

**Swift & Staley Team/DOE Paducah Site
Classification Office (CO)/Technical Information Office (TIO)
and Operations Security (OPSEC) Release Form**

To Be Completed by Person Requesting Release
(Required to be completed prior to submittal to CO/TIO/OPSEC)

Date 05/08/2009 Date Release is Required 05/13/2009
 Person Requesting Release Teresa Overby Phone Number (270) 441-5188
 Mailing Address 761 Veterans Avenue, Kevil, KY 42053
 Organization Paducah Remediation Services, LLC, SPCI
 Document Number _____ Number of Pages 50 ~~500~~ pages
 Accession Number (DMC only) _____
 Document Title/Date PRS-DOC-1107, Development Approval and Change Control for PRS Performance Documents, 03/24/2009

Author _____ Corporate Author _____

Media (Check all that apply)

Paper Photo Diskette Drawing Video CD Report/Letter Other _____

Project Subcontract/Task Order _____

Requestor/Purpose of Release Public

DO NOT WRITE BELOW THIS LINE – CO/TIO/DC/OPSEC USE ONLY

Classified Yes No **UCNI** Yes No
ECl Yes No **OUO** Yes No

Type of Release (Check One)

Public Release Internal Release Only Limited Release

Reason (Check all that apply)

Circumvention of Statute Statutory Exemption Commercial/Proprietary
 Personal Privacy Privileged Information OPSEC

Other/Comments _____

DC *MB Brennan* Date MAY 12 09

TIO *MB Brennan* Date MAY 12 09

Reviewing Official _____ Date _____

OPSEC *MB Brennan* Date MAY 12 09

OWNER: Quality Assurance	PRS-DOC-1107	REV. NO. 2
SUBJECT MATTER AREA: Document Control	PREPARER: Donna Perry	Page 1 of 50
SUBJECT MATTER Expert: Donna Perry		
DOC TYPE: <input checked="" type="checkbox"/> PROCEDURE <input type="checkbox"/> PROGRAM <input type="checkbox"/> PLAN	APPROVED BY/DATE: Ricky Keeling signature on file in DCC 3/10/2009	
PERFORMANCE DOCUMENT TYPE: <input checked="" type="checkbox"/> OPERATING PROCEDURE <input type="checkbox"/> FACILITY SPECIFIC FACILITY:		
TITLE: Development, Approval, and Change Control for PRS Performance Documents		
FACILITY SAFETY REVIEW DOCUMENTATION: USQD-PH-SITE-0005R2	EFFECTIVE DATE: 4/15/2009 3/24/2009	
	REQUIRED REVIEW DATE: 3/10/2012	
Mandatory Subcontractor Pro Forma Procedure? <input type="checkbox"/>	If an temporary procedure, Expiration Date:	

REVISION LOG		
Revision Number	Description of Changes	Pages Affected
0	Initial Release. Intent Change. Changed numbers and headings to define the beginning point of Paducah Remediation Services, LLC, documentation and to establish document control as the control point for tracking document numbers. This document replaces PRS blue-sheeted BJC-PQ-1107	All
1	Intent Change. Format changes to clarify steps in appropriate sequence.	All
2	General Revision. Merges PRS-DOC-1002, Forms Control, and formalizes the change control process. Combines performance document request and change form into one form.	All

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1.0 PURPOSE

This procedure provides requirements for preparation, review, and approval of performance documents for Paducah Remediation Services, LLC (PRS). This procedure provides the performance document processes to satisfy selected requirements related to procedures in:

- 10 *CFR* § 830.122 (d)(1), (d)(2), (e)(1)
- DOE O 414.1C, *Quality Assurance*, Criterion 4(a) and Criterion 5(a)
- DOE G 414.1-2A, *Quality Assurance Management System Guide*, Sections 4.4, 4.5
- DOE-STD-1073-2003, *Configuration Management*, Section 6, Document Control (applicable parts)

2.0 SCOPE

The requirements of this procedure apply to PRS and subcontractors who prepare, review, or revise (internal) performance documents for the Paducah Environmental Remediation Project. These requirements also apply to review and approval of subcontractor submittal (external) performance documents.

Performance documents include the following document types (see also Attachment A, Definitions/Acronyms):

- Policies
- Program Documents
- Project-Specific Plans
- Operating Procedures
- Facility-Specific Procedures

Requirements for preparation, revision, and approval of technical work packages are provided in PRS-WCE-0018, *Work Management Program for the Paducah Environmental Remediation Project*, and associated implementing procedures.

3.0 TRAINING

NOTE: Users of this procedure must read and understand the requirements of this document prior to use. No specific formal training is required to perform the activities defined in this procedure.

4.0 PREREQUISITES AND LIMITATIONS

None.

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5.0 REFERENCES

5.1 Use References

PRS-DOC-1004, *Document Numbering and Issuance*
 PRS-WSD-0216, *Matrix of Paducah's Implementing Procedures for Certification of Waste to Nevada Test Site for Paducah Remediation Services, LLC*
 PRS-DOC-1009, *Records Management, Administrative Record, and Document Control*
 PRS-DOC-1000, *Paducah Remediation Services, LLC, Document Requirements and Style Guide*

5.2 Source References

DOE memorandum, from Paul M. Golan, Acting Assistant Secretary for Environmental Management, to Distribution, dated October 26, 2004, "Guidelines Related to Unreviewed Safety Question Process"
 PRS-CDL-0058, *Quality Assurance Program Plan*
 PRS-CDL-0061, *Integrated Safety Management System Description and Environmental Management System Description for the Paducah Environmental Remediation Project*

6.0 PROCEDURE

6.1 General Requirements

NOTE: The following is a description of required information for each block on the cover page:

- Owner: Functional organization
- Document Number is assigned by the DCC
- REV. NO. Version of document
- CHANGE: Administrative, Field Change, or Temporary Change
- SUBJECT MATTER AREA is the responsible area for the procedure.
- SUBJECT MATTER EXPERT interpretative authority and primary point of contact for internal and external organizations within the specific and assigned Subject Matter Area (SMA). (S:\EVERYONE\SME List\PRS SME.xls)
- DOC TYPE double click procedure or policy. Double click block to change the default from Not Checked to Checked.

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- FACILITY: If “Facility-Specific” is checked, then enter the facility name here.
- TITLE: Title of the procedure.
- PREPARER: Is the author of the performance document.
- EFFECTIVE DATE: Enter the effective date of procedure, normally 30 days from date of approval. The effective date may be sooner or later at the discretion of the owner.
- FACILITY SAFETY REVIEW DOCUMENTATION: Enter the number, as applicable.
- REQUIRED REVIEW DATE: Enter the actual required date based upon the approval date (Date equals number of years from approval date) see Attachment B for review cycles).
- MANDATORY SUBCONTRACTOR PRO FORMA PROCEDURE? Listed in Exhibit L of the contract.
- **If** a temporary procedure, EXPIRATION DATE: Enter the expiration date, as applies.
- REVISION LOG: Indicate development, changes, or revisions to the document.

NOTE: Unless otherwise specified within the body of the performance document, PRS performance documents are “General Use” documents. This “level of use” requires that performers of work activities have the ability to immediately reference the document, if needed, either directly (by maintaining the procedure in the immediate vicinity of the work activity) or indirectly (by maintaining contact with a competent front line supervisor who retains the document and issues verbal or written instructions to performers, from the performance document, as needed). The frequency with which the activity performers refer to the procedure or obtain instructions will vary depending on the training and experience of the activity performers and the complexity of work to be performed. The reference frequency must be sufficient, however, to ensure adherence to the requirements of the document. For “General Use” procedures, the sequence of performance requirements are defined within the body of the performance document and also will be adhered to strictly.

Applicable Manager

6.1.1 Assigns a preparer/writing team to process the performance document as new, revised, changed, or deleted.

Preparer/Writing Team

6.1.2 Adds an identifying box if the performance document contains or implements any of the following requirements or commitments:

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- Documented Safety Analysis (DSA); or Technical Safety Requirements (TSR) document; and/or is a configuration document for a facility, system, or component;
- Regulatory requirements such as environmental regulation, compliance agreements, agreed order, etc.;
- Resolves and ICATS issue.

Identifying Box – CAUTION

This document is a Configuration Document for the **X** facility or project, **and/or** contains **or** implements DSA, TSR, or other safety basis requirements, **or** resolves I/CATS Issue, **or** other. Specific requirements **and/or** other commitments are noted in the document by **< Source Document Number and Section or I/CATS Issue Number >**.

6.1.3 Selects the appropriate phrase(s) to be entered in the box. Additional guidance may be provided in a Caution box or as a note within the text of the procedure.

NOTE: New or revised performance documents that contain or implement requirements or other commitments for facilities, systems, or components that are contained in facility or system Configuration Management (CM) Plans require review and concurrence by the Configuration Control Board (CCB), Independent Review Committee (IRC), or nuclear safety organization (nuclear safety or nuclear criticality safety), as applicable.

6.1.4 Formats program documents and project-specific plans according to PRS-DOC-1000, *Paducah Remediation Services, LLC, Document Requirements and Style Guide*.

6.1.5 Uses templates for new or revised procedures and policies that are available on S:\EVERYONE\1DCC\PRSTEMPLATE.doc.

6.1.6 **When** revising a document, removes all previous change bars and annotations in the header.

