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ACTIVITY/PROJECT SPECIFIC PROCEDURE

SP 6-1 PUBLICLY RELEASED DOCUMENTS Revision 4

Effective Date: 06/14/04

Author:	Amy B. Rein	<i>Original signed by Amy B. Rein</i>	6/14/04
	(printed name)	(signature)	date

1.0 Purpose and Scope

The purpose of this procedure is to prescribe the process for ensuring that Sandia National Laboratories (SNL) Waste Isolation Pilot Plant (WIPP) SAND documents (reports, journal articles, conference papers, abstracts and presentation materials) are reviewed for adequacy, correctness and completeness, and approved by the Department of Energy (DOE) Carlsbad Field Office (CBFO) and SNL Corporate personnel prior to their release as public information. This procedure supplements SAND2002-2068P "Guide to Preparing SAND Reports and Other Communication Products" and NP 6-1 "Document Review Process".

Acronyms and definitions for terms used in this procedure may be found in the Glossary located at the SNL WIPP Online Documents website.

Note: This procedure only applies to technical SAND documents which will become WIPP QA records.

2.0 Implementation Actions

2.1 Initiating the Review and Approval (R&A) Process

Prior to releasing a SAND document outside of Sandia National Laboratories, the author shall ensure the requirements of NP 6-1, Document Review Process, are completed. Once these actions have been completed, the author shall forward complete forms NP 6-1-1 (Document Review and Comment) to the SNL WIPP Technical Reports Coordinator.

2.2 Review & Approval (R&A) for Reuse of Previously Approved Materials

For the reuse of a previously approved document, in the same or a different format, if there are no substantial technical changes and no changes in the distribution limitations, the Document Review

and R&A processes do not need to be repeated. The author is responsible for determining if substantial technical changes have been made.

Note: Approval of an abstract does not imply approval of the subsequent paper or presentation. The paper or presentation must go through the R&A process separately.

The author shall submit a copy of the new document (if applicable) and an explanation of the new circumstances to the Technical Reports Coordinator. The Technical Reports Coordinator shall:

- prepare a memo from the Carlsbad Programs Group manager to the R&A Desk Coordinator explaining the circumstances of the information release
- copy the memo to the author and to DOE/CBFO
- submit two copies of the memo and the new document, if applicable, to WIPP QA records.

Note: If the new document will be published as a formal SAND report, a copy of the original R&A form or online R&A approval, the SAND report cover and title page, and the distribution list shall accompany the memo to the R&A Desk Coordinator. The Technical Library and 823 Library must each be on the distribution list.

2.3 Technical Reports Coordinator (TRC)

Upon being notified by an author that a document is destined to be released outside of Sandia National Laboratories, the Technical Reports Coordinator shall obtain the following documents from the author:

- Completed technical, QA, and management Document Review and Comment (DRC) forms with attached "Reviewer's Draft" or specific marked pages of the document as used by each reviewer.
- Completed reference DRC, if applicable (see section 2.4)
- A copy of a draft of the document which incorporates applicable comments from reviewers

Note: Forms must be legible and completed in reproducible ink, and applicable sections must be completed for acceptance. If rejected, the entire package will be returned to the review requester for completion.

The Technical Reports Coordinator verifies that technical, QA, and management review DRCs are completed and ensures that the document contains the following statement:

"Sandia is a multiprogram laboratory operated by Sandia Corporation, a Lockheed Martin Company, for the United States Department of Energy's National Nuclear Security Administration under contract DE-AC04-94AL85000".

The Technical Reports Coordinator enters the document information into the Sandia Electronic Review & Approval System. When the appropriate approvals have been obtained through the online system, the R&A desk assigns a SAND number to the document. The Technical Reports Coordinator should request the R&A desk hold off on finalization of the document until notified of CBFO approval.

2.4 Reference Review

The Technical Reports Coordinator determines whether the author/Review Requester has completed a reference review previously, and if not, sends an electronic copy of the document with associated

DRCs to the Reference Reviewer for verification that the references are readily available through public sources and that citations are correct.

The Reference Reviewer may follow “The Concise Format Guide for Waste Isolation Pilot Plant Program SAND Reports”, or may use the publisher’s format if the document is a conference paper or journal article.

Note: Journal articles should be published in refereed journals.

