

MANAGEMENT PROCEDURES MANUALCHAPTER 5 - INSTRUCTIONS, PROCEDURES, PLANS, AND DRAWINGSSECTION 3 - DEVELOPMENT AND MAINTENANCE OF MANAGEMENT PROCEDURES

1. PURPOSE. This procedure defines the requirements and responsibilities for initiation, preparation, review and approval, and change control of management procedures (MPs) for the NNWSI-USGS Project Management Procedures Manual (MPM).
2. SCOPE OF COMPLIANCE. This procedure applies to all personnel working on the NNWSI-USGS Project in the development and maintenance of all Administrative Management Procedures (AMPs) and Quality Management Procedures (QMPs). It does not apply to the preparation of NWM-USGS Technical Procedures (see NNWSI-USGS-QMP-5.01), Department of Energy (DOE) Waste Management Project Office's (WMPO's) NNWSI Project Administrative Procedures (see NNWSI AP-1.1Q, Administrative Procedure Preparation), nor USGS subcontractor Quality Management Procedures.
3. DEFINITIONS.
 - 3.1 Administrative Management Procedure (AMP): A USGS document that specifies methods to be used by the NNWSI-USGS Project to implement requirements of 1) the WMPO's NNWSI Project Administrative Procedures, 2) the NNWSI Project Plans, 3) the WMPO directives, or 4) the USGS Branch of NNWSI policies, but which does not specify methods to be used to implement requirements of the NNWSI-USGS Quality Assurance Program Plan, NNWSI-USGS-QAPP-01.
 - 3.2 Management Procedure (MP): An NNWSI-USGS interdivisional document that specifies methods to directly implement requirements of 1) the WMPO's NNWSI Project Administrative Procedures, 2) the NNWSI Project Plans, 3) the WMPO directives, 4) the USGS Branch of NNWSI policies, or 5) the NNWSI-USGS Quality Assurance Program Plan. The term management procedures refers to both AMPs and QMPs. It does not refer to NWM-USGS Technical Procedures.
 - 3.3 Management Procedures Manual (MPM): A manual of all Administrative Management Procedures and Quality Management Procedures. It contains a Statement of Policy, a Table of Contents, and all AMPs and QMPs that govern USGS activities on the NNWSI Project.
 - 3.4 Quality Management Procedure (QMP): A USGS document that specifies the methods to be used by the NNWSI-USGS Project to implement the requirements of the NNWSI-USGS QA Program Plan, NNWSI-USGS-QAPP-01. Each QMP details the quality assurance methods and actions needed to verify completion of an activity for the NNWSI Project.

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4. RESPONSIBILITIES.

- 4.1 The Chief, Branch of NNWSI, is responsible for implementing MPs for all work done on the NNWSI-USGS Project. The Branch Chief also is responsible for approval of all MPs, their revisions, interim changes, and rescissions.
- 4.2 The Management Procedure Coordinator (MP Coordinator) is responsible for identifying the need for new or revised MPs and for interim changes or rescission of existing MPs. The MP Coordinator also is responsible for identifying and resolving conflicts with other USGS and WMPO procedures and directives, and for coordinating development of MPs.
- 4.3 The Quality Assurance (QA) Manager is responsible for review and approval of all QMPs.
- 4.4 The Assistant Director for Engineering Geology has overall responsibility for all QMPs but has delegated their review and approval to the QA Manager.
- 4.5 The Nuclear Hydrology Program (NHP) Chief and the Geologic Division NNWSI Coordinator are responsible for implementing all MPs within their organizations and their subcontractors, for identifying the need for new and revised procedures and interim changes, and for requesting rescissions of procedures.

5. PROCEDURE FOR DEVELOPMENT AND MAINTENANCE OF MANAGEMENT PROCEDURES.

5.1 Initiation of Management Procedures.

5.1.1 Any person working on the NNWSI-USGS Project may draft a proposed MP and submit it to the NNWSI-USGS MP Coordinator. The submittal shall include identification of the originator and substantiation of the need, and be formatted according to paragraph 5.2. If the MP Coordinator concurs with the need, the MP shall be reviewed according to paragraph 5.3. If the MP Coordinator disagrees with the need, the draft shall be returned to the originator explaining the reasons for disagreement and, if appropriate, suggesting an alternative course of action. Irreconcilable disputes between the MP Coordinator and the originator shall be settled by the Chief, Branch of NNWSI.

5.1.2 When the MP Coordinator recognizes the need for a new MP, appropriate personnel shall be assigned to draft a proposed MP and submit it to the MP Coordinator for review and approval according to paragraph 5.3.

5.2 Format, Content, and Control Numbers of Management Procedures.

5.2.1 All MPs are assigned control numbers of the format NNWSI-USGS-XMP-ab.cd, Re, where 'X' is either 'A' for administrative or 'Q' for quality, 'ab' and 'cd' are two-digit numbers, and 'e' is

the revision number. All drafts of MPs shall be identified by the date and "DRAFT".

