Approval: M.D. Gardner Date: 10/12/2004
Manager, National Spent Nuclear Fuel Program

I. PURPOSE AND SCOPE

This procedure establishes the process used by the National Spent Nuclear Fuel Program (NSNFP) for conducting internal reviews of and obtaining approvals of *internal documents* (see glossary). The process applies to internal documents to be distributed by NSNFP Document Control.

II. SUMMARY

The NSNFP Program Support Organization (PSO) provides the infrastructure necessary to support the review and approval process for documents generated by the NSNFP. Attachment A of this procedure designates the minimum review and approval authority for NSNFP internal documents. The attachment provides a cross-reference to individual NSNFP procedures containing development and review criteria for each document type listed. On a case-by-case basis, the Manager NSNFP, approves review criteria for internal documents not listed in Attachment A, This procedure describes the process for releasing an NSNFP draft document for internal review, comment resolution, and approval. The process interfaces with the corrective action process if technical errors are discovered in previously approved NSNFP engineering documents and the training system to ensure document preparers and mandatory reviewers are currently trained. The procedure segregates internal document types into two groups to facilitate proficiency training needs determinations. Controls are included to update the NSNFP Quality Assurance Requirements and Description (QARD) Requirements Matrix, as applicable, when internal quality assurance program implementing documents are created or changed. A Document Action Request (DAR) form is used in conjunction with this procedure to record completion of various stages of the document review process and integrate the process with proficiency training and document distribution.

III. PROCEDURE

A. Initiating Conditions for Releasing an Internal Document for Review

NSNFP Document Requester/ Preparer

1. Initiate a review for the following internal draft documents prepared according to applicable NSNFP procedures as listed in the left hand column of Attachment A.

Group 1

- Program Management Plan
- Quality Assurance Program Plan
- QARD Requirements Matrix

NSNFP Document Requester/ Preparer

- NSNFP Documents Manual Introduction and Glossary
- NSNFP Procedures
- NSNFP Forms

Group 2

- NSNFP Planning/QA Program Applicability Evaluations
- Task Management Agreements
- Engineering documents, technical reports, Engineering Design Files
- Software control plans and reports
- Test plans.

2. Refer to Step III.B.2.c and provide review criteria in a DAR, NSNFP Form 6.01-6, for approval by the Manager, NSNFP for documents not listed in Attachment A that will be distributed by the NSNFP Document Control Coordinator (DCC).

   a. Obtain a unique document identifier from the DCC.

3 Complete documents that will not be distributed by DCC such as Supplier Evaluation Reports, Audit Reports, Surveillance Reports, Audit Schedules, and scientific notebooks in accordance with NSNFP procedures that prescribe the approval process for these products.

B. Coordination and Documentation of Reviews, Comments, and Resolutions

NSNFP Document Requester/ Preparer

1. When a new or revised document or a document cancellation is needed, initiate a DAR, NSNFP Form 6.01-6 and obtain a DAR number from the NSNFP DCC.

2. Prepare the DAR in accordance with the form instructions that include the following concepts:

   a. Using Attachment A of this procedure, select mandatory reviewers who are technically competent in the subject area undergoing review and have not participated in the document preparation. Add additional nonmandatory reviewers at the discretion of the requester/preparer.

   b. Using the left-hand column of Attachment A, indicate the NSNFP procedure that contains specific review criteria for the document type.

NSNFP Document Requester/ Preparer

c. For internally generated documents that are not listed by Attachment A, provide the following review criteria, as a minimum:

(1) Review for applicability, correctness, technical adequacy, completeness, accuracy, and compliance with established requirements.

(2) Select, as a minimum, mandatory reviewers other than the preparer from each NSNFP internal organization (the NSNFP Management Organization, the PSO, and the NSNFP QAS).

3. Obtain DAR approval based on one of the following conditions:

a. For Group 1 documents the DAR approval authority is the Manager, NSNFP.

(1) Initiate a DAR for changes to other affected internal documents, including the NSNFP QARD Requirements Matrix, as applicable.

b. For Group 2 documents, the DAR approval authority is the PSO Manager.