6.1.7 Reviews validity of references.

NOTE: Use of an approved performance document before its effective date is permitted if the following conditions are met:

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- All implementation actions required by the user have been completed (e.g., training, other required document revisions) and
- Is allowed by current safety basis documents (e.g., DSA and TSR).

6.2 Performance Document Request Form

NOTE: Completion of the Performance Document Request (PDR) Form (DOC-F-0001) is required before any performance document is prepared, revised, changed, or deleted. In addition to the PDR, performance documents that contain forms will require the completion of DOC-F-0711, Forms Request.

Preparer

- 6.2.1** Completes Parts A–D on DOC-F-0001, PDR, for revised, changed, or new performance documents.
- 6.2.2** Provides a summary/explanation for new, revision, changes, or deletion of performance document in Part C.
- 6.2.3** Designates in Part D on PDR if new, revised, field change, temporary procedure, administrative change, or deletion.

NOTE: Part E of the PDR is required only for administrative changes to determine if changes are intent/nonintent.

- 6.2.4** For proposed administrative changes, completes Part E of the PDR to determine if change is intent/nonintent.
- 6.2.5** Submits the PDR to Document Control (DCC) for concurrence in Part F.

DCC

- 6.2.6** Processes the PDR, assigns a unique PDR number (i.e. PDR09-sequential number), and assigns a document number according to *PRS-DOC-1004, Document Numbering and Issuance*, if a new number or change in numbering scheme is required.
- 6.2.7** Signs and dates Part F in the PDR.
- 6.2.8** Makes a photocopy of the PDR and files in the history file.
- 6.2.9** Returns the original PDR (DOC-F-0001) with concurrence to the requestor/document owner, along with the current electronic version (Microsoft Word®) of the document, if the document is a revision, field change, temporary change, or administrative change.

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6.2.10 If needed, provides guidance to the preparer on formatting.

Preparer/Writing Team

6.2.11 Completes Parts G through M, as applicable.

6.2.12 Submits completed PDR with performance document package when approval of the performance document is obtained.

6.3 Development, Revision, or Deletion of a Form

NOTE: Forms must be linked to a performance document. Revisions/changes to forms are completed along with the revision or change process to performance documents. Forms must be reviewed for classification.

6.3.1 Identifies forms in Part I of DOC-F-0001, Performance Document Request Form.

6.3.2 Initiates DOC-F-0711, Form Request, for development of a new form, revision/changes to a current form, or deletion of a form.

6.3.3 Submits DOC-F-0711 to DCC with initial PDR, DOC-F-0001, for new, revised, changed, or deleted forms.

DCC

6.3.4 Assigns new form numbers, if applicable.

6.3.5 Retains copy for file and returns original to preparer with the PDR.

Preparer/Writing Team

6.3.6 Includes any new or revised forms along with the performance document during the review cycle.

6.3.7 Obtains a classification review of the form.

6.3.8 When the performance document is approved, submits the completed DOC-F-0711 with electronic and paper copies of the form, as part of the approved performance document package, to DCC.

DCC

6.3.9 Reviews and approves DOC-F-0711.

6.4 Developing a New or Revised Performance Document

NOTE: A revision to a performance document may vary from minor changes to a complete rewrite. Reviews of a revision encompass

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the entire document, and revisions result in the entire document being reissued.

NOTE: Validation, if required for facility-specific procedures, must be performed by a qualified Unreviewed Safety Question Determination (USQD) preparer/reviewer. A proposed change is to be reviewed by at least one independent reviewer and may require more than one reviewer, depending on the type of document and/or impact of the proposed changes. The project manager should review changes to project-level procedures.

Preparer/Writing Team

6.4.1 Utilizes DOC-F-0001, Performance Document Form, with concurrence from DCC to develop a new or revised performance document.

Owner

6.4.2 Assigns a performer for all responsibilities and actions.

Preparer/Writing Team

6.4.3 Requests input from the following areas for performance document development/revision, as necessary, based on the scope and purpose of the performance document:

- Project Management Representative
- Facility Manager
- S&H
- Radiological Control
- Work Control, Engineering, and Training
- Quality Assurance

6.4.4 Retains documentation of input in the performance document package to be submitted to DCC.

6.4.5 If a revision, obtains from DCC an electronic version of the document.

6.4.6 Prepares the new or revised performance document using the appropriate template.

6.4.7 Checks the validity of all references.

6.4.8 Completes the title block on each page by inserting the revision number.

6.4.9 Retains information in Revision Log for documentation of performance document history.

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6.4.10 Reviews the draft new or revised document for style and makes any nonintentional spelling, typographical, and format changes, as necessary.

NOTE: The review cycle is typically 10 working days.

NOTE: New, revised, or deleted forms must be included in the document review.

Preparer/Writing Team

6.4.11 Determines the reviewers for the proposed document revision based on the guidance of Attachment B. Reviewers also shall include all personnel whose functional titles have new, revised, and/or deleted roles and responsibilities in the document.

6.4.12 Distributes the draft document for review along with form DOC-F-0002, Performance Document Comment Resolution/Concurrence, and guidance on where comments should be directed and the due date.

Waste Certification Official

6.4.13 If documents are listed in the NTS Implementation Crosswalk (NIC) in PRS-WSD-0216, the waste certification official reviews and submits comments.

Procurement

6.4.14 If documents are listed as mandatory documents in Exhibit L, procurement shall review and submit comments.

Preparer/Writing Team

6.4.15 Notifies DCC of distribution of document for review cycle.

Reviewer

6.4.16 Reviews the document to ensure the accuracy and adequacy of the technical content, procedural steps, and controls identified in the new or revised performance document.

6.4.17 Documents comments by using the Performance Document Comment Resolution/Concurrence form, DOC-F-0002.

6.4.18 Returns comments directly to the identified contact by the comment due date.

NOTE: The preparer may obtain concurrence from the required reviewers via teleconference or e-mail. In these cases, the preparer would document the reviewer(s)' name(s), indicate the approval was by telephone or e-mail, and attach e-mail approvals to the DOC-F-0002 form.

Preparer/Writing Team

6.4.19 Provides a list of all reviewers who received the document for review and comment on the PDR, DOC-F-0001.

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6.4.20 Resolves reviewer(s)' comments and obtains reviewer(s)' concurrence, if applicable.

6.4.21 **IF** there are comments that cannot be resolved to the satisfaction of the reviewer, **THEN** the preparer resolves the comments in consultation with the appropriate subject matter expert (SME).

6.4.22 Obtains concurrence of the comment resolutions by each reviewer designated in Attachment B who provided comments using form DOC-F-0002 or equivalent. Any one or combinations of the following are acceptable means of documenting concurrence:

- Actual signature of concurrence on the Performance Document Comment Resolution/Concurrence form (DOC-F-0002).
- E-mail concurrence from the reviewer attached to the DOC-F-0002.
- Telecon concurrence

NOTE: Validation, if required for facility-specific procedures, must be performed by a qualified USQD preparer/reviewer. A proposed change is to be reviewed by at least one independent reviewer, and may require more than one reviewer depending on the type of document and/or impact of the proposed changes. The project manager should review changes to project-level procedures.

6.4.23 If required, performs validation according to Section 6.9, Validating Facility Procedures.

6.4.24 Submits all new and revised performance documents for technical editing.

6.4.25 Incorporates technical editing comments into final version.

6.4.26 Prepares an electronic copy (Microsoft Word®) of the document that reflects the resolved comments and submits to DCC with the following hard copy documentation:

- Performance Document Comment Resolution/Concurrence form (DOC-F-0002) or equivalent with documentation of concurrence from reviewers;
- Copy of completed the Validation Checklist form (DOC-F-0003), if applicable, for technical, emergency, or alarm response procedures,

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- Copy of technical editing documentation, and
- Electronic copy of all forms accompanied by completed DOC-F-0711, Forms Request.

- 6.4.27** Submits the package to DCC for review of required reviews according to Appendix B.
- DCC
- 6.4.28** **Before** submitting for USQD or Unreviewed Changes Determination (UCD), reviews list of reviewers to determine if the document was distributed for review according to Appendix B.
- 6.4.29** Sends electronic version of document to nuclear safety for USQD/UCD screening; USQD and/or UCD are performed, as applicable, for any proposed changes (unless CatX or exempt).
- USQD/UCD Preparer
- 6.4.30** Screens the document for USQD/UCD, according to PRS nuclear safety requirements, and prepares/reviews/gains approval of USQD/UCD screenings.
- 6.4.31** **If** any needed changes are noted during the USQD/UCD process, **THEN** notifies the document owner/preparer to resolve comments.
- Preparer/Writing Team
- 6.4.32** Resolves comments from nuclear safety.
- 6.4.33** **If** changes are consequential, repeats the review/validation process as required initially.
- 6.4.34** Submits electronic copy to DCC and any additional supporting documentation.
- DCC
- 6.4.35** Resubmits document electronically to nuclear safety for USQD/UCD screening.
- USQD/UCD Preparer
- 6.4.36** **When** USQD/UCD screening is complete, notifies preparer and DCC.
- Preparer/Writing Team
- 6.4.37** Prints a copy of USQD/UCD or exemptions to the process to include in the performance document package to be submitted to DCC.
- 6.4.38** Performs electronic copy verification (ECV) of the final document by comparing the approved hard copy to the electronic copy in DCC.
- 6.4.39** Documents completion of the ECV on the PDR in Part L.

