TMSS/029/2
01/16/91
Revision No.: 1

TECHNICAL & MANAGEMENT SUPPORT SERVICES
DOCUMENT TRANSMITTAL/ACKNOWLEDGMENT RECORD

WBS: _
QA: N
Page 1 of 1

TO:

BELKE W-L
NRC
4H-3
1717 H STREET N.W.

WASHINGTON, DC 20555-0000

FROM: Science Applications Int. Corp.
Document Control Center
101 Convention Center Drive
Suite 407, Mail Stop 517 / T-34
Las Vegas, Nevada 89109
FTS 544-7810 or (702)794-7810

TRANSMITTAL DATE: 05/21/91

COPY NO.: 223

DOCUMENT TITLE: PROJECT OFFICE DOCUMENT DEVELOPMENT, REVIEW, APPROVAL AND...

DOCUMENT REVISION: 3 DOCUMENT IDENTIFICATION NUMBER: QMP-06-04

DIRECTIONS

*** NOTE: Retain QMP-06-04, Revision 2 until Revision 3 becomes effective on May 29, 1991.

Replace: QMP-06-04, Rev. 2, dated 02/20/91 with QMP-06-04, Rev. 3, dated 05/29/91.

*** Destroy or mark obsolete material "Superseded" ***

cc: S. Bradley

SIGN/DATE IN BLACK INK BELOW TO CONFIRM THAT THE ABOVE DIRECTIONS HAVE BEEN FOLLOWED, AND RETURN THIS TRANSMITTAL RECORD, WITH THE OBSOLETE MATERIAL, AS APPROPRIATE, TO THE ABOVE ADDRESS BY:

06/11/91
Due Date

Document Holder Signature

5/28/91
Date

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OBSOLETE MATERIAL RECEIVED: _____ _____
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YUCCA MOUNTAIN PROJECT OFFICE
DOCUMENT APPROVAL SHEET

Y-AD-002
1/22/91

Title
QUALITY MANAGEMENT PROCEDURE: PROJECT OFFICE DOCUMENT DEVELOPMENT, REVIEW, APPROVAL AND REVISION PROCESSES

NO. QMP-06-04
[x] Q
[ ] Non Q

CONTROLLED COPY NO 223 THIS IS A RED STAMP

APPROVAL

PROJECT MANAGER: Original signed by	Edwin L. Wilmot Signature	5/22/90 Date
DIRECTOR OF QUALITY ASSURANCE:	James Blaylock Signature	5/22/90 Date
N/A (OTHER, AS REQUIRED) :	N/A Signature	N/A Date

REVISION 0 EFFECTIVE DATE: 5/29/90

REVISIONS

	INITIAL AND DATE			
	REVISION 1	REVISION 2	REVISION 3	REVISION 4
PROJECT MANAGER:	E. L. Wilmot 10/12/90	C. P. Gertz 2/8/91	Maxwell Blanchard	
DIRECTOR, QA:	D. G. Horton 10/11/90	N. V. for D.G.H. 2/8/91	5/16/91	
N/A (OTHER, AS REQUIRED)	N/A	N/A	N/A	
EFFECTIVE DATE:	10/17/90	2/20/91 Complete Revision	5/29/91	

TRAINING REQUIRED ☒ YES ☐ N/A NUMBER OF DAYS REQUIRED FOR TRAINING 7

COMMENTS:
SELF-STUDY FOR PERSONNEL BASELINED FOR THIS PROCEDURE

TRAINING OFFICER/TRAINING MANAGER — DATE 5/17/91

1.0 PURPOSE AND SCOPE

1.1 PURPOSE

The purpose of this procedure is to assign responsibilities and provide processes for the development, revision, review, and approval or acceptance of Yucca Mountain Site Characterization Project (YMP) documents generated by or for the Yucca Mountain Site Characterization Project Office (YMPO). This procedure implements applicable steps in Administrative Procedure (AP)-6.1Q and applicable requirements addressed in the Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance Requirements Document (QARD) and Quality Assurance Program Description Document (QAPD).

1.2 SCOPE

The scope of this procedure includes activities to be performed by individuals who prepare, make revisions to, review, and approve or accept YMP documents selected by the YMPO for these processes. This procedure excludes programmatic and policy reviews of documents for publication that are submitted and reviewed under AP-1.3, Publications Review and Approval.

2.0 APPLICABILITY

This procedure applies to YMPO personnel and those matrix support individuals assigned by the YMPO to accomplish the processes in this procedure. For those occasions when the YMPO assigns a Project Participant organization to perform activities within the scope of this procedure, applicable sections of this procedure may be included as instructions (addressed in a transmittal letter) to that organization for accomplishment of those activities.

Documents being processed under previous revisions of this procedure or any procedures superseded by the previous revisions may be completed in accordance with those procedures or may be reprocessed under this procedure. The processes and forms in this procedure are applicable to all other documents selected by the YMPO for processing in accordance with this procedure on and after the effective date of this procedure.

3.0 DEFINITIONS

NOTE: Terms in this procedure are used as defined in the Project Glossary. The following definitions are adopted or reiterated for the purposes of this procedure.

3.1 ANNOTATED OUTLINE

An annotated outline (AO) is an outline providing a sufficient summary of the major topics addressed in a Project-level plan, including a list of the higher-tier documents applicable to the plan.

3.2 FLOWCHART

A flowchart is a drawing depicting the step-by-step progression through a procedure or system using connecting lines and conventional symbols.

3.3 MINOR CHANGE

A minor change is an inconsequential alteration to an approved document, such as an organizational title change; a change to the alpha-numeric identifier of the document; minor wording changes for clarity; editorial, typographical, grammar, punctuation, or spelling corrections; or other alteration which does not change the basic policy or process content of the document.

NOTE: Any other change is considered major.

3.4 REVIEW CRITERIA

Review criteria are written statements, which, if satisfied by the document under review, establish the acceptability of the document's content within the reviewing organization's scope of expertise or responsibility.

3.5 SUPPORTING MATERIAL

For the purposes of this procedure, supporting material refers to documentation, such as review criteria, used for completed internal reviews, copies of or reference to requirements, orders, instructions, policies, or other mandates that support the reason for the request.

3.6 BRANCH ADMINISTRATIVE PROCEDURES

A Branch Administrative Procedure (BAP) is an implementing procedure that identifies YMPO processes for accomplishment of YMP administrative activities associated with the functional responsibilities of one or more YMPO Branches within the same division.

3.7 YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT-LEVEL PLAN

A Project-level plan is a requirements document that establishes the features of the management system, the responsibilities and interfaces, laws, regulations, U.S. Department of Energy (DOE) Orders and other requirements documents which are invoked by the plan, the management process(es) to be employed, and authorities given by the YMP to various parties.

3.8 PROJECT GLOSSARY

The Project Glossary is a document that contains terms and their definitions that have broad usage in the YMP plans and procedures.

3.9 QUALITY ASSURANCE REVIEW

A QA review is a documented examination of a document to determine its compliance with the YMP QA Program (e.g., review for consistency of requirements compliance in lower-tier documents written to implement higher-tier documents).