(1) If the change to an internal document is initiated due in any part to the discovery of an error in technical information, initiate an evaluation in accordance with NSNFP procedure 16.02.

4. Prepare a Document Review Transmittal (DRT), NSNFP Form No. 6.01-7, unless the action is a document cancellation.

a. Consistent with Attachment A and the approved DAR, select technically competent mandatory reviewers other than the document preparer. Add additional nonmandatory reviewers at the discretion of the requester/preparer.

5. Prepare a Review Comment Record (RCR) NSNFP Form No. 6.01-1, unless the action is a document cancellation.

6. Provide the approved DAR, prepared DRT (if applicable) and RCR (if applicable), and the draft document (if applicable) to NSNFP DCC.

NSNFP DCC

7. Distribute the DRT (if applicable) and the RCR (if applicable), and the draft document (if applicable) to the reviewers listed on the DRT in electronic or hard copy form.

NSNFP Document Requester/ Preparer

8. Coordinate with reviewers to provide pertinent background information, data, or documents referenced by the document undergoing review.

   a. Schedule and coordinate review meetings for Group 1 documents if requested by the Manager, NSNFP.

   b. Schedule and coordinate review meetings for Group 2 documents as deemed necessary.

NSNFP Mandatory Reviewers

9. Conduct a review considering all aspects of the document and the review criteria established by the document review instructions contained in the DRT.

10. Complete RCR form comments section if mandatory comments are generated.

11. Provide nonmandatory comments to the document requester/preparer as informal correspondence/communication or marked-up copies of the draft document.

12. Complete the applicable DRT form blocks according to the form instructions.

13. Forward the completed DRT and RCR forms (if applicable) to the document requester/preparer.

    a. Attend review meetings as scheduled.

NSNFP Document Requester/ Preparer

14. Consider all comments received and complete the RCR form resolution sections for the comments documented by the mandatory reviewers.

15. Obtain concurrence on the RCR form from the mandatory reviewers for the proposed comment resolutions.

16. Finalize the draft document by incorporating comment resolutions.

17. At the discretion of the document requester/preparer, incorporate resolutions to comments from nonmandatory (information only) reviewers.

C. Document Approval for Internal Documents

NSNFP Document Requester/ Preparer

1. Obtain document approval signatures as stipulated by Attachment A.

D. Post-Approval Actions for Internal Documents

NSNFP DCC

1. With input from the document requester/preparer, develop a distribution list for Group 1 documents composed of *end users* (see glossary) for the document.

NSNFP DCC

a. Designate, as end users, those NSNFP individuals or NSNFP functional positions that will perform work in accordance with the approved document.

2. Indicate on the distribution list if the document is to be made available to the end users by posting on a NSNFP website or by hard copy distribution.

   a. Individuals other than end-users may receive hard copies marked as information only or may receive a notice that the new or changed document has been posted on a NSNFP website.

   NOTE: *An electronic copy of the document posted on a NSNFP website is an acceptable alternate to controlled distribution of Group 1 documents in hard copy. Some individual end users or other intended recipients may request and receive hard copies.*

NSNFP Document Requester/ Preparer

3. For Group 1 documents (Refer to Section III A of this procedure.), complete a proficiency training needs determination in accordance with NSNFP Procedure 2.04.

4. Forward a copy of the approved training needs determination to the NSNFP Training Coordinator.

5. When distribution of a Group 2 document is needed, develop a distribution list indicating individuals to receive distribution and the method of distribution as electronic or hard copy.

   a. Provide the distribution list to the DCC.

6. Initiate the process for records storage of the document review records according to NSNFP Procedure 17.01.

7. Complete the applicable portions of the DAR according to the form instructions and forward to the DCC.

NSNFP DCC

8. Complete the DAR form according to the form instructions for prerelease verifications.

9. Initiate document distribution in accordance with NSNFP Procedure 6.03.

10. Provide the signed DAR for addition to the document review record, if applicable.

IV. REFERENCES

None.