Published cited references that are not considered readily available (see Glossary) shall be obtained from the Review Requester or external source. The Review Requester shall submit any unpublished cited documents to the SNL WIPP Records Center. The Reference Reviewer shall submit non-readily available cited reference(s) to the WIPP Records Center as they are received or become available.

The Reference Reviewer shall return the reviewed document and comments to the Review Requester, and then to the Technical Reports Coordinator with the DRC when this review is complete.

2.5 Transmittal of SAND Documents to DOE/CBFO

The Technical Reports Coordinator prepares a transmittal package to send to CBFO and submits this package to the Carlsbad Programs Group Manager. This package includes a copy of the report and a cover/transmittal letter indicating the name of the DOE/CBFO reviewer. If the document is to be presented at an external conference, the name, date and location of the conference should be included. If the document will be submitted to a journal, the name of intended journal will be indicated.

2.6 Carlsbad Programs Group Manager

When satisfied that the SAND document meets DOE/CBFO and SNL requirements, the Carlsbad Programs Group Manager signs the transmittal letter authorizing the Technical Reports Coordinator to transmit the document to CBFO for programmatic review.

Note: If relevant, the Carlsbad Programs Group Manager submits comments on a DRC form to the Review Requester for resolution, and provides the Technical Reports Coordinator with a copy of the DRC. Upon resolution, the Review Requester is responsible for providing the Technical Reports Coordinator with a copy of the revised draft, dated and marked “CBFO Review Draft.”

The Technical Reports Coordinator submits the transmittal package to CBFO.

2.7 CBFO Review and Approval

After the document is submitted to the DOE/CBFO and they have completed a programmatic review, the DOE/CBFO may return a memo or email containing CBFO reviewers’ comments to the Review Requester and/or Technical Reports Coordinator. The Review Requester shall resolve comments and transmit the resolution to the DOE/CBFO for acceptance. The Review Requester shall provide the Technical Reports Coordinator with copies of all comments and correspondence and a revised version of the document as appropriate.

After the document has been reviewed, the DOE/CBFO sends a letter or email to the Technical Reports Coordinator that indicates approval or non-approval for publication. If changes have been made to references, the Technical Reports Coordinator decides if further reference review is required.

If so, the Technical Reports Coordinator documents this process on a DRC form. Minor editorial changes (see Glossary) do not require further review.

2.8 Final SNL Review

After receiving an approval letter or email from the DOE/CBFO, the Technical Reports Coordinator uploads the revised document into the online R&A system, if necessary, and contacts the SNL R&A desk to request finalization of the document.

2.9 SAND Issuance and Distribution

After receiving approval from the Review and Approval Desk, the Technical Reports Coordinator informs the Review Requester of the final approval of the document.

For suffixed reports, the Technical Reports Coordinator makes one copy of the document and R&A form and submits them to the SNL WIPP Library.

For formal SAND reports, the Technical Reports Coordinator or delegate prepares a Laboratory Communications service order and a SAND report cover, updates the distribution list, completes mailing labels and submits the entire order to the SNL Printing/Publishing Department.

2.10 Safety

There are no applicable safety concerns related to the use or implementation of SP 6-1.

3.0 Records

Upon issuance and distribution of the document, the Technical Reports Coordinator shall prepare a records package, including corrections and changes, generated as a result of implementing this procedure, and submit it to the SNL WIPP Records Center in accordance with NP 17-1, Records.

Cited references not readily available or already residing in the SNL WIPP Records Center will be submitted as the Reference Reviewer receives them. Two copies of colored or oversized pages must be submitted to the SNL WIPP Records Center. Electronic media submittal is optional.

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>
• Printout of online R&A approval	Technical Reports Coordinator	Technical Reports Coordinator
• Communications to/from CBFO regarding comment resolution and approval	Technical Reports Coordinator	Technical Reports Coordinator
• SNL Carlsbad Programs Group Manager transmittal letter to CBFO, with enclosures	Technical Reports Coordinator	Technical Reports Coordinator