4.0 RESPONSIBLE PARTIES

The following YMPO individuals or organizations are responsible for activities identified in Section 5.0 of this procedure:

1. Division Director (DD)
2. YMP Control Branch (PCB)
3. Manager, Originating Organization
4. Manager, Reviewing Organization
5. Subject Matter Expert (SME)
6. Reviewer

5.0 PROCEDURE

NOTE: Flowcharts of the following processes described in this procedure are attached as Figure 1. Other attachments referred to in the procedure are examples only.

RESPONSIBLE PARTY	STEPS	PROCEDURE
		DOCUMENTATION INITIATION PROCESS
PCB	1.	Upon receipt of a YMP Document Action Request form (Attachment 1 of AP-6.1Q), screen and log this form (obtain any missing or needed information from the requestor), then determine the responsible DD, and make appropriate entries in the YMP Document Action Initiation form (Attachment 1).

RESPONSIBLE PARTY	STEPS	PROCEDURE
PCB	NOTE:	Project Participants' Quality Assurance (QA) programmatic documents requiring review by the Yucca Mountain QA Division (YMQAD) are submitted to the Director of QA, who shall identify reviewer(s), establish review criteria, and ensure reviewer(s) comments are documented, resolved and verified.
	2.	Assemble and forward a request package (Action Request Form, Document Action Initiation Form, attached document, and/or supporting material) to the responsible DD.
Responsible DD	3.	Screen the request for concurrence of need: a. If not in concurrence with the request, check and document justification for rejection on the Document Action Initiation Form, then return with the request package to the PCB. b. If in concurrence with the request, complete the Document Action Initiation Form as appropriate, then return with the request package to the PCB.
	NOTE:	DDs may opt to use the YMP Document Action Initiation Form to initiate action without a request. As an aid in determining if a technical and/or peer review is required, see the note in the Technical Review Criteria section of Attachment 7.
PCB	4.	Initiate appropriate document action as follows: a. If the request was rejected, then log and return the request package to the Requesting Organization. Go to Step 31.

RESPONSIBLE PARTY	STEPS	PROCEDURE
PCB		b. If the request for document development is concurred with, then go to Step 5.
		c. If the request for document change is concurred with, then go to Step 8.
		d. If the request for document review for approval or acceptance of the submitted document is concurred with, then go to Step 10.
		e. If the request for document cancellation is concurred with, then go to Step 10.
	NOTE:	The responsible SME shall provide information on any interface impact on other procedures and possible loss of QA requirements compliance as applicable to the responsible DD.
		DOCUMENT DEVELOPMENT PROCESS
	5.	Assign document number and a technical writer (when applicable); assemble a preparation package to include any instructions and other document development or revision aids (as appropriate); forward package to the manager of the originating organization that was assigned by the responsible DD.
	NOTE:	If the originating organization is external to the YMPO, prepare a transmittal letter, with appropriate development instructions, and include with the preparation package.
Manager, Originating Organization	6.	Assign a SME; provide the SME with the preparation package including any specific instructions regarding the format and content of the document; inform PCB of SME assignment.

RESPONSIBLE PARTY	STEPS	PROCEDURE
SME	7.	Prepare document as instructed (in conjunction with assigned technical writer, when applicable), return prepared draft to PCB for processing.
		a. Determine the requirements to be implemented by the document.
		b. Research documents that impact the technical or administrative accuracy of the document. Impact may derive from deficiency reports, previous comments, nonconformance reports, commitment documents.
		c. Ensure technical and administrative accuracy of the document.
		d. Go to Step 9.
	NOTE:	Attachment 2 provides guidelines for the preparation of YMPO procedures and Project-level plans.
		DOCUMENT CHANGE PROCESS
	8.	Prepare an Interim Change Notice (ICN) (Attachment 3) and forward the ICN to PCB. The second page of the ICN may be used as a continuation page if additional space is required. Specific page replacement instructions shall be provided on the ICN cover page.
	NOTE:	No more than 3 ICNs can be posted against a document at any time. The document will be revised to incorporate posted ICNs at the next approved Action Initiation form.
	NOTE:	When ICN changes are lengthy or numerous, the document may be revised if so directed by the PCB Chief.
PCB	9.	Process the draft (editing, printing, and graphics).

RESPONSIBLE PARTY	STEPS	PROCEDURE
PCB		a. If the change is minor, then go to Step 27 to obtain PCB Chief approval.
		b. Otherwise, continue the process.

DOCUMENT REVIEW PROCESS

10. Obtain name(s) of primary reviewer(s) from the manager(s) of the assigned reviewing organization(s).

NOTE: Assigned reviewers should be cognizant of the requirements and the process before performing reviews. Only qualified (individuals with sufficient technical knowledge of the area under review), independent reviewers shall be assigned to perform technical reviews. PCB shall provide all DDs the opportunity to review YMP management plans.

NOTE: Changes to approved documents will be reviewed and approved by the same organization(s) that performed the original review and approval,unless otherwise directed by the YMPO authority. All changes approved and incorporated shall be indicated with appropriate change indicators (change bars) adjacent to the changes, except for those cases of complete document revision. Changes to the document shall be restricted to only those changes concurred with by the Responsible DD.

11. Assemble review package(s) for each reviewer to include, as a minimum,

a. Copy of document action form(s)

b. Copy of document to be reviewed

c. Document Review Cover Sheet (Attachment 4) with appropriate entries in Section 1

RESPONSIBLE PARTY	STEPS	PROCEDURE
PCB		d. Document Review Sheets (DRSs) (Attachment 5) with document identification number entered
		e. Comment Dispute Resolution Sheet (Attachment 6) with document title/subject and identification number entered
		f. Appropriate transmittal(s) with any applicable review instructions including the depth, purpose and scope of the review to be performed.
		g. Review criteria provided in Attachment 7 and/or other specific review criteria and instructions that has been provided by the responsible DD
	12.	Transmit review packages to reviewer(s). If a reviewer is in an organization which is external to the YMPO, prepare a transmittal letter, with appropriate review instructions, and include with the review package.
	13.	Transmit a review package to the Training Officer or designee for determination of training requirements.
Reviewer(s)	14.	Obtain adequate source information to perform the document review (if applicable); review the document complying with specific review instructions and criteria provided; number and record any comments, including page, paragraph, step or other identifier (place an asterisk adjacent to each major comment) on DRS(s) or enter No Comments in the Review Comments Column; sign and date DRS(s); return review package to PCB on or before the comment due date.

