

MQP Level 3

Working Instruction for the Delivery Readiness Review (DRR)

This Level 3 Working Instruction defines the requirements and methods for conducting a Delivery Readiness Review (DRR). The purpose of the DRR is to validate that the IO has the CRN, Delivery Report, the native-file Packing List, the Storage & Preservation requirements, customs documents, and/or any other technical or logistical information that is needed so that the material can be adequately managed through transportation, reception, storage, and ultimately into ITER construction and assembly. The DRR is a Hold Point, and therefore it shall be fully completed by all of the concerned stakeholders before the transportation of components to the ITER Site begins.

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Change Log			
Working Instruction for the Delivery Readiness Review (DRR) (X3NEGB)			
Version	Latest Status	Issue Date	Description of Change
v0.0	In Work	31 Aug 2018	
v1.0	In Work	18 Mar 2019	First version of this MQP document as per MQP doc Request - X2TJM9 approved on March 15 2019.
v1.1	Revision Required	18 Mar 2019	<p>Change #1: Reorganized Section 8.2.2 (Delivery Report & PPL) and added a new section listing the mandatory Delivery Report Contents based on project needs and alignment with the optional Delivery Report Template [WZPYVZ], but did not change the sections and text about the Declaration of Integrity (now 8.2.2.1), the Creation & Submittal (now 8.2.2.2), Delivery Report & PPL review (now 8.2.2.4), or PPL contents (moved to go within section 8.2.2.3).</p> <p>Change #2: The IO Process for Reception of Components (Added as reference [17] in this DRR WI) is undergoing IDM-Review and we are now implementing a new concept of performing receipt inspections upon delivery to IO, based upon that shipment's assigned RIL (Receipt Inspection Level), using a graded approach and the DRR Documents to decide and assign the RIL. This change does not impact the Sending Entities/DAs. This step and section was added in the DRR as Section 8.2.4 as an IO-TRO and IO-CMG Responsibility, with IO-CMG taking the lead and initiative with this step based on consultation with the other stakeholders.</p> <p>Change #3: Updated the Workflow flowchart (Section 7) accordingly to adjust the Delivery Report & PPL Section references and add a process block about assigning the Receipt Inspection Levels (RILs).</p> <p>Change #4: Section 8.3, DRR Closeout, changed that IO CMG will do the final verification no later than 5 working days prior to shipment (rather than 10), because since the submittal of this information deadline changed from 30 days to 10 working days (stated in section 8.2.2.2), this closeout timeline needed to be adjusted accordingly.</p> <p>Change #5: Section 9: Responsibilities. Updated the RACI table to adjust the Delivery Report & PPL Section references and add a responsibility step about assigning the Receipt Inspection Levels (RILs).</p>
v1.2	Signed	25 Apr 2019	<p>Implemented comments from Version 1.1 and proceeded in accordance with the agreed upon discussions and path forward (MoM UID is YJRYH3) with the participants whom had comments.</p> <p>The changes include:</p> <p>Adding back in the PA Annex B Template reference</p> <p>Removing "Preliminary" from PPL since this really is the final packing list (with both package and item level details).</p> <p>Eliminated contradictions to the PA Annex B Template requirements</p> <p>Changed Delivery Report and PL submittal to be no later than 15 working days prior to shipment (was 30 days originally, but 10 days in version 1.1)</p> <p>Rewrote Section 8.3 for closeout and introduced the escalation process to the CMG Head.</p>
v2.0	Approved	18 Jul 2019	<p>Summary of changes from version 1.2 include:</p> <p>Reworded "Purpose" to summarize the objective of the DRR.</p> <p>Put in the more detailed image of the Project gates that now shows the DRR relationship to FAT, RN, Authorization to ship, and the other project gates.</p> <p>Rewrote section 2 to define how the PA applicability and implementation of</p>

