

NOV 16 1988

REV INS TOP-002

- 1 -

MEMORANDUM FOR: Those on Attached List

FROM: Philip M. Altomare  
Program Element Manager  
Waste Systems Engineering and Integration

SUBJECT: REVIEW AND COMMENT ON TOP-002

Enclosed you will find the subject document which was received on November 10, 1988. This document reflects guidance to the Center in the matter of the review and approval of Center technical reports prior to their transmittal to NRC. Because this document does not represent a formal contractual deliverable per se, there are no plans at this time to provide the Center with formal comments. However, if your schedule and workload permits, feel free to distribute the document to members of your respective staffs and the Center will be notified accordingly of any comments you may have.

151

Philip M. Altomare  
Program Element Manager  
Waste Systems Engineering and Integration

Enclosure: As stated

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Original Signed by

Philip M. Altomare  
Program Element Manager  
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Title  
**TOP-002 REVIEW AND APPROVAL OF TECHNICAL REPORTS**

**EFFECTIVITY AND APPROVAL**

Revision 0 of this procedure became effective on 10/25/88. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
1 - 5	-	10/25/88

Supersedes Procedure No. NONE

**Approvals**

Written By	Date	Technical Review	Date
<i>Bruno Maluco</i>	10/21/88	<i>Allen R. Whiting</i>	10/24/88
Quality Assurance	Date	Cognizant Director	Date
<i>Bruno Maluco</i>	10/25/88	<i>Wesley Patrick</i>	10/24/88

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**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**TECHNICAL OPERATING PROCEDURE**

Proc. TOP-002

Revision 0

Page 2 of 5

**TOP-002 REVIEW AND APPROVAL OF TECHNICAL REPORTS**

**1. PURPOSE AND SCOPE**

The purpose of this procedure is to provide guidance and instruction for the Center for Nuclear Waste Regulatory Analyses (Center) technical report reviews. In the course of fulfilling its contractual requirements, the Center will deliver to its client, the U.S. Nuclear Regulatory Commission (NRC), technical reports on both a scheduled and unscheduled basis. These reports will receive appropriate reviews to ensure the quality of the report and consistency of Center methodology and approach.

**2. DEFINITION**

Technical reports can take different forms within the Center. A technical report may be any deliverable, a response to a Technical Directive, a response to a request by an NRC Program Element Manager, a review of a document supplied by the NRC or other organization, or a document generated proactively within the Center. Periodic progress reports, financial reports, or other documents prescribed by the NRC to be outside the technical or Program Elements, or those which may be considered to be proprietary by the Center are not considered to be technical reports. Meeting reports, trip reports, telephone conversation records, and similar items do not constitute formal technical reports from the Center.

**3. RESPONSIBILITY**

3.1 The cognizant Center Director is responsible for implementation of this procedure.

3.2 The cognizant Element/Subelement Manager is responsible for following this procedure and applying it to technical reports before such reports are sent to the NRC or other organizations. "Draft" reports, appropriately marked, may be submitted to the NRC for review without meeting the full criteria of this Technical Operating Procedure.

3.3 The Center Director of Quality Assurance is responsible for providing independent surveillance, review or audits to verify implementation of this procedure.

3.4 The technical report author is responsible for submission of final technical reports for Center review two weeks prior to the due date to NRC.

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

Proc. TOP-002

Revision 0

**TECHNICAL OPERATING PROCEDURE**

Page 3 of 5

**4. PROCEDURE**

4.1 Following completion of a draft technical report, the originator shall present the report two weeks prior to the due date or projected delivery date to an appropriate Center technical specialist, a Center subcontracted technical specialist, or a Center consultant with the appropriate technical specialities. The originator's supervisor shall determine which technical specialist is appropriate for the review.

4.2 The review shall be documented in a manner which clearly identifies the individual performing the review.

4.3 The technical report review process shall take into consideration the following:

- (1) Consistency with the Operations Plan, Project Plan or other contractual document requiring the technical report;
- (2) Appropriateness of the technical approach;
- (3) Adequacy of the methodology and criteria stipulated for the analysis, experiment, or study;
- (4) Sufficiency and accuracy of the supporting documentation;
- (5) Clarity of presentation;
- (6) Compliance with special project quality control/quality assurance provisions as required.

4.4 Technical report review comments may be provided on the draft document in the form of marginalia, on a special form for technical report review, in a separate memorandum, or in electronic media and should include the results of the above noted evaluations as well as any specific technical questions or other points which the reviewer(s) identify.

4.5 The technical report shall be returned to the author(s) for resolution of comments within five (5) working days. The final version of the technical report shall be coordinated between the author(s) and the reviewer(s). The Office of the Director of Systems Engineering and Integration of the Center has final authority in resolving contentious comments.

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**TECHNICAL OPERATING PROCEDURE**

Proc. TOP-002

Revision 0

Page 4 of 5

4.6 As a minimum, a technical report shall be reviewed by the cognizant Center Director and by the quality assurance Director. In addition to the originator(s) or author(s), the Element Manager, or Technical Director/Center President may review the document as they deem necessary.

4.7 The cognizant Director or Technical Director may request additional parties to conduct technical reviews, as appropriate.

4.8 A "preliminary draft" stamp on a technical report is used to show that no technical report review has been performed. A "Draft" stamp is used for deliverables that have not yet been approved by NRC, but which have been reviewed by Center personnel. This allows early drafts which have not been completely reviewed to be sent to the NRC. However, such drafts shall be clearly stamped "preliminary draft", indicating the early stage of the work, and the transmittal letter shall clearly state that a formal technical report review has not yet been completed. Technical reports which have not received a formal review shall clearly state that fact on the first page of the document. This can be typed on the document or can be in the form of a "stamp" which states that the review has not been completed on the technical report up to that time.

4.9 Center technical reports shall be submitted to the Center Quality Assurance (QA) activity as one of the steps in the review and approval process. Center QA shall verify that the technical review has been accomplished and that other parameters as outlined in the directive requiring the technical report have been fulfilled.

4.10 Quick response tasks are defined as required by the client in less than ten (10) working days from the time the request is received. Review of these tasks/products will be conducted by the cognizant director and the quality assurance director. If the demands for response are such that a required formal technical review cannot be accomplished within the time constraint, the document will be stamped "preliminary draft" and indicate that no review has been conducted up to that time.

**5. RECORDS**

Records will be developed and maintained to support the technical report review process.

**CENTER FOR NUCLEAR WASTE  
REGULATORY ANALYSES**

**TECHNICAL OPERATING PROCEDURE**

Proc. TOP-002

Revision 0

Page 5 of 5

**6. QUALITY ASSURANCE**

The Quality Assurance provisions of this TOP are as specified in Sections 4.1 through 4.10. Either electronic or hardcopy objective evidence is acceptable for independent verification of actions taken in executing this TOP. Records in either electronic or hardcopy form shall be maintained of audits performed on the activities related to this TOP.