RESPONSIBLE PARTY	STEPS	PROCEDURE
Reviewer(s)	NOTE:	When a quality related document is prepared by the YMPO under the YMPO QA Program, DOE reviewers are responsible for performing sufficient verification to assure accuracy and adequacy of the document (e.g., format, flowdown, traceability).
	NOTE:	If a secondary reviewer is assigned to replace a primary reviewer, the primary reviewer or manager of the reviewing organization shall complete Section II of the Document Review Cover Sheet.
		ACTION SUBSEQUENT TO REVIEW
PCB	15.	Screen review package(s) for completeness and any additional recommended reviews; coordinate and obtain any missing information or forms then a. If no additional review(s) are recommended, go to Step 19. b. Forward review package(s) that recommend additional review(s) to the responsible DD. Attach a new Document Action Initiation Form with appropriate entries.
	NOTE:	Comments received after the comment due date will be held and considered for the next revision if extension of due date is not requested from reviewer(s) and approved by PCB Chief.
DD	16.	Determine if recommended review(s) will be performed; document decision on the new Document Action Initiation Form appropriately; return package(s) and form to PCB.
PCB	17.	If the recommended review(s) is not concurred with by the responsible DD, go to Step 19.

RESPONSIBLE PARTY	STEPS	PROCEDURE
PCB	18.	If the recommended review(s) is concurred with by the responsible DD, then: a. Return to Step 10, and repeat the process for a technical review if appropriate, and/or b. Initiate a peer review in accordance with QMP-03-01 if appropriate; then, return to Step 14.
	19.	Forward review package(s) to the SME.
SME	20.	Screen the DRS(s).
	21.	Document responses to all major comments (response to minor comments are recommended, but not required) in the Response column of the applicable DRS(s).
	NOTE:	Comment resolution may need to be coordinated with other organizations including the requesting organization.
	22.	Initiate a comment response acceptance session for all reviewers, if required.
	23.	Provide DRS(s) to the appropriate reviewers for acceptance disposition.
	24.	Instruct reviewers to check accept or reject with initials and date to each major comment response on the DRS(s) to indicate acceptance or rejection of response, then:
	NOTE:	The SME may negotiate an acceptable response with the reviewer(s) prior to documented rejection. Changes to responses shall be documented on the applicable DRS (use back of sheet if necessary) by the SME.

RESPONSIBLE PARTY	STEPS	PROCEDURE
SME		a. If any major comment responses cannot be resolved between the SME and the reviewer organization, the SME shall document the disputed comment/response on a Comment Dispute Resolution Sheet (CDRS) and submit it to the responsible DD and/or the QA Director for resolution after the session.
		NOTE: The resolving authorities shall document the dispute resolution, along with their signatures and the date resolved on the applicable CDRS(s). If not resolved at the initial management level, non-QA issues are elevated to the YMP Project Manager (PM), and if necessary, to the OCRWM Director. QA issues may be elevated to the Director, Office of QA, and if necessary, to the OCRWM Director.
		b. When all major comment responses have been incorporated into the document, instruct the reviewers to sign and date Part d of Section III on the Document Review Cover Sheet. Reviewers with disputed comment responses shall indicate exceptions to those disputed items by entering the comment numbers beneath their signatures in Part d. Go to Step 24 after disputed items are resolved (if applicable).
		NOTE: The Resolved By signature on the CDRS(s) constitutes resolution of the disputed item(s) regardless of dispute initiators opinion and shall be incorporated as resolved.
	25.	Incorporate comments, including any disputed comment response resolutions, into the draft, then:

RESPONSIBLE PARTY	STEPS	PROCEDURE
SME		a. If the document is an AO for a new or completely revised plan, return to Step 7 and repeat process as necessary, or
		b. If the document is not an AO, forward the review packages and the marked-up draft to PCB for processing. Go to Step 26.
		APPROVAL PROCESS
PCB	26.	Process the document, and obtain SME acceptance of final document prior to submitting for approval.
	27.	Obtain required approval or acceptance signatures (as directed by the responsible DD); obtain Training Officer or designee's signature for the number of days required for training.
	NOTE:	When an approval or acceptance cannot be obtained, provide that approval authority with a CDRS upon which the reason for not approving the document shall be documented in the Disputed Comment/Review column, then submit the CDRS to the responsible DD for resolution.
	28.	Upon receipt of approval signatures, coordinate determination of the effective date with the affected organization(s). Enter the effective date on the document.
	NOTE:	Establishment of the effective date shall include training needs as defined on the Approval Sheet, milestones and obligations, and other management considerations.
	NOTE:	If the document is not to be issued, return the approved or accepted document to the appropriate organization.

RESPONSIBLE PARTY	STEPS	PROCEDURE

DOCUMENT DISPOSITION PROCESS

PCB	29.	If YMP CCB action is either required by the YMPO or requested by the Requesting Organization, then initiate CCB action in accordance with AP-3.3Q.
	30.	If no YMP CCB action is required or requested by the Requesting Organization, then take appropriate disposition action(s) with the document(s) in accordance with AP-1.5Q, Issuance and Maintenance of Controlled Documents.
	31.	Prepare and submit any records package(s) to the Local Records Center (LRC) in accordance with QMP-17-01.

6.0 REFERENCES

NOTE: Refer to the latest revision of the documents listed below unless otherwise stated.

6.1 REQUIREMENTS DOCUMENTS

OCRWM Quality Assurance Requirements Document, DOE/RW-0214

OCRWM Quality Assurance Program Description Document, DOE/RW-0215

Project Management Plan, YMP/88-2

6.2 INTERFACE DOCUMENTS

AP-1.3, Publications Review and Approval

AP-1.5Q, Issuance and Maintenance of Controlled Documents

AP-6.1Q, Project Office Document Development, Review, Approval, and Revision Control

QMP-03-01, Peer Reviews

QMP-17-01, Records Management: Record Source Implementation

Project Glossary, YMP/89-15

7.0 FIGURES AND ATTACHMENTS

Figure 1, QMP-06-04 Flowchart

Attachment 1, Document Action Initiation Form

Attachment 2, Yucca Mountain Site Characterization Project Office Procedure and Project-Level Plan Preparation Guidelines

Attachment 3, Interim Change Notice (ICN) Form

Attachment 4, Document Review Cover Sheet Form

Attachment 5, Document Review Sheet Form

Attachment 6, Comment Dispute Resolution Sheet Form

Attachment 7, Document Review Criteria Examples

8.0 RECORDS

Records or record packages of documentation generated as a result of this procedure shall be assembled and submitted to the appropriate LRC in accordance with QMP-17-01. QA records shall include, as a minimum, all quality-related, approved documents that were processed in accordance with this procedure.

NOTE: DRSs are retained by the PCB until the next issuance of a revision or the cancellation of the document after which the DRSs and any CDRSs may be disposed of. The DRSs are not submitted to the LRC for inclusion in the Records Information System.