			<p>this DRR will occur, to new and existing PAs.</p> <p>Removed that this was not applicable to COTS.</p> <p>Added applicability for Free Issue Items (DA to IO to DA).</p> <p>Changed definitions of PIC, PIA, Equipment, PE, & NPE after confirming with F4E and IO Nuclear Safety the best and PA propagated definitions.</p> <p>Removed PLM in definitions and throughout the document as IDM is the only PA approved and official repository at this time for these DA contract deliverables.</p> <p>Added technical definitions of FR, PNI, and SN but still state to reference [10] for the full definitions since Identifiers is a detailed and complex topic</p> <p>Changed CMG to IMLMG (Integrated Material and Logistics Management group) in the definitions and throughout the entire document where CMG was used. This was to align with the new IO construction organization chart.</p> <p>Provided the definition of RIL (Receipt Inspection Level) based on DA and F4E comments and it being a new concept (reference 17).</p> <p>Added some text to reinforce FAT at the DA Site or supplier, clarify the timelines, reemphasize the purpose and principles, and authorize the shipment to proceed by default if no “blocking” points are raised by the IO within 2 weeks of receiving all of the DRR Mandatory Documents.</p> <p>Section 8.3 – Closeout – rewrote and defined the escalation process to have it be a joint decision when major problems and missing documentation arise that is not resolved, which could have cost and schedule impacts.</p>
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1 Purpose

This Level 3 Working Instruction defines the requirements and methods for conducting a Delivery Readiness Review (DRR). The purpose of the DRR is to validate that the IO has the CRN, Delivery Report, the native-file Packing List, the Storage & Preservation requirements, customs documents, and/or any other technical or logistical information that is needed so that the material can be adequately managed through transportation, reception, storage, and ultimately into ITER construction and assembly. This project gate process (see Figure 1 below) is required to be undertaken by IO (ITER Organization) prior to the transportation of Systems, Structures, or Components (SSCs) from a Sending Entity to the ITER Site.