5.2.1.1 The value of 'ab' refers to the MPM chapter that contains the MP. (MPM chapters one through eighteen are derived from specific nuclear quality assurance criteria; these chapters contain all the QMPs and some related AMPs. MPM chapter nineteen, Project Management, contains AMPs that do not relate directly to any of the first eighteen chapters. Most of the AMPs in MPM chapter nineteen specify methods to be used to implement the Reporting Requirements or Project Baseline Planning sections of the NNWSI Project Administrative Manual.)

5.2.1.2 The value of 'cd' is the next available sequential number within the MPM chapter (value of 'ab'). Numbers for rescinded MPs are not available for reuse.

5.2.2 The contents for all MPs are described in the following paragraphs. Attachment 1 shows the outline of an MP. Paragraphs not applicable to a particular MP shall read "None" or "Not applicable." Subparagraphs may be used. QMPs in effect on the effective date of QMP-5.03, R1 shall remain in effect until they are revised.

5.2.2.1 PURPOSE states the objectives of the MP.

5.2.2.2 SCOPE OF COMPLIANCE lists groups, individuals, activities, or subactivities to which the procedure applies. Limits of applicability and exceptions are clearly defined.

5.2.2.3 DEFINITIONS contains definitions for all terms which are not self-explanatory. The definitions in the MP are consistent with the definitions in the glossary to the NNWSI-USGS QA Program Plan (NNWSI-USGS-QAPP-01, Appendix A).

5.2.2.4 RESPONSIBILITIES defines areas of responsibility for individuals by title.

5.2.2.5 PROCEDURE explains how a function is completed using a sequential listing of steps. A flow diagram may be used to display complicated procedures. All or parts of other manuals or publications may be incorporated in an MP by reference; however, such a reference must be accessible to all NNWSI-USGS users.

5.2.2.6 RECORDS MANAGEMENT contains two paragraphs. Paragraph 6.1 Controlled Documents lists all controlled documents generated by the MP. Paragraph 6.2 Records Center Documents lists all documents generated during implementation of the MP that are required to be submitted to the Records Center.

5.2.2.7 RELATED DOCUMENTS contains three paragraphs. Paragraph 7.1 Requirements Documents specifies the governing procedures, directives, plans, or policies containing the requirements for which the MP specifies the methods of implementation. Paragraph 7.2 Superseded Documents specifies any documents superseded by that MP. Paragraph 7.3 References Cited lists all references mentioned in the MP.

5.2.2.8 ATTACHMENTS lists the titles of all attachments. The attachments may be flow diagrams, examples, blank forms, or any other pertinent information.

5.2.2.9 APPROVALS AND EFFECTIVE DATE contains all necessary approval signatures and dates and the effective date of the MP. The effective date may be "upon approval" or any date subsequent to full approval.

5.3 Review and Approval of Management Procedures.

5.3.1 The MP Coordinator shall review the draft MP for completeness, format, and impact on other MPs; and coordinate with the originator any necessary changes to the draft. Any irreconcilable disputes shall be settled by the Chief, Branch of NNWSI. The MP Coordinator shall also proceed to have impacted MPs changed according to paragraph 5.4, coordinating development of MPs to ensure corresponding effective dates when necessary.

5.3.2 The MP Coordinator shall forward copies of the draft MP to the Chief, Branch of NNWSI, the NHP Chief, the Geologic Division NNWSI Coordinator, and the Quality Assurance Manager for review. Review by the Chief, Branch of NNWSI, or his delegate is optional. Review by the NHP Chief and the Geologic Division NNWSI Coordinator, or their delegates is mandatory for all MPs. Review by the Quality Assurance Manager is mandatory for QMPs. The MP Coordinator may suggest in the transmittal memos potential delegates appropriate to review the particular MP.

5.3.3 Reviews shall be performed according to QMP-3.07 or its successor and returned to the MP Coordinator.

5.3.4 When satisfactory review and appropriate revisions have been completed, the MP Coordinator shall assign an effective date, prepare the final MP, and forward it to the Chief, Branch of NNWSI, for approval.

5.3.5 Upon approval of the MP, the Chief, Branch of NNWSI shall sign it and return it to the MP Coordinator. Otherwise, it shall be returned to the MP Coordinator unsigned with an explanation of the objections.

5.3.5.1 The MP Coordinator shall forward QMPs signed by the Chief, Branch of NNWSI, to the QA Manager for approval.

5.3.5.2 The Quality Assurance Manager shall review the QMP for compliance with Quality Assurance requirements. Upon concurrence, the QA Manager shall sign the procedure and return it to the MP Coordinator. Otherwise, it shall be returned to the MP Coordinator unsigned with an explanation of the objections.

5.3.6 The MP Coordinator shall forward the approved MP and an update of the Management Procedures Manual Table of Contents for controlled distribution according to QMP-6.01.