V. DEFINITIONS

Terms appearing in italics followed by the notation "see glossary" are defined in the NSNFP Documents Manual Introduction and Glossary.

VI. ATTACHMENTS

Attachment A, Review and Approval Matrix for Internal Documents

VII. QUALITY RECORDS

The following quality records generated as a result of this procedure require retention in accordance with the identified classification and NSNFP Procedure 17.01.

Lifetime

A. NSNFP-generated internal documents reviewed and approved in accordance with this procedure.

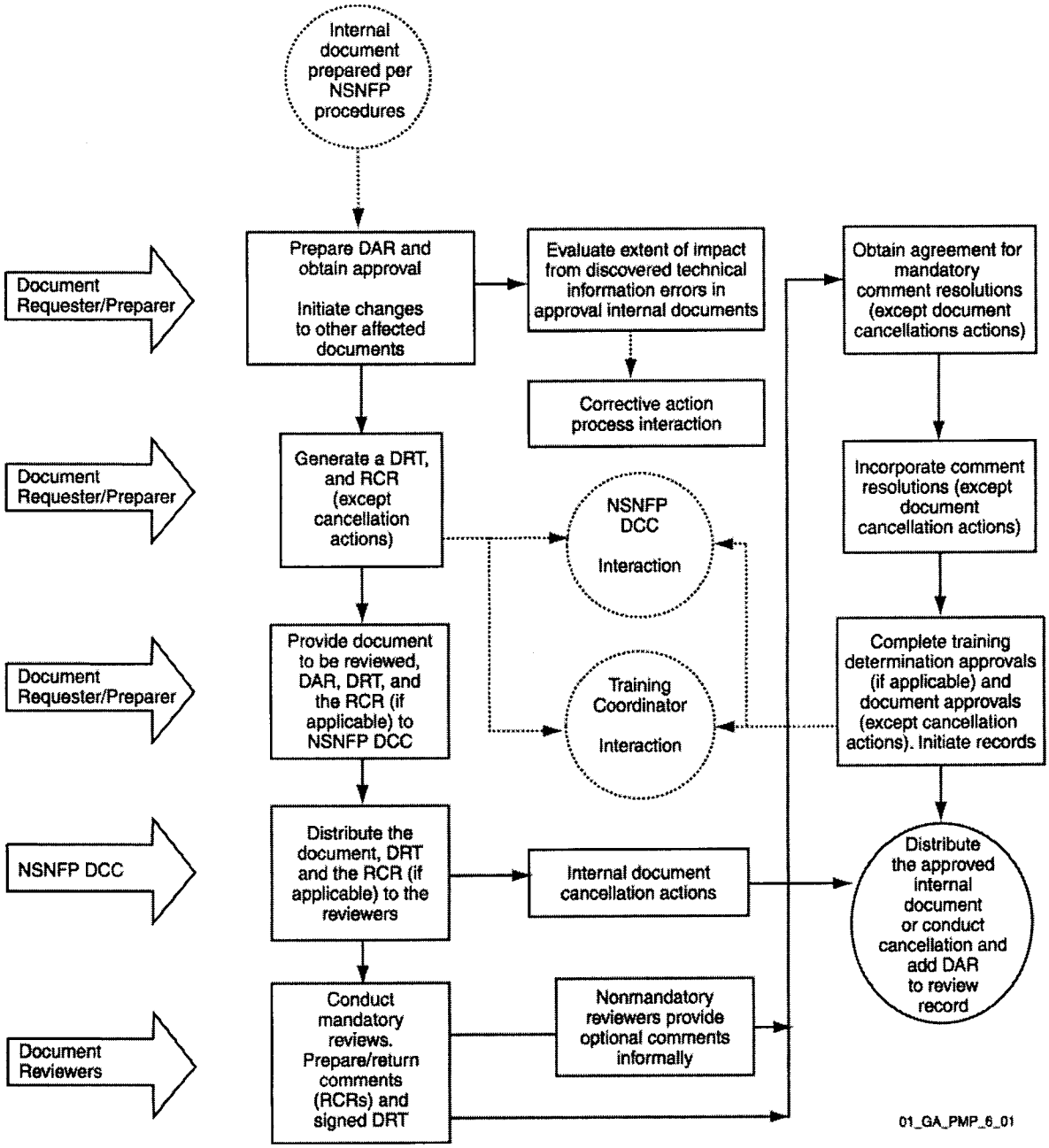
Nonpermanent

A. Completed Document Action Requests

B. Completed Document Review Transmittals

C. Completed Review Comment Records.

VIII. PROCEDURE FLOW DIAGRAM



Attachment A

Review and Approval Matrix for Internal Documents

Document Type (Related Procedure–Source of Review Criteria)	Mandatory Reviewers Unless otherwise noted	Document Approvers	DAR Approval Authority
NSNFP Documents Manual Content (Group 1)			
NSNFP Documents Manual Introduction And Glossary	• Manager, NSNFP • PSO Manager • PSO QE (if not the preparer) • QAS Manager	• Manager, NSNFP	The Manager, NSNFP
NSNFP Program Management Plan	• Manager, NSNFP • PSO Manager • QAS Manager	• Manager, NSNFP • PSO Manager (Submitted By)	The Manager, NSNFP
Quality Assurance Program Plan (NSNFP Procedure 2.07)	• Manager, NSNFP • PSO Manager • PSO QE (if not the preparer) • QAS Manager	• Manager, NSNFP	The Manager, NSNFP
NSNFP QARD Requirements Matrix (NSNFP Procedure 2.07)	• Manager, NSNFP • PSO Manager • PSO QE (if not the preparer) • QAS Manager	• Manager, NSNFP	The Manager, NSNFP
NSNFP Procedures (NSNFP Procedure 5.01)	• Manager, NSNFP • PSO Manager • PSO QE (if not the preparer) • QAS Manager	• Manager, NSNFP	The Manager, NSNFP
NSNFP Documents Available Electronically Only (Group 1)			