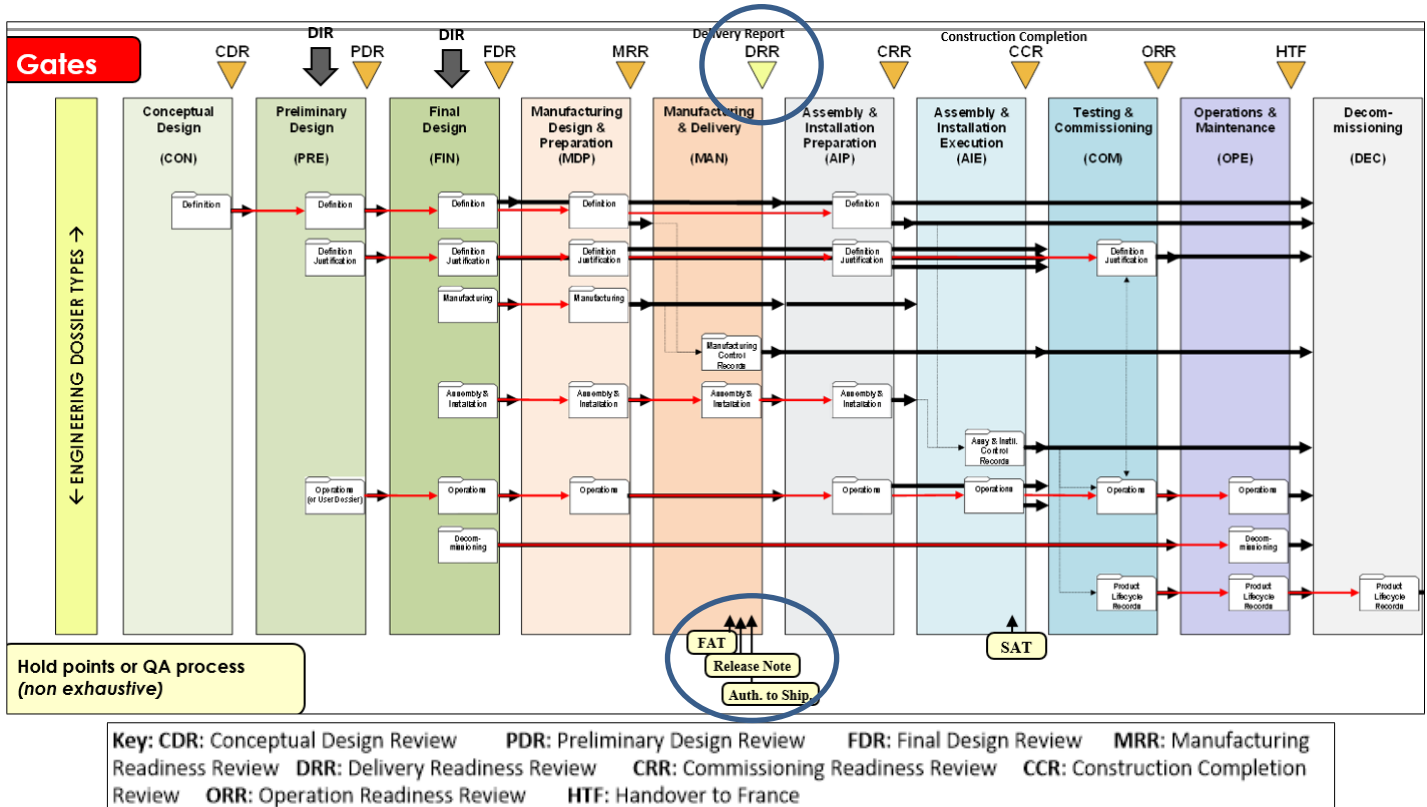


Figure 1 - The ITER Project Phases and Gates.

This document propagates the requirements defined in the Level 2 Procedure for Transportation of Components to the ITER Site [1], in the scope of the IO Management and Quality Programme (MQP) *Handling, Storage, and Transportation* process.

2 Scope

This document is applicable to all SSCs procured directly by the IO (In-Cash) to be delivered to the ITER Site. It is also applicable to In-Kind procurements because this working instruction shall be added to the list of PA AD (Procurement Arrangement Applicable Documents). After this document is approved and therefore the content of the process is finalized, the PA applicability of this working instruction shall be discussed at the EPB (Executive Project Board) level and these members shall agree on the PA implementation in terms of the impacts on new PAs and already existing PAs. This EPB decision shall be communicated to all of the DRR stakeholders.

This process is also applicable to the delivery of free issue items, where the SSC custody goes from the DA to the IO and back to the DA. For example, deliveries to off-site fabricators under the scope or contract of a DA.

The scope of this document starts at the compilation of the manufacturing dossier at the supplier (after manufacturing activities and FAT has been completed), up to and including the release for shipment to the IO. The physical transportation of the SSCs to the IO is outside the scope and is covered by reference [1].

This document does not encompass all of the Sending Entities' and IO's obligations prior to shipping SSCs, therefore documents and requirements mandated in other processes and contracts must still be followed.

The roles and responsibilities associated with the DRR process are defined herein.

3 Definitions and Acronyms

Description	Acronym	Definition
Advanced Logistics Team	ALT	This is a team under IMLMG coordination, comprising of CMA & OLC to carry out logistics planning activities and some of the DRR gate actions. The ALT primary contact is: logistics.data@iter.org
Construction Management as Agent	CMA	In the content of this document, this entity is contracted under the IO to perform Materials Management services, interfacing with the IO, TROs, and installation works contractors.
Integrated Materials and Logistics Management Group	IMLMG	This is the IO group under the Construction Management Office, under the Site Planning & Coordination Section, whom is the [HS] process owner for Handling, Storage, & Transportation of Components and this DRR Process. Note: This [HS] process formerly belonged to “FLM” then “CMG” and therefore may still be referenced as such in various reference documents.
Contractors Release Note	CRN	This is a document signed between parties (IO and performers) to provide confirmation from a performer that the goods or equipment being supplied meet all requirements of the ITER Technical and Quality Specification referenced in the Procurement Arrangement (PA) or Contract. The CRN Template to be used is Reference [4]
Customs Documents	--	The documents to be provided by the sending entity or its supplier to the GLC in order that the GLC can implement the import Customs duty and taxes exemptions, in accordance with reference [8]. The documents in general refer to packing list and pro-forma invoice, but other ad-hoc documents may be requested.
Domestic Agency	DA	An organization set up under the ITER Framework Agreement to provide goods or services to the ITER Organization through Procurement Arrangements (PA) and Task Agreements (TA)