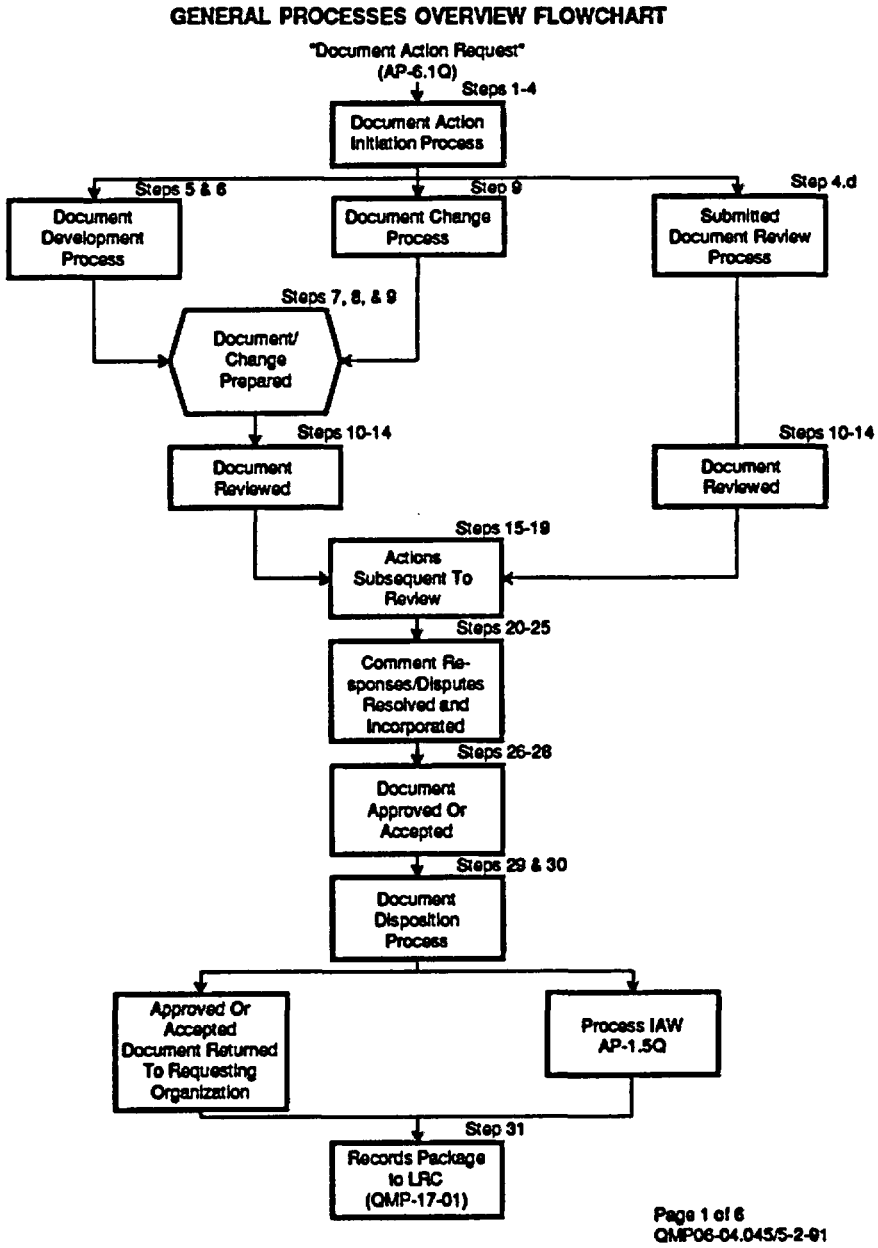


Figure 1 - QMP-06-04 Flowchart

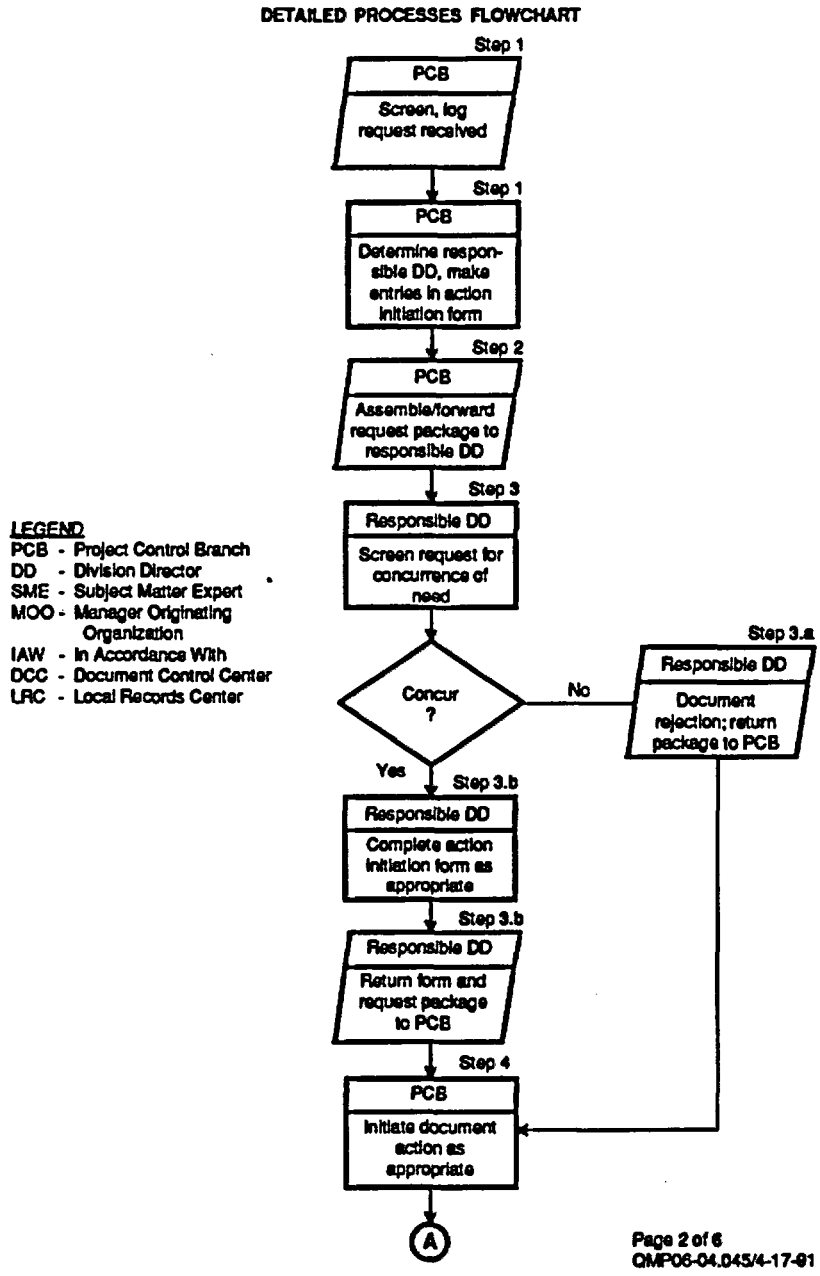


Figure 1 - QMP-06-04 Flowchart (continued)