5.3.7 As appropriate from the explanation of disapproval, the MP Coordinator shall either return unapproved MPs to their originators for revision or cease efforts on the MP.

5.4 Changes to Management Procedures. Editorial corrections to MPs are handled at the discretion of the MP Coordinator. Substantive changes shall be made by revisions, interim changes, or rescissions.

5.4.1 Revisions to procedures are handled identically to initiation of management procedures (paragraph 5.1).

5.4.2 Interim changes may be used to temporarily change an MP when there is an urgent need for an immediate change, if only a small part of an MP is affected by the change, or when further changes are anticipated in the near future. Any person working on the NNWSI-USGS Project may draft a proposed interim change to an MP and submit it to the MP Coordinator using the form in Attachment 2 or its equivalent. The submittal shall include the identification of the originator and substantiation of the need for the change.

5.4.2.1 If the MP Coordinator concurs with the need for an interim change, the MP shall be forwarded to the Chief, Branch of NNWSI, for approval. Upon approval of the interim change, the Chief, Branch of NNWSI shall sign it and return it to the MP Coordinator. Otherwise, it shall be returned to the MP Coordinator unsigned with an explanation of the objections. The MP Coordinator shall forward interim changes to QMPs signed by the Chief, Branch of NNWSI to the QA Manager for approval. The Quality Assurance Manager shall review the interim change to the QMP for compliance with Quality Assurance requirements. Upon approval, the QA Manager shall sign it and return it to the MP Coordinator. Otherwise, it shall be returned to the MP Coordinator unsigned, with an explanation of the objections.

5.4.2.2 If the MP Coordinator disagrees with the need or if approval authorities have disapproved of the interim change, the MP Coordinator shall return the draft interim change to the originator with appropriate explanations and suggestions. Irreconcilable disputes between the MP Coordinator and the originator shall be settled by the Chief, Branch of NNWSI.

5.4.2.3 The MP Coordinator shall forward approved interim changes and an update of the MPM Table of Contents for controlled distribution according to QMP-6.01.

5.4.2.4 Interim changes shall be incorporated into a permanent revision within 180 days. Alternatively, the interim changes shall be assigned an expiration date not to exceed 180 days of the effective date of that interim change.

5.4.3 Rescission of Management Procedures may be initiated by the request of any person working on the NNWSI-USGS Project.

5.4.3.1 The request shall be submitted to the MP Coordinator with identification of the requestor and a reason for the request. The MP Coordinator shall consider the request based on the purpose of the MP, paragraph 7.1 "Requirements Documents", and the existence of other MPs.

5.4.3.2 On concurrence with the rescission request, the MP Coordinator shall obtain the concurrence of the Chief, Branch of NNWSI and, if it is a QMP, the concurrence of the QA Manager. The MP Coordinator shall send a memo rescinding the MP and an update of the MPM Table of Contents for controlled distribution.

5.4.3.3 Upon disagreement with the rescission request, the MP Coordinator shall send a memo to the requestor explaining the reasons for disagreement and, if appropriate, suggesting an alternative course of action. Irreconcilable disputes between the MP Coordinator and the requestor shall be settled by the Chief, Branch of NNWSI.

6. RECORDS MANAGEMENT.

6.1 Controlled Documents. All Management Procedures and interim changes to Management Procedures are controlled documents.

6.2 Records Center Documents. All transmittal memos and letters concerning proposed or approved MPs or changes to MPs shall be submitted to the Records Center.

7. RELATED DOCUMENTS.

7.1 Requirements Documents. This MP specifies the methods to be used to implement the requirements of paragraph 5.1 and 5.2 of NNWSI-USGS-QAPP-01, R4.

7.2 Superseded Documents. This revision supersedes NNWSI-USGS-QMP-5.03, R0, Preparation and Control of the USGS QA Program Plan and Quality Management Procedures.

7.3 References Cited.

7.3.1 NNWSI-USGS-QMP-5.01, Preparation of Technical Procedures

7.3.2 NNWSI AP-1.1Q, Administrative Procedure Preparation

7.3.3 NNWSI-USGS-QAPP-01, NNWSI-USGS Quality Assurance Program Plan

7.3.4 NNWSI Project Administrative Procedures Manual

7.3.5 NNWSI-USGS-QMP-3.07, Technical Review Procedure

7.3.6 NNWSI-USGS-QMP-6.01, Document Control

8. ATTACHMENTS.

8.1 Outline of a Management Procedure.

8.2 NNWSI-USGS Management-Procedure Interim-Change Form.

9. APPROVALS AND EFFECTIVE DATE.

EFFECTIVE DATE: February 17, 1988

Larry R. Hays
Chief, Branch of NNWSI

02/17/88
Date

[Signature]
Quality Assurance Manager, NNWSI

2/17/88
Date

OUTLINE OF A MANAGEMENT PROCEDURE

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