NSNFP Forms (NSNFP Procedure 5.05)	• Manager, NSNFP • PSO Manager • QAS Manager	• Manager, NSNFP (as evidenced by a completed Document Action Request)	The Manager, NSNFP

Attachment A

Document Type (Related Procedure–Source of Review Criteria)	Mandatory Reviewers Unless otherwise noted	Document Approvers	DAR Approval Authority
NSNFP Work Planning and Supplier Interface Documents (Group 2)			
NSNFP Planning/QA Program Applicability Evaluations (NSNFP Procedure 2.05)	• PSO Technical Lead (if not the preparer) • PSO Technical Staff • PSO QE • NSNFP QASM	• PSO Manager • NSNFP QASM • PSO Technical Lead	The PSO Manager
Task Management Agreements (Government Sector Suppliers) (NSNFP Procedure 4.02)	• PSO Technical Staff assigned to interface with the supplier • PSO QE	• PSO QE • PSO Technical Lead • PSO Technical Staff assigned to interface with the supplier	The PSO Manager
NSNFP Generated Technical Products/Documents (Group 2)			
NSNFP Generated Products—Test Plans (NSNFP Procedure 11.01)	• Designated Technical Reviewer • PSO QE	• Assigned PSO Technical Staff • PSO QE	The PSO Manager
NSNFP Generated Products—Engineering technical reports (NSNFP Procedure 3.04)	• Designated Technical Reviewer • PSO QE • Technical Writer	• Preparer • PSO QE • PSO Manager	The PSO Manager
NSNFP Generated Products—Engineering Design File (NSNFP Procedure 3.04)	• Designated Technical Reviewer • PSO QE	• Preparer • PSO QE	The PSO Manager
NSNFP Generated Products—Engineering Analysis or Design Input and Interface Documents (NSNFP Procedure 3.04)	• Designated Technical Reviewer • PSO QE • Technical Writer	• Preparer • PSO QE	The PSO Manager
NSNFP Generated Products—Software Control Plans and reports (NSNFP Procedure 19.01)	• Designated Software Reviewer • PSO QE	• Assigned PSO Technical Staff • Designated Software Reviewer • PSO QE	The PSO Manager