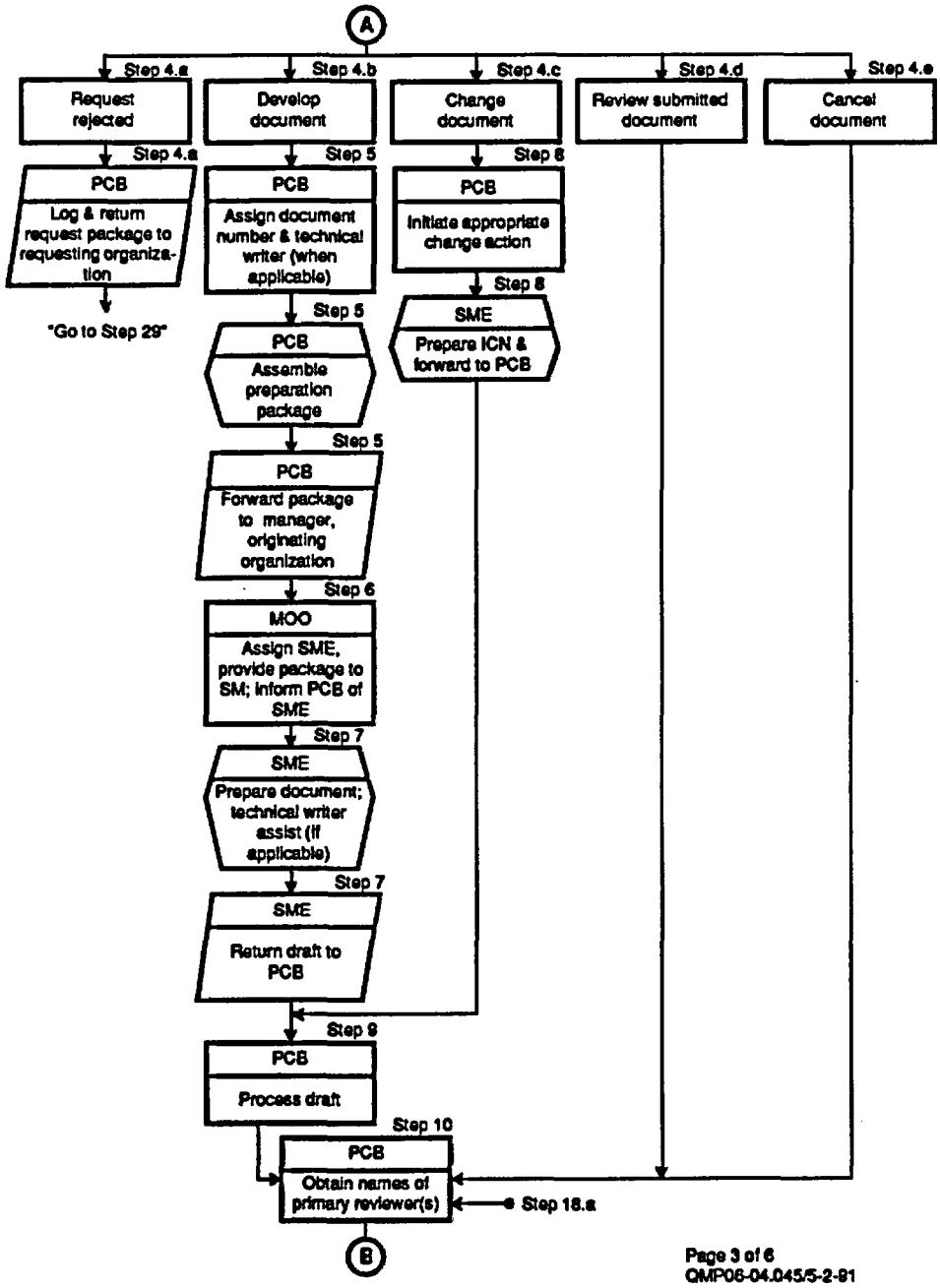


Figure 1 - QMP-06-04 Flowchart (continued)

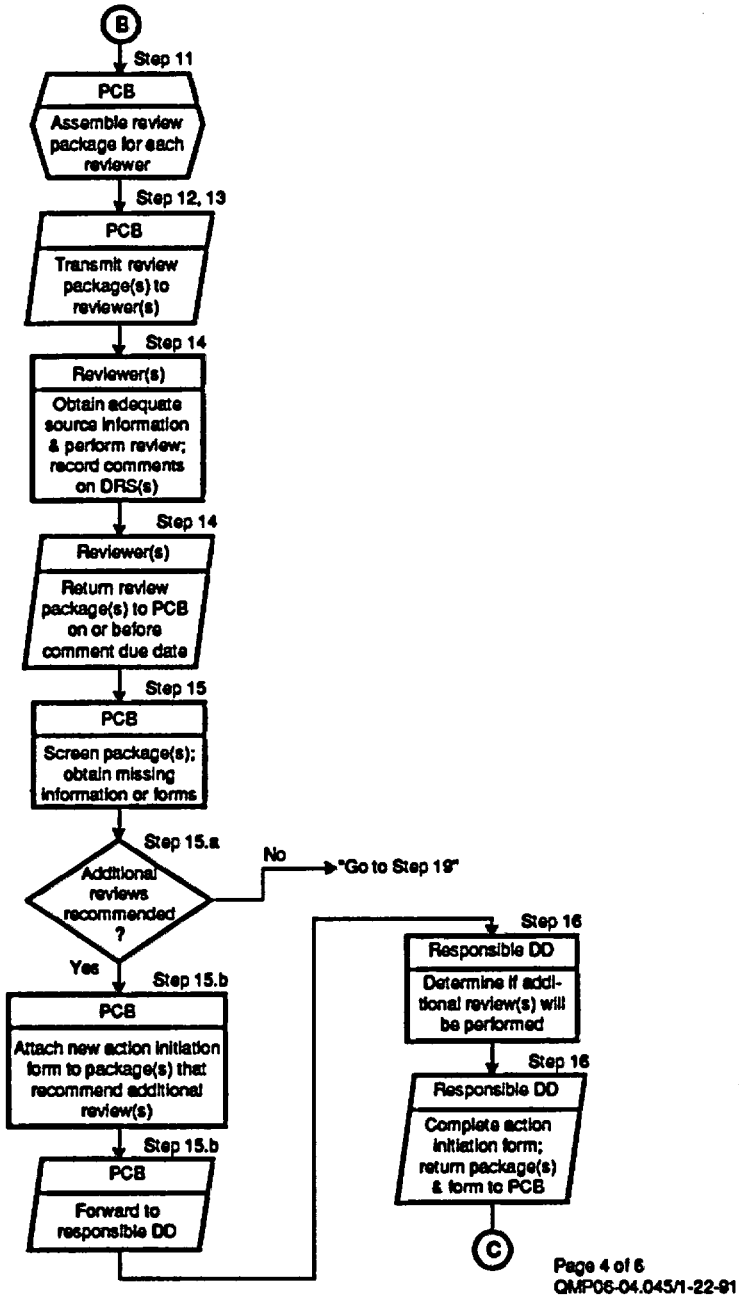


Figure 1 - QMP-06-04 Flowchart (continued)

