

2.2 Identifying the Reviewers

The author of the document, or the Sandia contact for contractor prepared documents, shall select individuals to review the document based on the required reviews specified in the governing procedure for the document type. For the purposes of this procedure, the author or Sandia contact who initiates the review process is the Review Requester. The Review Requester can delegate an author of the document to respond to comments of the reviewer. This delegation is implied and does not need to be documented.

The review requester shall ensure that those individuals selected to review a document are qualified to perform the specified type of review. The review requester shall ensure that at least one of the reviewers of any controlled document is in an organization or technical discipline affected by the document. The originator of the document shall not be a reviewer of the document.

Note: Technical reviews must be performed by someone who is independent. In order for an individual to qualify as an independent technical reviewer, the individual must not have performed, contributed to, or directed the work being reviewed, and the individual must not stand to either gain or be adversely affected by the results of the work, or the success of the reviewed document.

Changes/revisions to the document shall be reviewed and approved by the same organizations (e.g., functional areas) that performed the review/approval of the original document except as allowed by the following note.

Note: Editorial changes to the document require only QA review and approval, and approval by the author. For revisions that consist only of editorial changes to Design Plans, Analysis Plans, and Test Plans, the author shall include an explanatory note (for example, a footnote or footer on the signature page) identifying the revision as being an editorial change only. "Editorial changes" are defined in the Glossary which includes the list of types of changes that are 'editorial' in nature.

2.3 Conducting the Review

The flow chart (Appendix B) defines the responsibilities of the review requester/delegate and reviewers.

The review requester shall provide the reviewer an electronic or hard copy of the document to be reviewed, and if required by the procedure, a DRC form with items 1-6 completed.

Minimum criteria for document review are included on form NP 6-1-1 (DRC). The review requester may provide additional criteria as deemed appropriate to the DRC form (see item 5) or as a memo.

When asked, the review requester/delegate shall provide additional background information or data to the reviewer.

2.4 Documenting the Review

- Use of the DRC is optional for individuals whose signatures are incorporated in the document.
- Use of the DRC is optional for reviews of NPs and SPs. Approval signatures are captured on Form NP 5-1-1, Procedure History and Review/Approval.
- Use of the DRC is mandatory for reviewers who are not signatories.

Note: SNL SAND reports require completed DRCs from all technical, QA, and management reviewers. If the report has references, Reference Review may be required.

There are two choices for documenting review comments using the DRC form:

- document comments on the DRC (electronically/ in reproducible ink) or
- clearly mark comments on copies of pages of the document, and attach these marked-up pages to the DRC form. If this option is taken, the DRC will reference the marked-up pages that are attached. All comments marked on attached pages must be clear, legible, and in reproducible ink.

2.5 Comment Resolution

The author/Sandia contact has ultimate responsibility for the content of the document.

The review requester/delegate shall evaluate comments made by the reviewer(s), document acceptance/rejection of the comments on the DRC form, and return the form to the reviewer(s).

When comment resolution is complete, the reviewer(s) shall sign the DRC form in the concurrence field (DRC item 10), and return the DRC and copy of the document to the review requester/delegate. If comments cannot be resolved, resolution shall be determined by the next level of management within the Carlsbad Programs Group.

Comments shall be resolved before the document is approved.

Note: For scientific notebooks, research activities can continue during comment resolution.

3.0 Records

The following QA records, generated through implementation of this procedure, shall be prepared and submitted to the WIPP Records Center in accordance with NP 17-1 (Records).