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- Owner **6.4.40** Approves performance document, assigns effective date, and review cycle date on performance document cover page.
- 6.4.41** Completes Part M of the PDR.
- Preparer/Writing Team **6.4.42** Submits the approved USQD/UCD and the approved document with original signatures to DCC with the completed PDR.
- 6.4.43** Provides the following document package to DCC:
- Signed copy of the original document,
 - Effective date,
 - Review date,
 - Copy of approved USQD/UCD screening,
 - Copy of completed PDR, DOC-F-0001, and
 - Any new or changed forms electronically and hard copy.
- Owner **6.4.44** Informs identified users on the modified portions of the document.
- DCC **6.4.45** Uploads the approved document to the current folder on the effective date.
- 6.4.46** Issues notification to owners and users on effective date of changed performance documents.
- User **6.4.47** Resumes performance of the task using the approved performance document.

6.5 Deleting a Performance Document

- Preparer/Writing Team **6.5.1** Utilizes DOC-F-0001, Performance Document Form, with concurrence from DCC to delete performance document.
- 6.5.2** Submits DOC-F-0711 to delete any forms associated with the proposed deletion of the performance document.
- 6.5.3** Determines the reviewers for the proposed deletion based on the guidance of Attachment B. Reviewers also should include all personnel whose functional titles have deleted roles and responsibilities in the document.
- 6.5.4** Distributes the proposed deletion for review with form DOC-F-0002, Performance Document Comment Resolution/Concurrence, and guidance on where comments

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should be directed and due date.

Procurement **6.5.5** If documents are listed as mandatory documents in Exhibit L, procurement shall review and submit comments.

Preparer/Writing Team **6.5.6** Notifies DCC of distribution of document for review cycle.

Reviewers **6.5.7** Reviews the document to determine if it contains regulatory requirements or controls that should not be deleted.

6.5.8 The reviewer documents comments by using the Performance Document Comment Resolution/Concurrence form, DOC-F-0002.

6.5.9 Returns comments directly to the identified contact by the comment due date.

NOTE: The preparer may obtain concurrence from the required reviewers via telecom or e-mail. In these cases, the preparer would document the reviewer(s)' name(s), indicate the approval was by telephone or e-mail, and attach e-mail approvals to the DOC-F-0002 form.

Preparer/Writing Team **6.5.10** Provides a list of all reviewers that received the document for review and comment on the PDR, DOC-F-0001.

6.5.11 Resolves reviewer(s)' comments, obtain reviewer(s)' concurrence if applicable.

6.5.12 IF there are comments that cannot be resolved to the satisfaction of the reviewer, **THEN** the preparer resolves the comments in consultation with the appropriate SME.

6.5.13 Obtains concurrence of the comment resolutions by each reviewer designated in Attachment B who provided comments using form DOC-F-0002 or equivalent. Any one or combinations of the following are acceptable means of documenting concurrence:

- Actual signature of concurrence on the Performance Document Comment Resolution/Concurrence form (DOC-F-0002);
- E-mail concurrence from the reviewer attached to the DOC-F-0002; or
- Telecon concurrence.

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6.5.14 Submits the package to DCC for review of required reviews according to Appendix B.

DCC

6.5.15 **Before** submitting for USQD or UCD, reviews list of reviewers to determine if the document was distributed for review according to Appendix B.

6.5.16 Sends electronic version of document to nuclear safety for USQD/UCD screening, USQD and/or UCD are performed, as applicable, for any proposed deletions (unless CatX or exempt).

USQD/UCD Preparer

6.5.17 Screens the document for USQD/UCD, according to PRS nuclear safety requirements, and prepares/reviews/gains approval of USQD/UCD screenings.

6.5.18 **If** any objections to the deletion are noted during the USQD/UCD process, **THEN** notifies the document owner/preparer to determine further actions.

USQD/UCD Preparer

6.5.19 **If** the deletion is acceptable, and **when** USQD/UCD screening is complete, notifies preparer and DCC.

Preparer/Writing Team

6.5.20 Prints a copy of USQD/UCD or exemptions to the process to include in the performance document package to be submitted to DCC.

6.5.21 Submits the approved USQD/UCD to DCC with the completed PDR.

DCC

6.5.22 Processes deletion by removing from the current folder and archiving the deleted document.

6.6 Administrative Changes

NOTE: A nonintent or administrative change to a document is one that meets one or more of the following criteria:

- Corrects spelling or typographical errors in existing text;
- Corrects formatting problems;
- Updates a title or changes a name (e.g., SME) due to organizational changes;
- Adds notes, clarifications, or in-process hold points;
- Updates references to other documents (e.g., source documents) that may be added, revised, or deleted; or

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- Does not meet any of the criteria for an intent change.

NOTE: A nonintent or administrative change is also considered an inconsequential change and does not require the level of review as do revisions and intent changes.

Preparer/Writing Team	<p>6.6.1 To develop an administrative change for a performance document, performs the following steps:</p> <ul style="list-style-type: none"> • Completes DOC-F-0001 form for an administrative change; • Indicates in the document Scope, Revision Log, and by note(s) which steps or sections are changed for a project; • Identifies in the revision log and headers the temporary change as "AC#." <p>6.6.2 Submits the document with administrative changes to the reviewer(s) according to Appendix B.</p>
Waste Certification Official	<p>6.6.3 If documents are listed in the NIC in PRS-WSD-0216, the waste certification official reviews and submits comments.</p>
Procurement	<p>6.6.4 If documents are listed as mandatory documents in Exhibit L, procurement shall review and submit comments.</p>
Preparer/Writing Team	<p>6.6.5 Notifies DCC of distribution of document for review cycle.</p>
Reviewer(s)	<p>6.6.6 Reviews and signs the DOC-F-0001 form, and provides comments to the Requestor.</p>
Preparer/Writing Team	<p>6.6.7 Submits the package to DCC for review of required reviews, according to Appendix B.</p> <p>6.6.8 Provides DCC with an electronic version of administrative change.</p>
DCC	<p>6.6.9 Submits document to nuclear safety for USQD/UCD screening, USQD and/or UCD are performed, as applicable, for any proposed changes</p>
USQD/UCD Preparer	<p>6.6.10 Screens the document for USQD/UCD in accordance with PRS nuclear safety requirements and prepares/reviews/gains approval of USQDs/UCDs, as appropriate.</p> <p>6.6.11 If any needed changes are noted during the USQD/UCD process, THEN notifies the document owner/preparer to resolve</p>

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comments.

Preparer/Writing Team

6.6.12 Resolves comments from nuclear safety.

6.6.13 Submits electronic copy with resolution of comments to DCC and any additional supporting documentation.

DCC

6.6.14 Resubmits document electronically to nuclear safety for USQD/UCD screening.

USQD/UCD Preparer

6.6.15 When USQD/UCD screening is complete, notifies preparer and DCC.

Preparer/Writing Team

6.6.16 Prints a copy of USQD/UCD or exemptions to the process to include in the performance document package to be submitted to DCC.

6.6.17 Performs ECV of the final document by comparing the approved hard copy to the electronic copy in DCC.

6.6.18 Documents completion of the ECV on the PDR in Part L.

6.6.19 Prints a copy of the document for approval signature and a copy of the approved USQD/UCD screening.

NOTE: The review date is based upon the approval date.

Owner

6.6.20 Approves the change by signing the DOC-F-0001 form, adding annotation AC# on the approval page of the document, and assigning an effective date.

Preparer/Writing Team

6.6.21 Provides the following document package to DCC:

- Signed copy of the original document;
- Copy of approved USQD/UCD screening,
- Copy of completed PDR, DOC-F-0001, and
- Any new or changed forms electronically and in hard copy.

Owner

6.6.22 Informs identified users on the modified portions of the document.

DCC

6.6.23 Uploads the approved document to the current folder on the effective date.

6.6.24 Issues notification to owners and users on effective date of changed performance documents.

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User

6.6.25 Resumes performance of the task using the approved performance document.

6.7 Field Changes to Performance Documents

NOTE: A field change is a revision that can be made to project or site-level procedures when the procedure prevents the user from being able to complete a specific task. This can result from a missing, incomplete, or incorrect step in the procedure in use. The field change process also allows changes to performance documents that are administrative in nature. Typically, field changes have limited review. These changes are defined below and cannot

- Be used to delete performance documents,
- Be used to inappropriately circumvent the normal review and approval process for performance documents where required,
- Bypass the USQD/UCD screening, USQD and/or UCD processes, or
- Be used for certain performance documents for which they are not intended.

NOTE: New facility specific procedures and revisions with intent changes must be validated. The validation method used should correspond to the complexity and importance of the activity.

NOTE: Validation, if required for facility-specific procedures, must be performed by a qualified USQD preparer/reviewer. A proposed change is to be reviewed by at least one independent reviewer, and may require more than one reviewer depending on the type of document and/or impact of the proposed changes. The project manager should review changes to project-level procedures.

