422-0537.	RECEIPT ACKNOWLEDGEMENT PLEASE COMPLETE IMMEDIATELY AND RETURN WITHIN 5 WORKING DAYS TO: LLNL/YMP LOCAL RECORDS CENTER MAIL STOP L- 217 <input type="checkbox"/> Marked previous issues "obsolete", "superseded", or "uncontrolled". <input type="checkbox"/> Destroyed previous issues. <input type="checkbox"/> New issue (no previous copies received). Please mark one of the above.	
	_____ (Signature)	_____ (Date)

YMP 012(1) REV 4

University of California  Lawrence Livermore National Laboratory	YUCCA MOUNTAIN PROJECT Page _____ Of _____
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**CONTROLLED DOCUMENT TRANSMITTAL/RECEIPT RECORD
CONTINUATION SHEET**

SUBJECT:

ITEM	REV.	DATE
<div style="font-size: 100px; opacity: 0.5; transform: rotate(-30deg);"> SAMPLE </div>		

YMP 012(8) REV 0

University of California Lawrence Livermore National Laboratory		Page _____ Of _____
YUCCA MOUNTAIN PROJECT		
REQUEST FOR COLLECTION OF CONTROLLED DOCUMENTS		
APPROVED FOR DISTRIBUTION: _____ _____ (Responsible Manager) LLNL/YMP Local Records Center P.O. Box 808, L-217 Livermore, CA 94550	TO: (Name, Organization, Address, Telephone) _____ _____ _____ _____	_____ Date _____ _____ Controlled Copy No.
PLEASE RETURN OR DESTROY THE CONTROLLED DOCUMENTS LISTED BELOW FOR THE FOLLOWING REASON: <input type="checkbox"/> COMPLETION OF ASSIGNMENT <input type="checkbox"/> TERMINATION <input type="checkbox"/> TRANSFER <input type="checkbox"/> OTHER		
ITEM	REV.	DATE
<div style="font-size: 4em; opacity: 0.3; transform: rotate(-15deg); pointer-events: none;"> SAMPLE </div>		
PLEASE INDICATE DISPOSITION OF THE DOCUMENT(S) LISTED ABOVE: _____ _____ _____ _____		
_____ (Copyholder's Signature)		_____ (Date)

YMP 013 Rev 2

University of California Lawrence Livermore National Laboratory		YUCCA MOUNTAIN PROJECT	Page _____ Of _____
RELEASE PRIOR TO VERIFICATION REQUEST			
<u>DOCUMENT(S) TO BE RELEASED:</u>			
<u>PURPOSE OF RELEASE:</u>			
PREPARED BY: _____	DATE: _____		
APPROVED BY: _____ <small>(LLNL/YMP Project Leader)</small>	DATE: _____		
APPROVED BY: _____ <small>(LLNL/YMP QA Manager)</small>	DATE: _____		
		FOR LRC USE: RPV No.: _____ Logged: _____ By: _____ <small>(LRC) (Date)</small>	

YMP 014 Rev. 1

Exhibit 6.0 - C