<u>QA Record</u>	<u>Preparer</u>	<u>Records Submitter</u>
• DRC forms (if generated)	Author and Reviewers	Document Control (controlled documents) Author (technical information documents)
• Review drafts/attachments (as applicable when review comments are contained in draft document)	Author and Reviewers	Document Control (controlled documents) Author (technical information documents)
• Final document	Author	Document Control (controlled documents) Author (technical information documents)

4.0 Appendices

Appendix A: Form NP 6-1-1, Document Review and Comment (DRC)

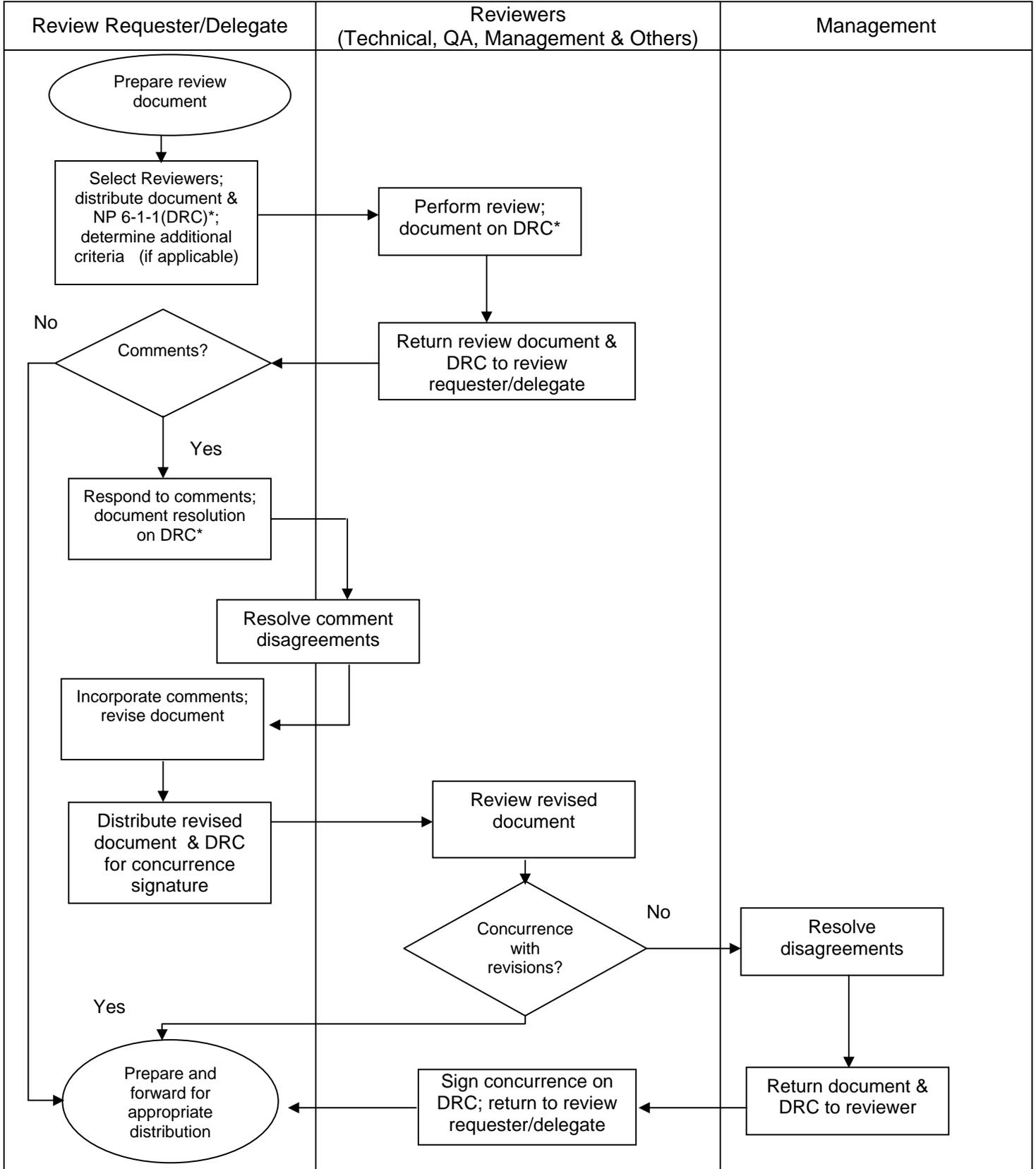
Appendix B: NP 6-1 Process Flow Chart



Appendix A

NUCLEAR WASTE MANAGEMENT PROCEDURE Sandia National Laboratories	<h2 style="margin: 0;">Document Review and Comment (DRC)</h2>	Form Number: NP 6-1-1 Page 1 of ____						
<p>REVIEW REQUESTER (e.g., author/Sandia contact) Complete items 1-6. Provide the DRC and review document to the reviewer.</p> <p>REVIEWER: Review the document applying the criteria specified below, and complete items 7 and 8. Return DRC to review requester/delegate.</p> <p>REVIEW REQUESTER/DELEGATE: If there are comments requiring response, prepare response to each comment on following page(s) complete items 9 and return to reviewer.</p> <p>REVIEWER: Review responses to comments. Indicate acceptance or rejection on the DRC and complete item 10.</p> <p>NOTE: REVIEWER AND REVIEW REQUESTER/DELEGATE are encouraged to discuss comments. If comment(s) cannot be resolved, refer the issue(s) to management. Entries must be complete, legible, and in reproducible ink or computer electronically.</p>								
<p>1. Document Title _____ 2. Rev. # (if applicable) _____</p> <p>3. Document Description: (e.g., contract, project, SAND report) _____</p> <p>4. Type of Review & Criteria</p> <table style="width:100%; border: none;"> <tr> <td style="width:33%; border: none;"> <input type="checkbox"/> Technical (Technical density, accuracy, completeness) -Are objectives clearly stated and fulfilled? -Is the technical quality clearly described? -Are equations/calculations correct? -Does logic lead to reasonable conclusions? -Are the results drawn from the data supported by data presented? -Data/tables/figures are they easily understood? Are legends complete? </td> <td style="width:33%; border: none;"> <input type="checkbox"/> QA (Compliance and completeness) -Are applicable QA requirements adequately cited/ incorporated and met (content, reviews)? - <u>Has the technical review been performed by someone who is "independent"?