Preparer/Writing Team

6.7.1 Contacts DCC if there is an applicability issue.

6.7.2 To issue a field change to a performance document, the preparer/team performs the following steps:

- Completes DOC-F-0001 form for a field change;
- Indicates in the document Scope, Revision Log, and by Note(s) which steps or sections are changed for a project; and
- Identifies in the revision log and headers the field change as "FC#."

6.7.3 Submits the DOC-F-0002 form and document with field changes

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to the reviewer(s), according to Appendix B.

- 6.7.4 Notifies DCC of review cycle.
- Reviewer(s) 6.7.5 Reviews and signs the DOC-F-0002 form, and provides comments to the requestor.
- Preparer/Writing Team 6.7.6 Resolves any review comments with the DOC-F-0002 form, via telephone, or e-mail.
- 6.7.7 Signs the reviewer(s)' name(s) on DOC-F-0002, to indicate the approval was by telephone or e-mail, and attaches e-mail approvals.
- 6.7.8 Submits the package to DCC for review of required reviews according to Appendix B.
- 6.7.9 Provides DCC with an electronic version of field change.
- DCC 6.7.10 **Before** submitting for USQD or UCD, reviews list of reviewers to determine if the document was distributed for review according to Appendix B.
- 6.7.11 Submits document to nuclear safety for USQD/UCD screening, USQD and/or UCD are performed, as applicable, for any proposed changes.
- USQD/UCD Preparer 6.7.12 Screens the document for USQD/UCD in accordance with PRS nuclear safety requirements and prepares/reviews/gains approval of USQDs/UCDs, as appropriate.
- 6.7.13 **If** any needed changes are noted during the USQD/UCD process, **THEN** notifies the document owner/preparer to resolve comments.
- Preparer/Writing Team 6.7.14 Resolves comments from nuclear safety.
- 6.7.15 Submits electronic copy with resolution of comments to DCC and any additional supporting documentation.
- DCC 6.7.16 Resubmits document electronically to nuclear safety for USQD/UCD screening.
- USQD/UCD Preparer 6.7.17 **When** USQD/UCD screening is complete, notifies preparer and DCC.
- Preparer/Writing 6.7.18 Prints a copy of USQD/UCD or exemptions to the process to

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Team include in the performance document package to be submitted to DCC.

6.7.19 Performs ECV of the final document by comparing the approved hard copy to the electronic copy in DCC.

6.7.20 Documents completion of the ECV on the PDR in Part L.

NOTE: The review date based upon the original approval date remains the same until a revision is completed.

Owner **6.7.21** Approves the change by signing the DOC-F-0001 Form, adding annotation FC# on the approval page of the document, and assigning an effective date.

Preparer/Writing Team **6.7.22** Provides the following document package to DCC:

- Signed copy of the original document;
- Copy of approved USQD/UCD screening,
- Copy of completed PDR, DOC-F-0001, and
- Any new or changed forms electronically and hard copy.

Owner **6.7.23** Informs identified users on the modified portions of the document.

DCC **6.7.24** Uploads the approved document to the current folder on the effective date.

6.7.25 Issues notification to owners and users on effective date of changed performance documents.

User **6.7.26** Resumes performance of the task using the approved performance document.

6.8 Temporary Changes to Performance Documents

NOTE: A temporary change is a “one-time” **intent** revision, typically to a project- or site-level procedure or instruction, used to accomplish a specific task or activity (e.g., a test) for a defined duration. If the change is to be made permanent, then a procedure revision is required.

NOTE: New facility-specific procedures and revisions with intent changes must be validated. The validation method used should correspond to the complexity and importance of the activity.

NOTE: Validation, if required for facility-specific procedures, must be

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performed by a qualified USQD preparer/reviewer. A proposed change is to be reviewed by at least one independent reviewer, and may require more than one reviewer depending on the type of document and/or impact of the proposed changes. The project manager should review changes to project-level procedures.

Preparer/Writing Team

- 6.8.1** To issue a temporary change to a performance document, performs following steps:
- Completes DOC-F-0001 form for a temporary change;
 - Identifies in the revision log and headers the field change as "TC#";
 - Indicates in the document Scope, Revision Log, and by Note(s) which steps or sections are changed for a project.
- 6.8.2** Determines the reviewers for the proposed temporary change based on the guidance of Attachment B. Reviewers also shall include all personnel whose functional titles have new, revised, and/or deleted roles and responsibilities in the document.
- 6.8.3** Distributes the draft document for review with form DOC-F-0002, Performance Document Comment Resolution/Concurrence, and guidance on where comments should be directed and the due date.

Waste Certification Official

- 6.8.4** If documents are listed in the NIC in PRS-WSD-0216, the waste certification official reviews and submits comments.

Procurement

- 6.8.5** If documents are listed as mandatory documents in Exhibit L, procurement shall review and submit comments.
- 6.8.6** Notifies DCC of distribution of document for review cycle.

Reviewer

- 6.8.7** Reviews the document to ensure the accuracy and adequacy of the technical content, procedural steps, and controls identified in the new or revised performance document.
- 6.8.8** Documents comments by using the Performance Document Comment Resolution/Concurrence form, DOC-F-0002.
- 6.8.9** Returns comments directly to the identified contact by the comment due date.

NOTE: The preparer may obtain concurrence from the required reviewers via telecom or e-mail. In these cases, the preparer would document the reviewer(s)' name(s), indicate the approval was by telephone or e-mail, and attach e-mail approvals to the DOC-F-

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0002 form.

Preparer/Writing Team

- 6.8.10** Provides a list of all reviewers that received the document for review and comment on the PDR, DOC-F-0001.
- 6.8.11** Resolves reviewer(s)' comments, obtain reviewer(s)' concurrence if applicable.
- 6.8.12** If there are comments that cannot be resolved to the satisfaction of the reviewer, THEN the preparer resolves the comments in consultation with the appropriate SME.
- 6.8.13** Obtains concurrence of the comment resolutions by each reviewer designated in Attachment B who provided comments using form DOC-F-0002 or equivalent. Any one or a combination of the following is an acceptable means of documenting concurrence:
- Actual signature of concurrence on the Performance Document Comment Resolution/Concurrence form (DOC-F-0002).
 - E-mail concurrence from the reviewer attached to the DOC-F-0002.
 - Telecon concurrence
- NOTE:** Validation, if required for facility-specific procedures, must be performed by a qualified USQD preparer/reviewer. A proposed change is to be reviewed by at least one independent reviewer, and may require more than one reviewer depending on the type of document and/or impact of the proposed changes. The project manager should review changes to project-level procedures.
- 6.8.14** If required, performs validation according to Section 6.9, Validating Facility Procedures.
- 6.8.15** Prepares an electronic (Word®) copy of the document that reflects the resolved comments and submits to DCC with the following hard copy documentation:
- Performance Document Comment Resolution/Concurrence form (DOC-F-0002) or equivalent with documentation of concurrence from reviewers;
 - Copy of completed the Validation Checklist form (DOC-F-0003), if applicable, for technical, emergency, or alarm response procedures;
 - Copy of technical editing documentation; and
 - Electronic copy of all forms accompanied by completed DOC-F-0711, Forms Request.

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- 6.8.16** Submits the package to DCC for review of required reviews according to Appendix B.
- DCC
- 6.8.17** Before submitting for USQD or UCD, reviews list of reviewers to determine if the document was distributed for review according to Appendix B.
- 6.8.18** Sends electronic version of document to nuclear safety for USQD/UCD screening, USQD and/or UCD are performed, as applicable, for any proposed changes (unless CatX or exempt).
- USQD/UCD Preparer
- 6.8.19** Screens the document for USQD/UCD according to PRS nuclear safety requirements and prepares/reviews/gains approval of USQD/UCD screenings.
- 6.8.20** If any needed changes are noted during the USQD/UCD process, **THEN** notifies the document owner/preparer to resolve comments.
- Preparer/Writing Team
- 6.8.21** Resolves comments from nuclear safety.
- 6.8.22** If changes are consequential, repeats the review/validation process, as required initially.
- 6.8.23** Submits electronic copy to DCC and any additional supporting documentation.
- DCC
- 6.8.24** Resubmits document electronically to nuclear safety for USQD/UCD screening.
- USQD/UCD Preparer
- 6.8.25** When USQD/UCD screening is complete, notifies preparer and DCC.
- Preparer/Writing Team
- 6.8.26** Prints a copy of USQD/UCD or exemptions to the process to include in the performance document package to be submitted to DCC.
- 6.8.27** Performs ECV of the final document by comparing the approved hard copy to the electronic copy in DCC.
- 6.8.28** Documents completion of the ECV on the PDR in Part L.
- Owner
- 6.8.29** Approves the temporary change by signing the DOC-F-0001 form, adding annotation TC# on the approval page of the document, assigning an effective date, and expiration date.
- 6.8.30** Completes Part M of the PDR.

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Preparer/Writing Team **6.8.31** Submits the approved USQD/UCD and the approved document with original signatures to DCC with the completed PDR.

6.8.32 Provides the following document package to DCC:

- Signed copy of the original document,
- Effective date,
- Copy of approved USQD/UCD screening,
- Copy of completed PDR, DOC-F-0001, and
- Any new or changed forms electronically and hard copy.