Description	Acronym	Definition
Delivery Report	--	<p>A report containing material and logistical information prepared by the Sending Entity prior to the release of goods to ship. As contractually applicable, the Delivery Report shall contain or reference at a minimum:</p> <ul style="list-style-type: none"> • The packaging date* • Estimated shipping date • Estimated delivery date to IO. • The full address of the place of delivery* • The name of the person/party responsible to receive the package(s)* • The sender's contact information and full address* • A final Packing List containing the number and type of components contained in the package(s)* • The enclosed documentation (what documentation is physically inside the packages)* • The Declaration of Integrity of the components and packages* • Reference to the Contractor Release Note (CRN) • Safety & Quality Class (unless already on PL or CRN) • Recommended Storage Level (A, B, C, or D) • Any additional relevant information on the status of the components* • Reference to the IPL# and the TI # (if known & applicable). <p>* These are normally PA requirements per reference [18] The rest are the IO project needs to manage the material. A Delivery Report Template is available; reference [2]</p>
Delivery Readiness Review	DRR	<p>This is the gate review done in accordance with this working instruction, prior to releasing SSCs to be shipped to the ITER Site*</p> <p>*See <i>ITER Site</i> definition</p>
Equipment	--	<p>Vessels (tanks, heat exchangers, pressurizer...), piping, safety accessories (safety valve, rupture disc...) and pressure accessories (valves, filters...), including, where applicable, elements attached to pressurised parts, such as flanges, nozzles, couplings, supports, lifting lug</p>
Factory Acceptance Testing	FAT	<p>Tests performed at the supplier or manufacturer facility to confirm that the materials were fabricated to the specifications.</p>
Functional Reference	FR	<p>This is the ID-code on a specific item assigned to a specific location on the final design. The basic format for the FR number is:</p> <p>PPPPPP-TTT-NNNN</p> <p>But can get more complex for different types of parts/items.</p> <p>Please see reference [10] for full details.</p>
Global Logistics Contractor	GLC	<p>This is when DAHER INTERNATIONAL (Ref. IO/CFT/12/6000000085) is the Logistics Service Provider (LSP).</p>

Description	Acronym	Definition
General Preservation Coordinator	GPC	Central function (assigned to the CMA) that collects the preservation requirements, defines contract strategy per the requirements, and oversees the execution of preservation.
Hold Point	HP	This is a checkpoint which shall not be bypassed and works may not proceed until the HP criteria have been achieved.
In-Cash Procurements	--	A procurement done by the IO using its own budget.
In-Kind Procurements	--	A procurement done under the responsibility of a Domestic Agency (DA) for providing specific components, equipment, material and other goods and services to be contributed directly to the IO.
Inter-Project Link	IPL	As defined in 77ESZ9
ITER Site	--	In the context of this document: this could be the physical ITER Site in St Paul Lez Durance Cedex, France, a designated off-site storage facility, or directly to an IO contracted entity for use in onsite / offsite manufacturing activities.
Logistics Service Provider	LSP	This is the entity physically transporting the SSCs to the ITER site, providing IO & DAs global transportation, preparation, and handling services. In many cases, the GLC (see GLC definition) will be the LSP.
Manufacturing	Mfg	The process of converting raw materials, components, or parts into finished goods that meet a customer's expectations or specifications.
Manufacturing Dossier	--	Complete dossier that contain all quality documentation and records of the final product or service according to the specified requirements
Nuclear Pressure Equipment	NPE	Equipment in the scope of the French Order dated 30 December 2015 related to Nuclear Pressure Equipment.
On-Site Logistics Contractor	OLC	This is the external intervener at the IO site responsible for performing warehousing and Materials Management activities including: handling, receiving, storage, preservation, inventory, and issuance to construction.
Part Number of ITER	PNI	<p>This is the part number of the item which must be consistent and match between the drawings, the BOMs, and the entered/catalogued number as the key identifier in SMat. This PNI should additionally be stated on the packing list. This number follows a variety of formats & structures (for example many PNIs follow structure I00AAAAAA or INN>NN>NN>NN but PNI's are unique to that item and therefore the structure and length may vary).</p> <p>For more details on PNI please reference [10].</p>
Performer	—	An all-inclusive term used to cover Domestic Agencies, Suppliers and Subcontractors