</u> <u>(see NP 6-1, Section 2.2)</u> </td> <td style="width:33%; border: none;"> <input type="checkbox"/> Management(Completeness and correctness) -Is report consistent with policy? -Is there consensus with other program documents? -Does the document meet applicable criteria? </td> </tr> <tr> <td colspan="3" style="border: none;"> <input type="checkbox"/> Other type of review (please specify or leave blank if not applicable) _____ </td> </tr> </table> <p>5. Additional criteria (if applicable) _____ 6. Review Requester _____ Date: _____ (Printed Name)</p> <p>7. Review Prepared by: _____ Reviewer's Printed Name _____ Reviewer's Signature _____ Org. _____ Date _____</p> <p>8. One of the following boxes must be checked: <input type="checkbox"/> No comments <input type="checkbox"/> Comments; record on following pages.</p> <p>(This section to be left blank if there are no comments requiring a response)</p> <p>9. Response to comments prepared by: _____ Review Requester's/Delegate's Printed Name _____ Review Requester's/Delegate's Signature _____ Org. _____ Date _____</p> <p>10. Response Concurrence: _____ Reviewer's Signature _____ Date _____</p>			<input type="checkbox"/> Technical (Technical density, accuracy, completeness) -Are objectives clearly stated and fulfilled? -Is the technical quality clearly described? -Are equations/calculations correct? -Does logic lead to reasonable conclusions? -Are the results drawn from the data supported by data presented? -Data/tables/figures are they easily understood? Are legends complete?	<input type="checkbox"/> QA (Compliance and completeness) -Are applicable QA requirements adequately cited/ incorporated and met (content, reviews)? - <u>Has the technical review been performed by someone who is "independent"?</u> <u>(see NP 6-1, Section 2.2)</u>	<input type="checkbox"/> Management(Completeness and correctness) -Is report consistent with policy? -Is there consensus with other program documents? -Does the document meet applicable criteria?	<input type="checkbox"/> Other type of review (please specify or leave blank if not applicable) _____		
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<input type="checkbox"/> Other type of review (please specify or leave blank if not applicable) _____								

Appendix B NP 6-1 Process Flow Chart



* See NP 6-1 section 2.4 to determine if a DRC is required.

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