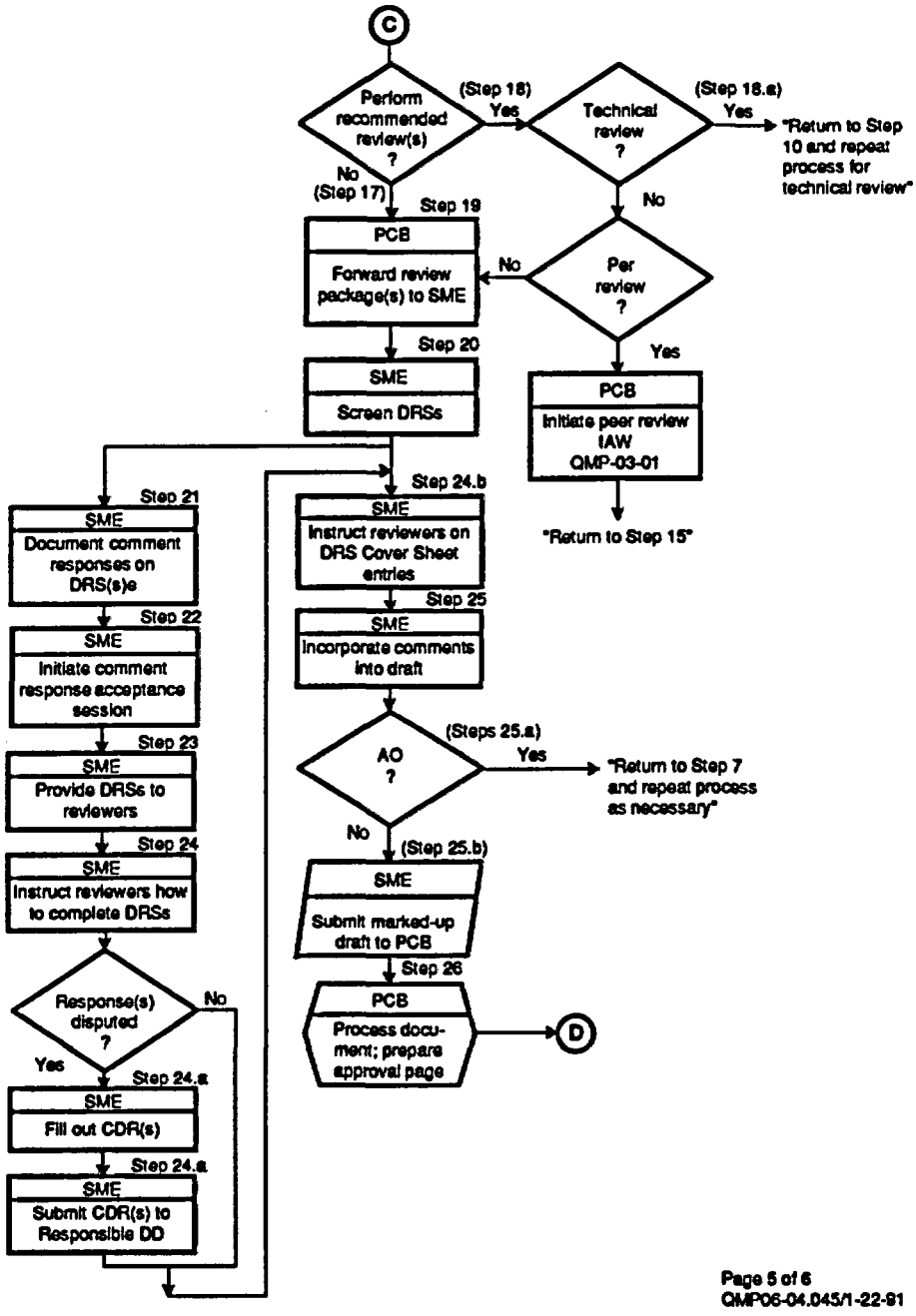


Figure 1 - QMP-06-04 Flowchart (continued)

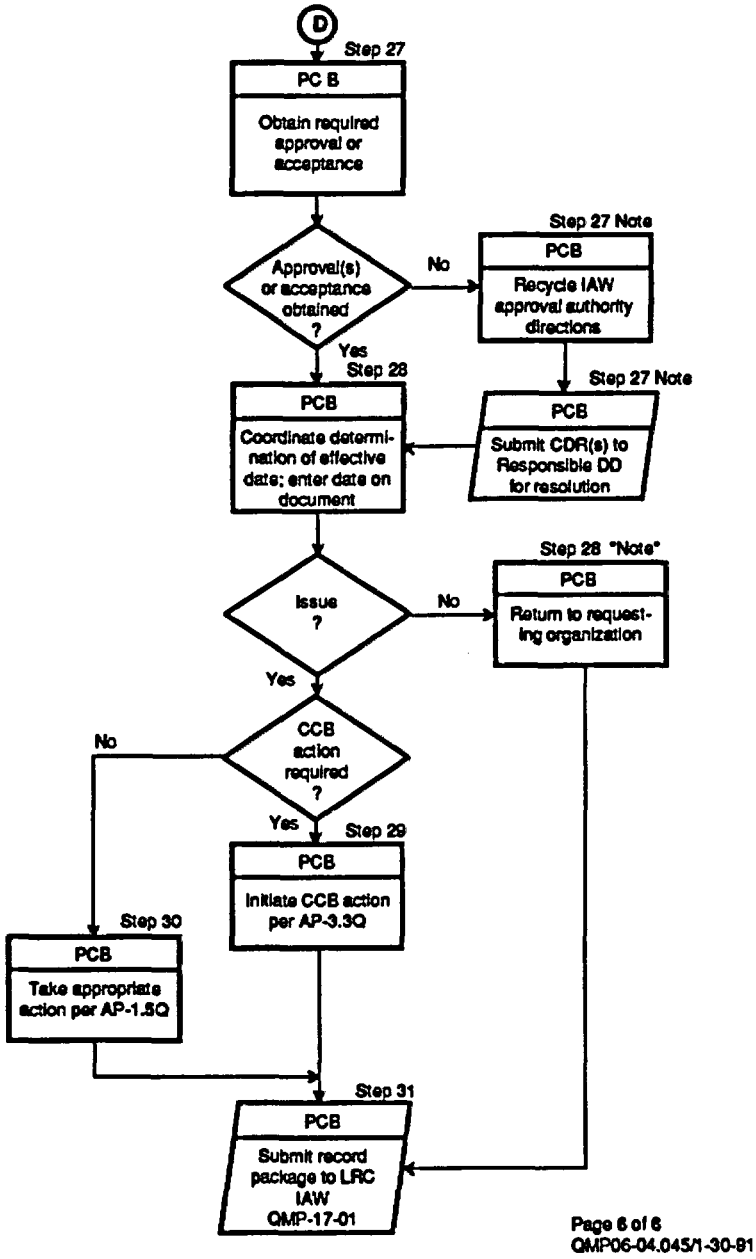


Figure 1 - QMP-06-04 Flowchart (continued)

YMP-038-R0
05/03/91

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT
DOCUMENT ACTION INITIATION

Requested Document Action: *(PCB make appropriate entries)*

Document Title/Subject/Type: _____

[ ] Request action per attached YMP Document Action Request (Request No. _____)

[ ] Other: _____

Responsible DD: _____
Print Name and Title

DD DOCUMENT ACTION INSTRUCTIONS

1. [ ] CONCUR WITH REQUEST ☐ Implement immediately ☐ Hold for next revision

   [ ] REJECT REQUEST
   Justification _____

   [ ] Continued on attached sheet(s)

2. Document is: [ ] Quality Related [ ] Not Quality Related
3. Change status: (if applicable) [ ] Major change [ ] Minor change
4. Assigned Originating Organization(s): *(if applicable)* _____
5. Assigned Reviewing Organization(s): _____
6. Type of review(s) to be performed: _____
7. Length of time for review: _____
8. Review criteria document: _____
9. Approval/Acceptance Signatures required: *(names and titles)* _____

[ ] Additional Instructions continued on attached sheets(s)

_____ Responsible DD Signature

_____ Date

QMP-06-04

Attachment 1 - Document Action Initiation Form

INTRODUCTION

The guidelines presented in this attachment are applicable to the development of new YMPO procedures (APs, APQs, QMPs, BTPs, and BAPs) and Project-level plans. The YMPO PCB may complement these guidelines with additional instructions, source information, style guides, or other information that will assist the originating organization in development of these procedures and plans.