Description	Acronym	Definition
Packing List	PL	<p>A detailed native-file package and item-level packing list provided by the sending entity to the IO & LSP containing at a minimum:</p> <ul style="list-style-type: none"> • Description of each component • Unique Identifier – (PNI/FR/SN) of each item-type • Quantity per item-type (with units of measure) • Package/case number for each component. • Quantity of packages. • Package weights & dimensions • Description or list of contents contained in each package • Declaration of any hazardous goods or chemicals (i.e. paints, oils, acids, solvents, etc.). <p>A PL template is available as reference [5]</p>
Pressure Equipment	PE	Equipment in the scope of the Pressure Equipment Directive 2014/68/UE.
Protection Important Activity	PIA	<p>As per articles 1.3 and 2.5.2 of the Order of 7 February 2012: “Activity important for protecting the interests mentioned under Article L. 593-1 of the Environmental Code (nuclear security – i.e. nuclear safety, radiation protection, the prevention and fight against malicious acts, and also civil security actions in the event of an accident –, public health and sanitation or protection of nature and the environment), i.e. activity that falls under the technical or organizational provisions mentioned under the second paragraph of Article L. 593-1 of the Environmental Code or that is liable to affect them;” In practice, for the scope of this working instruction, it means “Any activity which is related to or can impact the proper functioning of a Protection Important Component, during the design, manufacturing, assembly and operation and decommissioning of ITER facility”. As stated in article 2.5.2 of the INB order, a list of ITER Protection Important Activities (PIA) and their related Defined Requirements shall be set up and kept updated by IO. The identification of Protection Important Components and of Protection Important Activities and associated Defined Requirements is also a PIA</p>
Protection Important Component	PIC	<p>Specific category of SSC as defined per articles 1.3 and 2.5.1 of the Order 7th February 2012. PIC and SSC have the same definition:</p> <p>In practice, for the scope of this working instruction, it means any system/component whose correct operation under normal and accident conditions is necessary for ensuring the effectiveness of the nuclear and non-nuclear safety functions of ITER. As stated in article 2.5.1 of INB order, the list of ITER Protection Important Components (PIC) and their related Defined Requirements shall be set up and kept updated by IO</p>

Description	Acronym	Definition
Receiving Inspection Level	RIL	The full definition is provided in reference [17], but this is the inspection level assigned to SSC upon delivery which dictate the extent of the receipt inspection. There are 4 RILs from package-level only (RIL-4) to 100 % inspection for quantity, damage, cleanliness, and identification with the presence of IO TRO and IO QARO (RIL-1). RIL-2 & RIL-3 are sample (between 10% and 100%) component-level inspections with either IO TRO or QARO presence (RIL-2) or done solely by the warehouse team (RIL-3).
Required At Site	RAS	This is the date in which the SSC is required at site and should also be the delivery date.
The Sending Entity	--	The party whom holds responsibility for the manufacture and packaging of components. In the case of in-kind procurement, this is the DA, and in the case of in-cash procurement, this is the IO supplier.
Shall	—	Indicates a mandatory requirement
Should	—	Indicates a recommendation
Shipment	--	The scope of a shipment is decided by the Sending Entity, but the ratio is 1 DRR : 1 Delivery Report : 1 CRN : 1 shipment. A shipment should also be just 1 packing list (PL) with specific delivery dates, but it is acceptable for a single shipment to have multiple PLs and a range of delivery dates.
Smart Materials	SMat	IO software tool used to control and manage material used in the construction of ITER.
Serial Number	SN	This is the manufacturer's identifier which shall be identified and labelled physically on the item itself and also be stated on the corresponding documentation (i.e. Packing List). See reference [10] for more details if needed.
Safety Responsible Officer	SRO	In the context of this document, this is the IO person whom ensures that components with special classifications (PIC, SIC 1 & 2, PE, NPE, etc.) are meeting their respective safety requirements.
Systems, Structures, and Components	SSCs	A general term encompassing all of the elements (items) of a facility. Structures are the passive elements: buildings, vessels, shielding, etc. A system comprises several components, assembled in such a way as to perform a specific (active) function. A component is a discrete element of a system.
Technical Responsible Officer	TRO	Technical Responsible Officer, responsible for all technical / functional matters associated with a particular plant system. In the context of this document “TRO” alone means the IO PBS TRO
Unique Identifier	UID	This is the document reference number. Typically this is an IDM 6-digit Number (i.e. ABC12D)

4 Reference Documents

[1]	ITER_D_RY5C6Q - Procedure for Transportation of Components to ITER Site
[2]	ITER_D_WZPYVZ - Delivery Report Template
[3]	ITER_D_22F52F - Requirements for Producing a Contractors Release Note
[4]	ITER_D_QVEKNQ - Release Note Template
[5]	ITER_D_XBZLNG - Package & Packing List Template
[6]	ITER_D_WML9CF - Procedure for the Preservation of Equipment
[7]	ITER_D_WU9636 - Template - Equipment Storage & Preservation Requirements Form
[8]	ITER_D_LF4QST - Procedure for the Import and Export of Goods
[9]	ITER_D_U344WG - Procedure for Identification and Controls of Items
[10]	ITER_D_28QDBS - ITER Numbering System for Components and Parts
[11]	ITER_D_VYJ7U2 - Procedure for Labelling on Physical Items
[12]	ITER_D_2EXFXU - Sign-Off Authority for Project Documents
[13]	ITER_D_VS74XJ - CRN & Manufacturing Dossier Review Checklist
[14]	ITER_D_WCGGUH - TDFC Shipping or Logistics Record T5.1 S3
[15]	ITER_D_G8UMB3 - IO / In-Cash Contractor Documentation Exchange and Storage Working Instruction
[16]	ITER_D_35BVQR - IO/DA Documentation Exchange and Storage
[17]	ITER_D_RXCTBZ - Procedure for Reception of Components at the ITER Site
[18]	ITER_D_28B3SF - Annex B Template Technical Functional Specification
[19]	ITER_D_WRCKZB - WI for Preservation Activities during Storage, Construction and On site before turnover