Owner **6.8.33** Informs identified users on the modified portions of the document.

DCC **6.8.34** Uploads the approved document to the current folder on the effective date.

6.8.35 Issues notification to owners and users on effective date of changed performance documents.

User **6.8.36** Resumes performance of the task using the approved performance document.

6.9 Validating Facility Procedures

NOTE: New facility specific procedures and revisions with intent changes must be validated. The validation method used should correspond to the complexity and importance of the activity.

Owner **6.9.1** Assigns a Validation Team consisting of one or more persons in each area from the following list:

- Supervisor
- SME
- Facility manager
- Work groups, as applicable for procedures they will be required to use
- Functional areas assigned roles and responsibilities in the procedure

Validation Team **6.9.2** Selects one or more of the following four (4) methods to be used for the validation:

1. **Observation of actual performance.** Validators watch while users perform the steps of the procedure, including operation of equipment. Based on the risk involved, an approval from the facility manager or

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project manager is required to perform this validation including any restrictions based on the hazards or TSR limitations. Procedures for TSR-related equipment may not be capable of being validated by this method.

2. **Walkdown.** Action steps are simulated rather than performed; however, the simulation must be performed by actual users, within sight of actual equipment, in a facility to which the procedure applies.
3. **Mock-up.** Action steps are performed in a controlled situation that simulates actual hazards. Persons other than users may participate in the simulation, the simulation may be staged in a facility other than the one to which the procedure applies, and props may be used instead of actual equipment.
4. **Cross-Table or Table-Top Review.** A meeting in which users and other knowledgeable personnel go through the procedure steps and validate capability to perform steps as written. High consideration is placed on both being able to safely perform the steps and to ensure the procedure meets its intended objectives.

6.9.3 Performs the validation using a procedure draft that has completed the review/comment/resolution phase of the performance document process and the form DOC-F-0003, Validation Checklist.

6.9.4 Documents the results of the validation on DOC-F-0003 and forward it to the preparer.

Preparer/Writing Team **6.9.5** Resolves identified comments with the validation team.

6.9.6 If validation resolution and incorporation resulted in intent changes or substantial modifications from the original draft, the identified reviewers must review the changes.

6.9.7 THEN determines if the procedure requires revalidation in accordance with the steps above.

6.9.8 When the validation is completed, prepares a final electronic (Word®) copy of the document that reflects the resolved comments and submit to DCC for USQD review.

6.10 Posting/Distributing/Obtaining Performance Documents

DCC **6.10.1 When** the completed document package is received, processes the request through DCC.

6.10.2 Uploads new, revised, temporary, field changes, and administrative changes on the effective date.

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6.10.3 Processes approved deletions and archive superseded documents.

NOTE: When a controlled copy is generated, it is stamped in red “Controlled Copy” with a unique controlled copy number and distribution is controlled.

User

6.10.4 Notifies DCC when a hard copy controlled document is required.

NOTE: A working copy may be used to perform work, but must be verified by dating and initialing DOC-F-0008, Performance Document Cover Page, each working day to be current.

6.10.5 Prints a working copy from the controlled documents on the Web page, stamps DOC-F-0008 as “Working Copy,” initials and dates form.

NOTE: A copy may be used for information such as procedure development, but must be marked “Information Only” and cannot be used to perform work.

6.10.6 Marks all copies not used to perform work as “Information Only.”

6.11 Periodic Reviews

NOTE: PRS performance documents are reviewed periodically according to guidance in Appendix B to assure the documents are current and reflect up to date requirements, roles, and responsibilities.

DCC

6.11.1 Monitors performance documents with regard to the review cycle, and notifies the applicable owners to review documents at the associated minimum interval for the following categories:

- Policies and program documents—3 years
- Operating and facility procedures—3 years
- Project/site-specific plans—1 year

User

6.11.2 Before using performance documents, checks the review date to determine if the document is current.

6.11.3 If a document is found to be beyond the review cycle, reports the condition to the owner for guidance.

Preparer/Writing Team

6.11.4 For documents beyond the review cycle, initiates DOC-F-0005, Procedure Required Review Form, and conducts periodic

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review as described in this section.

6.11.5 For each document, reviews to determine that the document:

- Is still valid for its intended purpose;
- The basis for the document (e.g., applicable requirements, standards, regulations, commitments, etc.) are still valid and/or current;
- Effectively and efficiently implements the basis for which it originally was developed; and
- Meets the needs of the users.

6.11.6 IF no changes are needed, **THEN** notes “Maintain as Is” on the Procedure Required Review Log and forwards DOC-F-0005 DCC.

NOTE: The original approval date remains the same, but the review cycle date is modified based upon date of completion of the periodic review and assignment of “Maintain as Is.”

DCC

6.11.7 Processes DOC-F-0005 and assigns the new review date on the performance document cover page.

6.11.8 Uploads performance document with new review cycle date.

Preparer/Writing Team

6.11.9 If during the review, the procedure is found to be insufficient or no longer applicable, **THEN** notes this on the Procedure Required Review Log and initiates a PDR, DOC-F-0001, with the required action.

6.11.10 Submits the PDR to DCC for concurrence.

6.11.11 Processes the revision or deletion according to this procedure.

DCC

6.12 Maintenance of Performance Documents

6.12.1 Updates and maintains the DCC database with the following tracking information, at a minimum:

- Document title,
- Document number,
- Revision number,
- Effective date,
- Date of the periodic review, and
- Name of document owner.

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6.12.2 Monitors performance documents with regard to the review cycle, and notifies the applicable Owners to review documents at the associated minimum interval for the following categories

- Policies and program documents—3 years
- Operating and facility procedures—3 years
- Project/site-specific plans—1 year

6.12.3 Archives superseded performance documents and forms.

6.12.4 Submits a completed document package to Document Management Center.

7.0 RECORDS

The following records may be generated, if applicable by this procedure and are to be maintained in accordance with PRS-DOC-1009, *Records Management, Including Document Control*.

- Signed performance document
- Completed PDR Form (DOC-F-0001)
- Completed Performance Document Comment Resolution/Concurrence form (DOC-F-0002) plus evidence of concurrence
- PRC meeting minutes (if applicable for project)
- Completed DOC-F-0003 form (if applicable)
- Completed DOC-F-0005 form (if applicable)
- Completed DOC-F-0711 form (if applicable)
- Copy of USQD/UCD/Cat Ex screening

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DEFINITIONS/ACRONYMS
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DEFINITIONS

Administrative Change – A nonintent change to a document.

Approval Date – The date of the last approving authority signature.

Approver – An individual who is designated to approve performance documents.

Controlled Copy – A plan, procedure, program description, or any part thereof, that is prepared, reviewed, issued, revised, and approved in accordance with established protocol and subject to controlled distribution and to defined change process. Controlled documents and forms are controlled to ensure that correct and current documents are used and referenced.

Driver Documents – Driver Documents include the PRS contract and other documents incorporated by reference into Section J of the contract. These requirements must be implemented into the lower tier documents. Driver Documents include the following:

- The PRS contract
- State and federal regulations
- DOE Orders
- DEAR clauses
- Consensus standards
- Environmental management orders, agreements, and permits
- Other requirements as identified and incorporated into the PRS contract
- Safety basis documents

Driver documents are, in general, outside the control of PRS and are defined, or in some cases approved, by DOE and other federal agencies and state regulatory authorities. Changes to driver documents potentially can affect PRS work processes by defining new contract requirements.

- Principal DOE Orders that drive the work planning and control process include the following:
- DOE Order 413.1A, *Management Control Program*
- DOE Order 414.1C, *Quality Assurance*
- DOE Order 433.1, *Maintenance Management Program for DOE Nuclear Facilities*
- DOE Order 450.1, *Environmental Protection Program*
- Facility Technical Safety Requirements

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Effective Date –The date after approval when all implementation activities identified for the document are completed and the document is effective for use. After the effective date, the performance document requirements must be followed and failure to do so will be considered a violation of requirements, e.g., procedural violation. Performance documents can be used before the effective date if

- (1) All implementation actions required by the user have been completed (e.g., training, other required document revisions), and
- (2) Is allowed by current safety basis documents (e.g., DSA and TSR).

Facility Procedures – Facility procedures are used to establish or implement a program document requirement for specific facilities. Facility-specific procedures may include the following:

- Facility-specific hazardous communication plan
- Safety basis implementation procedures
- Conduct of operations implementing procedures (for nuclear facilities)
- Configuration management implementing procedures
- Other plans procedures and requirements as identified and incorporated into the PRS contract

Field Change – A Field Change is a time-critical revision to correct errors to a document in order to support continued operations/work. Field changes must be intent or they would be processed as Administrative Changes. Field changes primarily are used for project-specific procedures and instructions.

Functional Title – A recognized title defined by a PRS position description or specifically identified on the PRS organization chart.

Intent Change – An intent change to a document is one that meets one or more of the following criteria:

- (1) Adds, deletes, or modifies requirements including the intent of text identified as a requirement from a source reference contained in the document;
- (2) Adds, deletes, or modifies the purpose or scope;
- (3) Changes the sequence of steps in a procedure, instruction, or other guidance provided;
- (4) Deletes or modifies clarifications, prerequisites, and notes;
- (5) Adds, changes, or modifies roles and responsibilities; or
- (6) Adds, deletes, or modifies acceptance criteria or limits for safety or regulatory items.