NEW PROCEDURE DEVELOPMENT

1. YMPO procedures are developed in three stages:

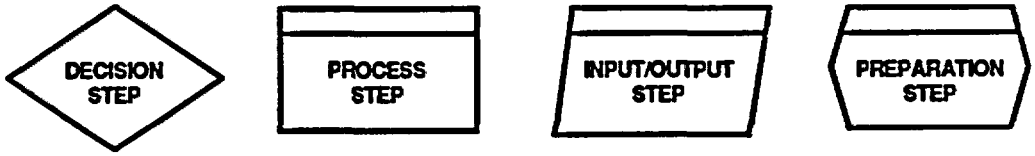
   a. Upper tier documents are reviewed to determine requirements implemented in the document.

   b. A flowchart of the process is developed.

   c. Then the flowchart is used to develop the draft procedure.

2. Develop a flowchart of the procedure process as follows:

   a. Draw flow using the following symbols:



FLOWSYMB.041/8-10-90

   b. Identify the sequence of activities (steps) in logical order of occurrence, the responsible individual or organization to be entered in the top portion of each symbol (except for the decision symbol), and identify the applicable procedure Step number, e.g., Step 4, adjacent to each symbol.

   NOTE: Acronyms may be substituted in the top portion of the symbols, but must be accompanied with a key on the flowchart.

3. Develop the procedure using the following format and content guidance (PCB will process approval cover sheet and procedure pages):

1.0 PURPOSE AND SCOPE

Statement of the role the procedure fulfills and what requirement(s) it implements.

1.1 PURPOSE

1.2 SCOPE

2.0 APPLICABILITY

Delineate the boundaries or limits of the activities and organizations to which this procedure applies.

3.0 DEFINITIONS

Define terms or expressions necessary to understand the procedure. General terms are found in the Project Glossary.

4.0 RESPONSIBLE PARTIES

List the individuals or organizations by full name and acronym (if applicable) that are responsible for the activities described in Section 5.0 of the procedure.

5.0 PROCEDURE

Format is in playscript with the identity of who is responsible for the activity addressed in the left column and the associated activity (task) addressed in the right column as demonstrated below:

RESPONSIBLE PARTY	STEPS	PROCEDURE
WHO (e.g., DIVISION DIRECTOR or DD)	1.	ACTIVITY (task)

6.0 REFERENCES

Reference applicable documents. Enter the full document name and number. Order of entry is Requirements Documents first, followed by Interface Documents (as applicable).

6.1 REQUIREMENTS DOCUMENTS

6.2 INTERFACE DOCUMENTS

NOTE: Reference documents are divided into the following types and should be handled accordingly. Living documents are implemented using the latest revision and therefore do not require revision numbers or dates, while fixed date documents require revision numbers and effective dates to be stated specifically.

1. Fixed documents - Documents that required YMP commitment to a specific version or revision for the life of the YMP. These include National Codes and Standards and Regulatory Guides.

2. Living documents - Documents that are used and are updated during the life of the Project. These include Procedures, Plans, Codes of Federal Regulation, DOE Orders. Revisions to living documents require review to determine potential impact to program documents.

7.0 FIGURES AND ATTACHMENTS

List by attachment number or figure number in the order they are called out in the procedure (procedure flowchart required).

8.0 RECORDS

List types of records generated by procedure activities. Identify QA Records using an asterisk (*).

NEW PROJECT-LEVEL PLAN DEVELOPMENT

1. New Project-level plans are developed in two stages:

   a. An AO is developed and reviewed, and comments are resolved and incorporated prior to preparation of a complete draft.

   b. The complete draft is reviewed, and comments are resolved and incorporated prior to approval and issuance.

2. For plans not covered by external directives, AOs are developed as follows:

   a. Prepare the AO in paragraph form with each paragraph numbered in the following way:

      1.0 INTRODUCTION

         1.1 Purpose and Scope

         1.2 Objectives and Strategy

            1.2.1 Objectives

      2.0 ORGANIZATION AND RESPONSIBILITIES

         2.1 XXXX

      - ETC. -

   b. Use the currently approved Program/YMP Hierarchy tree and refer to higher-level or to companion documents to the maximum extent possible to ensure consistency with other plans.

   c. Identify the purpose and applicability of the management system being described; demonstrate this system in a block diagram showing the logical flow as in the example of the YMP Management Process (next page of this attachment).

d. Make clear which organization is responsible for implementation documentation. Do not refer to implementing procedures by name or number; rather, use generic phrases, such as

Implementation of this requirement shall be accomplished by appropriate (organization if appropriate) procedures.

or

Procedures for the implementation of this requirement are the responsibility of __??__.

e. Appropriately number and enter abbreviated, but concise, statements for each of the topics listed below, as applicable, and in the order shown:

Executive Summary

Introduction
- Purpose and Scope

Organization of Plan
- Organization and Responsibilities
- Responsibility assignments, authorities, and interfaces

Objectives and Strategy
- YMP policies and requirements for this work area
- Description of management processes and functions, e.g., Systems Engineering Process

Work Plans
- Description of work (requirements)
- Identification of lower-tier plans

4. PCB will provide plan preparation materials and forms as needed or requested.

YMP-007-R1
4/22/91

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT
INTERIM CHANGE NOTICE

ICN No.: _____
Page ____ of ____

Title:	Document No.: Rev. No.:	Effective Date:

REQUIRED CHANGE(S): ☐ MAJOR ☐ MINOR (only PCB Chief approval required)

REASON FOR CHANGE (CAR, NCR, SDR, or other deficiency or commitments)

APPROVAL

PROJECT MANAGER	Signature	Date
DIRECTOR OF QUALITY ASSURANCE	Signature	Date
(OTHER, AS REQUIRED)	Signature	Date
PCB CHIEF (Minor ICNs only)	Signature	Date

TRAINING REQUIRED ☐ YES ☐ N/A NUMBER OF DAYS REQUIRED FOR TRAINING _____

COMMENTS:

Training Officer/Training Manager Date

QMP-06-04

Attachment 3 - Interim Change Notice Form

YMP-007-R1
4/22/91

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT
INTERIM CHANGE NOTICE

Procedure No.:	Rev No.:	ICN No.:	Page of

QMP-06-04

Attachment 3 - Interim Change Notice Form (continued)

YMP-039-R0
05/03/91

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT
DOCUMENT REVIEW COVER SHEET

SECTION I. *(PCB make appropriate entries)*

Document Title/Subject: _____

Document ID No: _____ Draft No: _____ Revision No: _____ [ ] Q [ ] Non-Q

Technical Writer: _____ SME: _____
Print Name — Print Name if other than Technical Writer

Primary Reviewer: _____ _____
Print Name — Title

Type Review(s) assigned: _____

Review Criteria supplied by: _____
Print Name

Review(s) recommended by Reviewer: [ ] Technical [ ] Peer

Review Package to Reviewer: _____ Review Package received: _____
Date — Date

Comments due: _____ DRS(s) to SME: _____
Date — Date

[ ] All comments responded to [ ] Comment response(s) disputed

[ ] Disputed comments resolved: _____ [ ] Disputed sheet(s) attached
Date

SECTION II. *(Primary Reviewer or equivalent, complete when applicable)*

Secondary Reviewer assigned: _____
Print Name

Secondary Reviewer is qualified and authorized to conduct review:

Primary Reviewer: _____ _____
Signature — Date

SECTION III. *(DRS instructions)*

a. Use black ink; number each comment; enter section or step number comment applies to; place * to left of Major Comments.

NOTE: A Major Comment is a comment that the reviewer has determined requires resolution prior to document acceptance. A Minor Comment is a comment other than a major comment.

b. If a technical or peer review is recommended, enter recommendation as a Major Comment and reason in Comments column along with document section(s) review recommended on.

c. Reviewer indicate acceptance of responses by checking "Yes" or "No" and initialing and dating adjacent to response. "No" checks shall be considered "Disputed" and shall be resolved by next higher level of management.

d. Reviewer sign acceptance of comment response incorporation in space below:

_____ _____
Reviewer Signature — Date

Exceptions (for disputed items only): _____

Page 1 of ____ QMP-06-04

Attachment 4 - Document Review Cover Sheet Form

YMP-008-R1
4/11/91
WBS:_____
QA:_____

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT (YMP)
DOCUMENT REVIEW SHEET

Page ___ of ___

1. Document No.	2. Reviewer		
3. Reviewer's Comments	5. Resolution	7. Reviewer's Disposition*	
		ACCEPT	REJECT
4. Reviewed by Signature Date	6. Response by Signature Date	* Reviewer disposition required for major comments only.	

Attachment 5 - Document Review Sheet Form

YMP-037-R0
4/23/91

YUCCA MOUNTAIN SITE CHARACTERIZATION PROJECT
COMMENT DISPUTE RESOLUTION SHEET

Document ID No. _____ Page ____ of ____

Document Title/Subject: _____

DISPUTED COMMENT/REASON	RESOLUTION
Submitted by: _____ Signature _____ Date	Resolved by: _____ Signature _____ Date

QMP-06-04

Attachment 6 - Comment Dispute Resolution Sheet Form

INTRODUCTION

Each reviewing organization establishes generic review criteria to be applied to each basic type of review the organization will have to perform. Such criteria should address the organization's areas of expertise and functional responsibility as appropriate to document content.

The following examples (expressed as questions) provide guidance for establishing organization-unique criteria; these examples may be used as stated, or other criteria may be substituted, at the discretion of the manager of the potential reviewing organization:

MANAGEMENT REVIEW CRITERIA

1. Does any change to existing policy expressed in the document represent a conscious decision at the appropriate management level?

2. Does any condition with, or change to, organizational responsibility assignments represent a conscious decision at the appropriate management level?

3. When the document affects the reviewing organization, are management and administrative impacts acceptable?

4. If interfaces between DOE and Participants are involved, is the interface consistent with existing contracts or agreements?

5. Are processes as straightforward and simple as feasible in the context of the document's purpose?

6. If applicable, will the document cause minimum new paperwork consistent with the document's paperwork (i.e., is duplication of existing paperwork avoided, and is new paperwork essential to the purpose for which the document is being generated).

7. Is the document user friendly, or could it be further simplified or reorganized into a more consistent, logical order?

8. Does the document avoid elevating administrative convenience to a requirements level?

9. If the document addresses a management approach or methodology, is the reviewing organization satisfied that the approach is as simple and effective as any readily available alternative?

REGULATORY REVIEW CRITERIA

1. Is the document content consistent with applicable regulatory requirements, if any?

2. Does the document content affect existing regulatory commitments and, if so, is it consistent with such commitments?

3. If the document makes any commitments or addresses a topic of regulatory interest, is it consistent with existing or intended Program and YMP policy?

4. If the document will meet a formal submittal requirement, does format and organization of material comply with submittal requirements?

5. Is there any contradiction between DOE Orders and regulatory requirements or commitments, and if so, what will be the method of resolution?

TECHNICAL REVIEW CRITERIA

1. Are inputs and input sources current, correct, and usable under the requirement for qualified data?

2. Are those assumptions within the scope of responsibility of this organization stated explicitly? Are they reasonable?

3. If this document involves OCRWM Headquarters (HQ)- or YMPO-prescribed processes, is the treatment of such processes consistent with that established direction?

4. Is document content consistent with established HQ and YMPO objectives?

5. When applicable and when checked, are analytical approaches and results appropriate?

6. When applicable, are potential interactions with other technical work within the scope of this organization's responsibility addressed adequately?

7. In the case of a design document, are the design and the design approach compatible with Program objectives and constraints and with prescribed systems engineering requirements?

8. Based on the source requirements, is there a need to provide QA interpretations or clarifications to the document requirements?

   NOTE: Technical Reviews shall be performed when the information or document under review is within the state-of-the-art and the methodology or application is based on accepted standards, criteria, principles, and practices.

   Peer reviews shall be performed when the adequacy of information (e.g., data, interpretations, test results, and design assumptions) or the suitability of procedures and methods essential to showing that the repository system meets or exceeds its performance requirements with respect to safety and waste isolation cannot otherwise be established through testing, alternate calculations, or reference to previously established standards and practices.

QUALITY ASSURANCE REVIEW CRITERIA

1. Does the document contain those QA requirements applicable to the controls or processes it addresses? (A flowchart or checklist of applicable QA requirements for the specific topic may be desirable for QA reviews).

2. Are responsibilities clearly delineated?

3. Are specified responsibilities and authority consistent with YMP policy?

4. When applicable, does the document clearly distinguish between performing, review, and verification activities?

5. When verification activities are involved, does the document adequately address mechanisms for ensuring the necessary independence and technical competence of the verifier(s)?

6. If the document expresses requirements that exceed established QA program requirements, do such additional requirements reflect YMPO policy?

7. Does the document contain qualitative and/or quantitative data, and if so, are tolerance and parameters provided for this data?

8. Based on the source requirements, is there a need to provide QA interpretations or clarifications to the document requirements?