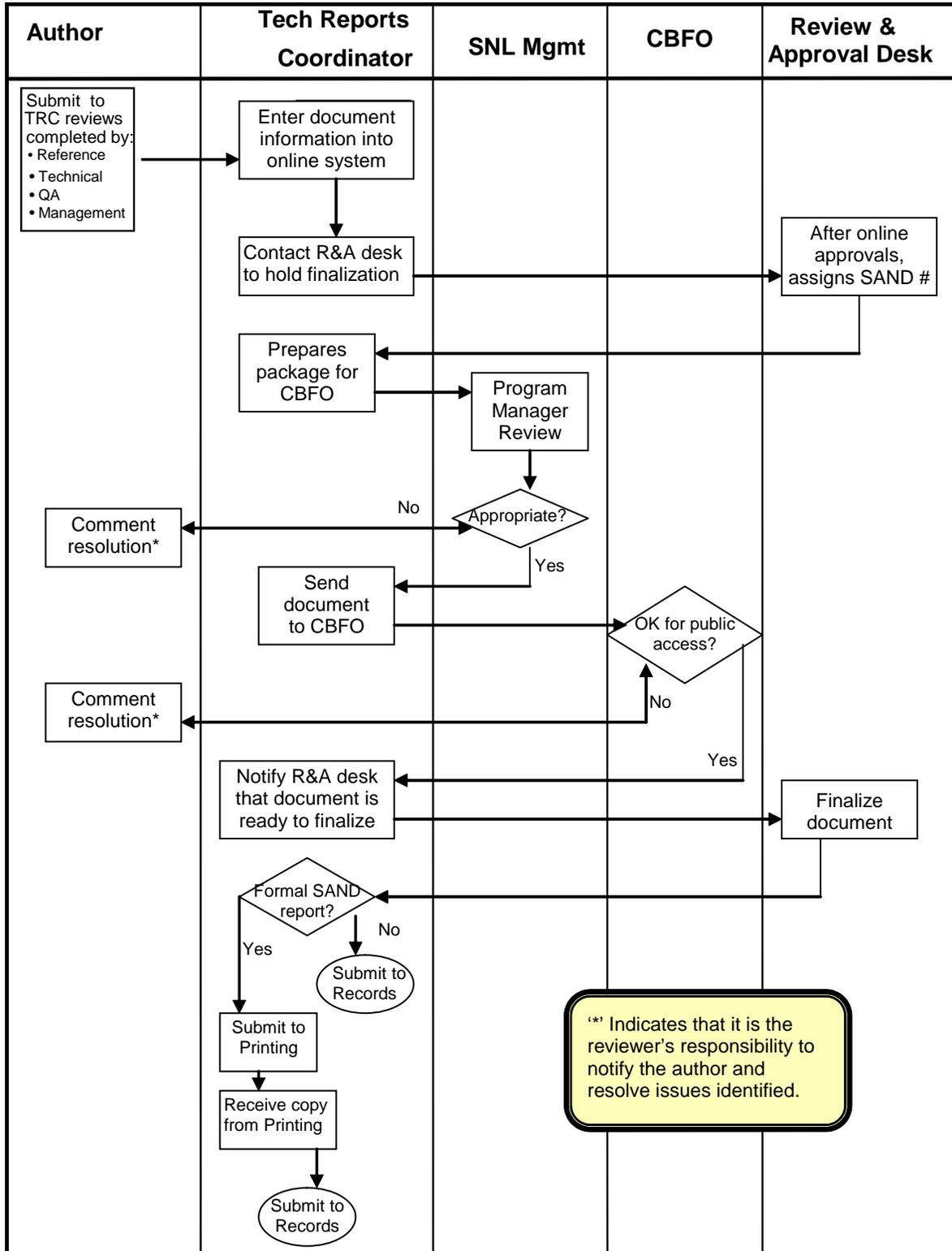
<u>QA Record</u>	<u>Preparer</u>	<u>Records Submitter</u>
<ul style="list-style-type: none"> DRCs (Form NP 6-1-1), and attachments to the DRCs (i.e. review drafts) for technical, QA and management reviews 	Technical Reports Coordinator	Technical Reports Coordinator
<ul style="list-style-type: none"> CBFO review draft (See Section 2.4) 	Technical Reports Coordinator	Technical Reports Coordinator
<ul style="list-style-type: none"> Reference Review and Traceability Review print out and the attached document used for review 	Technical Reports Coordinator	Technical Reports Coordinator
<ul style="list-style-type: none"> Final SAND document 	Technical Reports Coordinator	Technical Reports Coordinator
<ul style="list-style-type: none"> Memo to R&A Desk Coordinator (for reuse of materials only – see section 2.2) 	Technical Reports Coordinator	Technical Reports Coordinator

4.0 Appendices

Appendix A: External Document Review & Approval Process

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External Document Review & Approval Process



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