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An intent change is also considered a **consequential** change.

Nonintent Change – A nonintent change to a document is one that meets one or more of the following criteria:

- (1) Corrects spelling or typographical errors in existing text;
- (2) Corrects formatting problems;
- (3) Updates a title or changes a name (e.g., SME) due to organizational changes;
- (4) Adds notes, clarifications, or in-process hold points;
- (5) Updates references to other documents (e.g., source documents) that may be added, revised, or deleted; or
- (6) Does not meet any of the criteria for an intent change.

A nonintent change is also considered an **inconsequential** change.

Original – The ink signed master hard copy of a performance document.

Owner – The functional organization.

Performance Documents – Performance documents are the collection of policies, program documents, project-specific plans, operating procedures and facility procedures that define the management systems, programs, and processes of PRS.

Policies – Policies are prepared by PRS management based on corporate values, philosophy, or commitments made by corporate management to the client, stakeholders, or employees. Policies include the following:

- Ethics policies
- Equal Employment Opportunity (EEO) policies
- Human resource (HR) policies
- Payroll and procurement policies
- Policies on safety and environmental protection
- Other requirements as identified and incorporated into the PRS contract

The numbers and types of policies required are at the discretion of PRS management. Policies are approved by the president of PRS or designee

Preparer – The individual, assigned by the FM/MOP or designee, who is responsible to facilitate and coordinate development, comment resolution, and approval of a performance document.

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Procedures – Work Procedures—There are three types of documents in this tier, and they include the following:

- (1) *Operating Procedures*. Operating procedures are used to implement Program Document requirements that are applicable to PRS and subcontract activities. Operating procedures typically are established by functional or project organizations, as needed, and are intended to provide detailed guidance for the performance of routine project tasks or operations. Operating Procedures may be used to control routine work tasks, or may be incorporated by reference into a work package, which is a grouping of work control documents for a specific task or scope. Requirements for using Operating Procedures as Work Control documents are established in PRS procedure PRS-WCE-0020, *Work Planning*.
- (2) *Project-Specific Plans*. Project-specific plans are used to define the program documents requirements specific to a project or subproject task. Project-specific plan requirements are established in program documents. Project-specific plans are intended to provide additional detailed guidance for the implementation of the PRS program documents at the project, facility, or activity level.
 - Project-specific plans may include the following project or site-specific documents:
 - (1) Waste management plans
 - (2) Project safety and health plans
 - (3) Comprehensive work plans
 - (4) Quality assurance project plans
 - (5) Sampling and analysis plans
 - (6) Other plans as identified by the PRS contract and/or regulatory agencies
 - (7) Facility-specific hazardous communication plan
- (3) *Facility Procedures*. Facility procedures are used to establish or implement a program document requirement for specific facilities. Facility-specific procedures may include the following:
 - (1) Safety basis implementation procedures
 - (2) Conduct of operations implementing procedures (for nuclear facilities)
 - (3) Configuration management implementing procedures
 - Other plans procedures and requirements as identified and incorporated into the PRS contract

Facility-specific procedures are intended to implement facility-specific safety basis requirements, the PRS Facility Management Program, and other requirements established by program or driver documents that are specific to an individual facility, facility category, or facility classification.

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Procedures are required for processes, activities, or operations that meet one or more of the following criteria:

- Failure to properly perform an activity could adversely affect safety, environmental compliance, or pose a significant risk.
- Failure to correctly perform an operation or activity could have a negative impact on the work process.
- The complexity of the operation or activity may exceed the knowledge of assigned personnel.
- Requirements need to be documented and interpreted in order to assure compliance and communicate management direction.
- Users require the current version of a procedure to assure proper implementation.
- Upper-tier performance documents require that a procedure be written.

Program Documents – Program documents describe and establish PRS-specific requirements or guidelines for performance of PRS activities in a specific functional area, such as health and safety.

Examples of program documents include the following:

- Integrated Safety Management System/Environmental Management System
- Quality Assurance Project Plan
- Maintenance Implementation Plan
- Radiation Protection Plan
- Other programs as required by driver documents or policies

Program documents are established at a program, sitewide or company-wide level, to provide guidance in the implementation of policies or driver documents. Many program documents require DOE approval in addition to PRS management approval. Required programs are defined and established by either a PRS policy or a driver document defined in the Contract.

Project-Specific Plans – Project-specific plans are used to define the program documents requirements specific to a project or subproject task. Project-specific plan requirements are established in program documents. Project-specific plans may include the following project or site-specific documents:

- Waste management plans
- Project safety and health plans
- Comprehensive work plans
- Quality assurance project plans
- Sampling and analysis plans

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- Other plans as identified by the PRS contract and/or regulatory agencies

Project-specific plans are intended to provide additional detailed guidance for the implementation of the PRS Program Documents at the project, facility, or activity level.

Revision – A revision to a performance document that may vary from minor changes to a complete rewrite. Reviews of a revision encompass the entire document, and revisions result in the entire document being reissued.

Subject Matter Expert (SME) – SMEs serve as the PRS interpretative authority and primary point of contact for internal and external organizations in their specific and assigned subject matter area (SMA). The SME is responsible for ensuring compliance with contractually defined standards and requirements in all work standards, processes, procedures, and training in their assigned areas.

Uncontrolled Copy – A hardcopy of a controlled document used for information purposes ONLY, and stamped or marked **For Information Only**.

Working Copy – A hardcopy of a controlled document that is printed from the controlled documents Web page and used for completing work activities.

Validation – A process to confirm that tasks can be performed as they are written in the procedure. Validation may include physical checks for the proper sequence of steps, correct identification of equipment, human factor considerations, and adequacy of communication.

ACRONYMS

DCC – Document Control Center
DMC – Document Management Center
DSA – Documented Safety Analysis
FM – Functional Manager
MOP – Manager of Projects
NS – nuclear safety
PDR – Performance Document Request
PRS – Paducah Remediation Services, LLC
QA – Quality Assurance
SH – Safety & Health
SM – Site Manager
SME – Subject Matter Expert
T – Training
TSR – Technical Safety Requirements
UCD – Unreviewed Change Determination
USQD – Unreviewed Safety Question Determination

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Attachment B
PERFORMANCE DOCUMENTS REQUIREMENTS MATRIX
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NOTE: Documents listed in the NTS Implementation Crosswalk (NIC) in PRS-WSD-0216 must be reviewed by the Waste Certification Official. Documents listed as mandatory documents in Exhibit L must be reviewed by Procurement.

Type	Review/Concurrence		Approval/Concurrence	Review Cycle
	Revisions/Changes	Administrative Changes		
Policies	10-day review. Include the following: <ul style="list-style-type: none"> • Owning Organization • Business Manager • Site Manager • Organized Labor and Employee Relations Manager • Work Controls Manager 	<ul style="list-style-type: none"> • MOP, • Facility Manager, or • Site Manager 	Site Manager	3 years
Program Documents	10-day review. Include the following: <ul style="list-style-type: none"> • Owning Organization • Functional titles with roles & responsibilities defined in the document • Affected organizations • Legal (if the document requires DOE approval) • S&H • Training • QA • Environmental Compliance • Organized Labor and Employee Relations Manager • Work Controls Manager 	<ul style="list-style-type: none"> • MOP, • Facility Manager, or • Site Manager 	Owning Organization's Manager; Site Manager for deliverable requiring DOE approval only)	3 years

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NOTE: Documents listed in the NTS Implementation Crosswalk (NIC) in PRS-WSD-0216 must be reviewed by the Waste Certification Official. Documents listed as mandatory documents in Exhibit L must be reviewed by Procurement.

Type	Review/Concurrence		Approval/Concurrence	Review Cycle
	Revisions/Changes	Administrative Changes		
Standard Operating Procedures	10-day review. Include the following: <ul style="list-style-type: none"> • Owning Organization • Functional titles with roles & responsibilities defined in the document • QA • S&H • Training • Environmental Compliance • Waste Certification Office (if procedure is referenced in PRS-WSD-0216) • Organized Labor and Employee Relations Manager • Work Controls Manager 	<ul style="list-style-type: none"> • MOP, • Facility Manager, or • Site Manager 	Owning Organization's Manager	3 years
Facility Procedures	10-day review. Include the following: <ul style="list-style-type: none"> • Owning Organization • Functional titles with roles & responsibilities defined in the document • QA • S&H • Training • Environmental Compliance • Facility Manager • Organized Labor and Employee Relations Manager • Work Controls Manager 	<ul style="list-style-type: none"> • MOP, • Facility Manager, or • Site Manager 	Owning Organization's Manager	3 years
Project Specific Plans	10-day review. Include the following: <ul style="list-style-type: none"> • Within functional group • Interface review as needed • QA • Organized Labor and Employee Relations Manager • S&H • Training • Environmental Compliance • Work Controls Manager 	<ul style="list-style-type: none"> • MOP, • Facility Manager, or • Site Manager 	MOP or designee PM Responsible for the Project	1 year

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NOTE: Documents listed in the NTS Implementation Crosswalk (NIC) in PRS-WSD-0216 must be reviewed by the Waste Certification Official. Documents listed as mandatory documents in Exhibit L must be reviewed by Procurement.


Type	Review/Concurrence		Approval/ Concurrence	Review Cycle
	Revisions/Changes	Administrative Changes		
Subcontractor Developed Documents	10-day review. Include the following: <ul style="list-style-type: none"> • Within appropriate functional group • QA • S&H • Training • Environmental Compliance • Organized Labor and Employee Relations Manager • Work Controls Manager 	<ul style="list-style-type: none"> • MOP, • Facility Manager, or • Site Manager 	PRS PM Responsible for the Subcontract	1 year

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Form DOC-F-0001 PERFORMANCE DOCUMENT REQUEST (PDR)


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This is an only an example of the form. See Document Control Center for usable form.

		Performance Document Request (PDR) Form DOC-F-0001			
A. General Information <i>(See Instructions for Completing Form at the end of the form)</i>					
Date	PDR #	Performance Document #	Revision	Change	
Performance Document Title:			Due Date:		
Requirements:					
Preparer		Owner	Review Cycle 3 years <input type="checkbox"/> 1 year <input type="checkbox"/>		
B. Identify Type of Document					
<input type="checkbox"/> Procedure		<input type="checkbox"/> Plan	<input type="checkbox"/> Policy		
<input type="checkbox"/> Process/Program Description		<input type="checkbox"/> Other _____			
C. Summary/Explanation of New, Revision, Change, or Deletion					
D. Criteria for Intent and Nonintent Changes required for administrative changes only.					
Does any proposed change in the document:				Yes	No
• Add, delete, or modify requirements including the intent of text identified as a requirement from a source reference contained in the document.				<input type="checkbox"/>	<input type="checkbox"/>
• Add, delete, or modify the purpose or scope				<input type="checkbox"/>	<input type="checkbox"/>
• Change the sequence of steps in a procedure, instruction, or other guidance provided				<input type="checkbox"/>	<input type="checkbox"/>
• Delete or modify existing clarifications, prerequisites and notes				<input type="checkbox"/>	<input type="checkbox"/>
• Add, change, or modify roles and responsibilities; or				<input type="checkbox"/>	<input type="checkbox"/>
• Add, delete, or modify acceptance criteria or limits for safety or regulatory items?				<input type="checkbox"/>	<input type="checkbox"/>
E. Type of Performance Document Request					
Part D not required		Part D not required		Complete all parts	
New	<input type="checkbox"/>	Temporary	<input type="checkbox"/>	Administrative Change	
Revision	<input type="checkbox"/>	Field Change	<input type="checkbox"/>	<input type="checkbox"/>	
Deletion	<input type="checkbox"/>				
F. Submit to DCC for Concurrence					
DCC Concurrence/Signature				Date	
G. Review and Concurrence according to Appendix B					
Function	Signature	Date	Function	Signature	Date

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Form PERFORMANCE DOCUMENT REQUEST (PDR)
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 Performance Document Request (PDR) Form DOC-F-0001	
H. Validation	
Validation Required Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, Validation type: _____	
I. Forms	
Will new forms or revisions to existing forms be required to implement the document requirements? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If Yes, have forms been submitted with DOC-F-0711? <input type="checkbox"/> Yes <input type="checkbox"/> No	
J. Identify Subcontractor Impacts	
Is the document a Mandatory Document and/or does it affect existing subcontractor documentation, e.g., Technical Specifications, Terms & Conditions, Work Releases, etc.? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If Yes, identify specific affected documents.	
Identify any subcontractors affected (identify specific subcontractors, if applicable) and expected impacts.	
<input type="checkbox"/> Does the document apply to subcontracts awarded prior to effective date (retroactive)	
<input type="checkbox"/> Does the document apply to subcontracts awarded after effective date (prospective)	
K. Unreviewed Safety Question Determination (USQD)/Unreviewed Change Determination (UCD)	
Check all that apply below:	
Will this document require entry into the USQD Process <input type="checkbox"/> UCD Process <input type="checkbox"/> or is the document Cat Ex <input type="checkbox"/> or N/A <input type="checkbox"/> ?	
USQD/UCD/PSW/Cat Ex Number: _____	
Signature of NSE Qualified USQD/UCD Preparer/Reviewer: _____	
Date: _____	
L. Electronic Copy Verification	
Signature _____	
Date: _____	
M. Approval	
Approval Authority: _____	
(See Appendix B) _____ Date: _____	
Effective Date: _____ Expiration Date for Temporary Documents: _____	
FOR DCC USE ONLY:	
Procedures Specialist (PS)/Designee: _____	
Date: _____	

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**Form PERFORMANCE DOCUMENT REQUEST (PDR)
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**Instructions for completing DOC-F-0001,
Performance Document Request Form**

To ensure the form is processed, please read each question carefully and answer as thoroughly as possible.

A. General Information

- **Preparer** – Name of person completing form
- **Date** –
- **Performance Document Number**
- **PDR Number** – To be assigned by Document Control
- **Revision Number**
- **Change**
- **Title**
- **Due Date**
- **Requirements**
- **Owner**
- **Review Cycle** – See Appendix B for review cycle frequency

B. Identify Document Type – (see definitions in PRS-DOC-1107) Check the type of document the request.

C. Summary – Summarize the proposed changes for a new document or revision/change/deletion. Provide a brief overview (e.g., purpose and scope) for a proposed new document, change, revision, or state why a proposed document should be deleted.

D. Intent/Nonintent – Perform intent/nonintent screening to determine if the change can be processed as an administrative nonintent change or processed as an intent change.

E. Type of Request – Most document requests will be to revise a document, prepare a new document, change a document, or delete an existing document. For an existing document, identify at least the proposed document number and title. For a new document, provide the proposed title (DCC will provide a document number when the PDR Form is approved).

F. DCC Concurrence – DCC concurs with the information in Parts A-E and retains a copy of the PDR for the file.

G. Review Concurrence – Documentation of review/comment/resolution/concurrence cycle.

H. Validation – Identifies if validation required and type performed.

I. Forms – Check whether any new forms or revisions/changes/deletions to existing forms are needed to implement the proposed new/revised/changed document. If new forms or revisions to existing forms are needed, indicate the number of forms, even if only an approximate number. If revisions, indicate form numbers. Form DOC-F-0711, Forms Request will be required for new/revisions/changes/deletions.

J. Subcontractor – Identify if procedure impacts subcontractors

K. Unreviewed Safety Question Determination (USQD) – Concurrence with Nuclear Safety USQD Subject Matter Expert for requirements on USQD/UCD/Cat Ex requirements.

L. ECV – Electronic copy verification is accomplished by the preparer comparing the electronic version in DCC with the final approved version.

M. Approval – Approved by the manager of the owning organization or designee.

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Form DOC-F-0003 VALIDATION CHECKLIST

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This is an only an example of the form. See Document Control Center for usable form.



Validation Checklist

Document Number	Revision Identifier	Document Title				
User (Print Name)	Phone Number	Pager Number	Validator (Print Name)	Phone Number	Pager Number	
Instructions <i>(This checklist can be used for Performance Documents or Work Packages)</i>						
1. Check (√) type(s) of validation performed: <input type="checkbox"/> Observation <input type="checkbox"/> Walk-down <input type="checkbox"/> Mock-up <input type="checkbox"/> Cross-Table or Table-Top Review						
2. Arrange for the user to simulate/demonstrate the performance of the document steps in the presence of a Validator. Request user to perform the demonstration. User explains what is being simulated/demonstrated and what hardware response is expected as each step is being simulated/demonstrated.						
3. Observe the user simulate/demonstrate the performance of the document.						
4. For each checklist item, check (√) Yes, No, or (N/A) Not Applicable.						
5. For each NO response, determine if the document should be changed. Record deficiencies.						
6. Forward the completed checklist with all attachments and validated document to the document preparer for revision, if necessary.						
User-Document Compatibility				Yes	No	NA
1. Was level of detail sufficient for user to successfully complete each step?						
2. Was the user able to perform each step as written?						
3. Was user able to follow stated sequence to accomplish task (no necessary steps missing)?						
4. Were all action steps in proper sequence?						
5. If user required direct assistance from other persons, were they specified in the document?						
6. Could all steps be safely performed?						
7. Does the document allow enough time to perform time-dependent actions?						
8. If other documents are needed to complete the steps specified in the document, are the titles, sections and form numbers correct and available for use?						
9. Are all first and second-level headings and titles of appendixes exactly as they appear in the document?						
10. Were Warnings, Cautions, and/or Requirements adequate to address hazards?						
11. Were Warnings, Cautions, Notes, and/or Requirements statements able to be complied with?						
12. Are spaces for recording entries adequate?						
13. Was user able to perform document steps using only stated parts, equipment, special tools, and supplies? (no additional items required)						
14. Was user able to follow branching/referencing instructions?						
15. When document steps were taken that involved or may affect plant limits (TSR/OSR/LCO), are these steps and limits clearly communicated to the user?						
16. Did user feel the document adequately reflected the ability of the least experienced qualified user?						

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Validation Checklist

Plant-Document Compatibility	Yes	No	NA
1. Are unique equipment identifiers (labels) and operating parameters included where appropriate?			
2. Are the nomenclature and the location information sufficient to enable the user to locate all equipment?			
3. Were locations given consistent with field installation?			
4. Is there consistency among equipment label, drawing (as applicable), and document nomenclature?			
5. Where instrument ranges, units of measure, set points, and indicators specified in the document consistent with field installation? (Readings of one-half the smallest increment are considered obtainable.)			
6. Did examples of forms, tags, cards, etc., included in the document match those used in the field?			
7. Were responses to "job-specific" emergency actions or abnormal circumstances or conditions addressed?			
8. Does the document adequately consider and address the requirements of applicable Activity Hazard Analyses (AHA) and other site/environmental considerations, for example, lighting, confined workspace?			
Alarm Response Procedures	Yes	No	NA
1. Is alarm panel location correct?			
2. Does the alarm window on the ARP agree with the actual alarm panel?			
3. Is the alarm panel number correct?			
4. Are the appropriate confirm actions given?			
5. Are the correct automatic actions given?			
6. Are appropriate subsequent actions given?			
7. Does each subsequent action step deal with only one idea?			
8. Is the object of each subsequent action step specifically stated?			
9. Is the method of checking and verifying equipment or actions clearly stated or obvious?			
10. Are equipment, controls, and displays identified in common operator usage terms?			
11. Are action steps in a logical order?			
12. Are plant components identified in ARP with correct tag numbers?			
13. If component is seldom used, is the location information provided?			
14. When multi-position control switches are required to be operated, and have more than one position for a similar function, is the desired position specified?			
15. Is it physically possible to perform actions exactly as written?			
16. Can all steps be completed safely?			
17. Are possible causes of the alarm listed in order of probability?			

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Validation Checklist

Comments (Attach marked-up copy of document to show changes needed.)			
Does Document Require revalidation? Yes <input type="checkbox"/> No <input type="checkbox"/>			
Performed By*	Print Validator Name	Validator Signature	Date
	Print User Name	User Signature	Date
Additional Team Members (as required)	Print Name	Signature	Date
	Print Name	Signature	Date
	Print Name	Signature	Date
	Print Name	Signature	Date

* If a cross-table or table top validation method is used, attach a list of participants and any meeting notes.

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Form DOC-F-0005 PROCEDURE REQUIRED REVIEW

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This is an only an example of the form. See Document Control Center for usable form.



Performance Document Required Review Form

Performance Document Number: _____		Current Revision Number: _____	
Title: _____			
Document Type: _____			
Date Review Required (based on document type and effective date of procedure): _____			
Review performance documents at the appropriate minimum interval as follows (from the effective date):			
• Policies	Every 3 years		
• Procedures	Every 3 years		
• Program/Project	Every 3 years		
• Plans	Every 1 year		
For each document, verify that the document:		Yes	No
• Is still valid for its intended purpose		<input type="checkbox"/>	<input type="checkbox"/>
• The bases for the document (e.g., applicable requirements, standards, regulations, commitments, etc.) are still valid and/or current		<input type="checkbox"/>	<input type="checkbox"/>
• Effectively and efficiently implements the bases for which it was originally developed		<input type="checkbox"/>	<input type="checkbox"/>
• Meets the needs of the users		<input type="checkbox"/>	<input type="checkbox"/>
Recommended Action: (check one) <input type="checkbox"/> Maintain As Is <input type="checkbox"/> Revise* <input type="checkbox"/> Delete*			
Revise by (date): _____		Delete by (date): _____	
*Process revisions and deletions in accordance with PRS-DOC-1107, <i>Development, approval, and Change Control for PRS Performance Documents.</i>			
Comments/Notes: 			
Date Required Review Completed: _____			
Reviewer: _____			
Approver Printed Name: _____			
Approver Signature/Date: _____			
DC Signature/Date: _____			

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Form DOC-F-0711 FORMS REQUEST
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Forms Request

Name: _____ Date: _____

Requestor Phone: _____

Requestor: _____

Form Owner: _____

Form Number: (if revision): _____ Requested Completion Date: _____

Form Title (proposed title if new): _____

New Form: Paper Electronic

Revision is the change: Administrative (nonintent) Intent

Validation for nonintent changes: _____ Date: _____

Approved: Rejected:

Deletion

List associated performance documents below.

Summary/Explanation of Proposed New Form, Revision or Deletion:

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Is the form classified or does it request or use classified information or is it a new form?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • If Yes, ADC review required for new form and intent changes.
Does the referencing performance document(s) require a USQD or UCD for intent changes?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • If Yes, a USQD, UCD or USQ or UCD Screen (as appropriate) will be required for any new form or intent changes to an existing form (may be included as part of a USQD/UCD/Screen for associated performance document). • If an existing form or its referencing performance document(s) has been Categorically Excluded indicate the Cat Ex USQD
If this is a new form or an existing form, has it been evaluated for USQD/UCD applicability?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> • If NO, the form will require review by a qualified USQD/UCD preparer to determine if a USQD or UCD is required. • If YES, indicate the USQD/UCD/Screen

NOTE: If a USQD, UCD, or USQ or UCD Screen (as appropriate) is required, an approved copy of the USQD/UCD/Screen for the final version of the form must be submitted to Document Control before the form can be posted **unless** the form is submitted as part of the performance document for review by nuclear safety **then** the form will be posted when the performance document is approved and effective.

_____	_____	_____
Authorized Derivative Classifier Print/Signature <i>(if required)</i>	Date	
_____	_____	_____
Form Owner- <i>(Print/Signature)</i>	Date	Phone
_____	_____	_____
Functional Manager <i>(Print/Signature)</i>	Date	Phone

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Instructions for completing DOC-F-0711, Forms Request

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Please note that if any of the requested applicable information is not provided, the form request may be rejected until the information is obtained. To ensure the form is processed, please read each question carefully and answer as thoroughly as possible.

Requestor – Name of person completing form

Date – Self evident

Requestor Email – Self evident

Requestor Phone – Self evident

Form Owner – Person ultimately responsible for the form and any future changes.

Form Number – If this is a revision to an existing form, list the form number as found on the bottom left hand corner of the form.

Requested Completion Date – Date the final form is needed.

Form Title – If a revision, list the title as seen on the form or indicate any changes to the title. If a new form, then enter a proposed title.

New Form – Is the form new (never been issued)? If so will it be a paper form or electronic. Indicate by checking the appropriate boxes.

"Paper" forms are forms produced from a hardcopy master using conventional printing, duplicating, or copying equipment; paper forms are completed manually, either by typewriter or by hand. Paper forms are printed through the Government Printing Office (GPO) and are approved by the GPO Section of Printing and Duplication Services. An "electronic" form is an image that has been electronically generated and/or stored, and that is accessed for electronic fill-in, transmission, and/or printing.

Revision – Is this a revision to an existing form? If so, is the change Administrative (nonintent) or Intent (see definitions below)?

Nonintent Change – A nonintent change to a document is one that meets one or more of the following criteria:

- (1) Corrects spelling or typographical errors in existing text;
- (2) Corrects formatting problems;
- (3) Updates a title or changes a name (e.g., SME) due to organizational changes;
- (4) Adds notes, clarifications, or in-process hold points;
- (5) Updates references to other documents (e.g., source documents) that may be added, revised, or deleted; or
- (6) Does not meet any of the criteria for an intent change.

A nonintent change is also considered an **inconsequential** change.

Intent Change – An intent change to a document is one that meets one or more of the following criteria:

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- (1) Adds, deletes, or modifies requirements including the intent of text identified as a requirement from a source reference contained in the document;
- (2) Adds, deletes, or modifies the purpose or scope;
- (3) Changes the sequence of steps in a procedure, instruction, or other guidance provided;
- (4) Deletes or modifies clarifications, prerequisites and notes;
- (5) Adds, changes, or modifies roles and responsibilities; or
- (6) Adds, deletes or modifies acceptance criteria or limits for safety or regulatory items

An intent change is also considered a **consequential** change.

Deletion – Does the form need to be deleted?

Is the form associated with any performance document – Is this form listed in or will be listed in a performance document as identified or will be identified on the Performance Document System? If so, list the document (include number, current revision, and title). If a form is revised, changed or deleted, the associated performance document must be revised/changed accordingly.

Summary/Explanation of Proposed New Form, Revision or Deletion – Summarize the proposed changes for a form revision, provide a brief overview (e.g., purpose and scope) for a proposed new form, or state why a proposed form should be deleted.

Is the form classified or does it request or use classified information? If **Yes**, ADC review required for new form and intent changes.

Does the referencing performance document(s) require a USQD or UCD for intent changes. A USQD, UCD or USQ or UCD Screen (as appropriate) will be required for any new form or intent changes to an existing form (may be included as part of a USQD/UCD/Screen for associated performance document). If an existing form or its referencing performance document(s) has been Categorical Excluded, indicate the Cat Ex USQD .

If this is a new form or an existing form has it been evaluated for USQD/UCD applicability? If **NO**, the form will require review by a qualified USQD/UCD preparer to determine if a USQD or UCD is required. If **YES**, indicate the USQD/UCD screening number.

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Form DOC-F-0008 PERFORMANCE DOCUMENT COVER SHEET



PERFORMANCE DOCUMENT COVER PAGE

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