5 Basic Principles & DRR Prerequisites

This gate review process is to ensure the required and relevant documentation and data has been provided in accordance with the contractual requirements and MQP procedures; such as having a unique identifier for each item-type, matching part numbers on goods and packing list, preservation & storage requirements, that the Delivery Report and Contractor Release Note are reviewed and approved, etc.. Furthermore, the part numbers physically on the goods and the packing list also need to match the as-designed and as-manufactured BOMs (Bill of Materials).

After the MRR (Manufacturing Readiness Review) and all associated prerequisites are met (i.e. the defined PNI/FR/SN are identified on the BOMs and as-built drawings), the IO PA TRO (In-Kind) or the IO-TRO (In-Cash) needs to compare the As-designed BOM to the As-manufactured BOM and notify directly to the IMLMG if there are any discrepancies or deviations so that the PO (Purchase Order) can be updated accordingly. In other words, upon completion of manufacturing, once the delivery configuration is known, the associated data for each IDI (Individual Distinguishable Item) needs to be notified to the IMLMG for PO update prior to commencing the DRR.

Regarding the timeline of the DRR and its prerequisites, the BOMs should typically be submitted prior to manufacturing. Then once manufacturing is complete, the FAT should be done at the supplier or DA site. Once all technical documents and testing is complete, this is assembled and compiled into the Manufacturing Dossier, which then must be reviewed by the IO (first step in the DRR). If all of the technical and manufacturing data and documentation is ok, this is validated via an approved CRN. At that point in time, the SSC can be packaged, then the detailed packing list (including package weights and dimensions) and Delivery Report (containing other logistical information) can be compiled and submitted to the IO and ALT following the methods and rules described in this DRR process.

Prior to the DRR process commencing, it is the responsibility of the IMLMG to ensure that these requirements have been communicated and propagated, according to the relevant PA and contract management procedures, to the Sending Entities and the IO-TROs. For In-Kind, this propagation goes through the IO PA TROs. Thereafter, it is the responsibility of the Sending Entities and the IO-TROs to provide the UUIDs of the DRR Mandatory Documents back to the IMLMG & ALT (logistics.data@iter.org), allowing adequate time for these documents to be reviewed, reworked and resubmitted (if need be), and approved prior to releasing the components for shipment.

The DRR is a Hold Point, and therefore it shall be fully completed by all of the concerned stakeholders before the transportation of components to the ITER Site begins. However, if no blocking points are raised by IO within 2 weeks of receiving the sending entity's DRR Mandatory documents (CRN, Delivery Report, and item-level, native-file packing list), the shipment is automatically authorized to proceed as planned.

A DRR shall be executed for each shipment planned to IO and other sites where free issued items are delivered, as applicable (see Section 2) before IO obtains final custody. The scope of a shipment is decided by the Sending Entity, but for each shipment there shall be 1 Delivery Report and 1 CRN, encompassing the same scope. A shipment should also be just 1 packing list (PL) with specific delivery dates, but it is acceptable for a single shipment to have multiple PLs and a range of delivery dates.

If the LSP is the GLC, the sending entity shall provide the Technical Information (TI) to the GLC in accordance with the lead times as defined in reference [1]. This creates a TI number that should be referenced within the Delivery Report to alleviate duplication of information.

The Technical Document Family Card (TDFC) for Shipping and Logistics Records and associated with this process is reference [14]. This TDFC is not a PA AD and therefore only applicable to the IO.

If the ITER components are to be transported from non-EU countries to the ITER site, the sending entity shall provide the customs documents to the GLC in accordance with reference [8].

All components to be shipped to IO shall be identified and controlled in accordance with reference [9] using the PNI/FR/SN numbering system in accordance with reference [10] and the components and their packages shall be physically tagged and labelled per reference [11]. Every item-type shall have a unique identifier in accordance with these procedures.

6 DRR Mandatory Documents

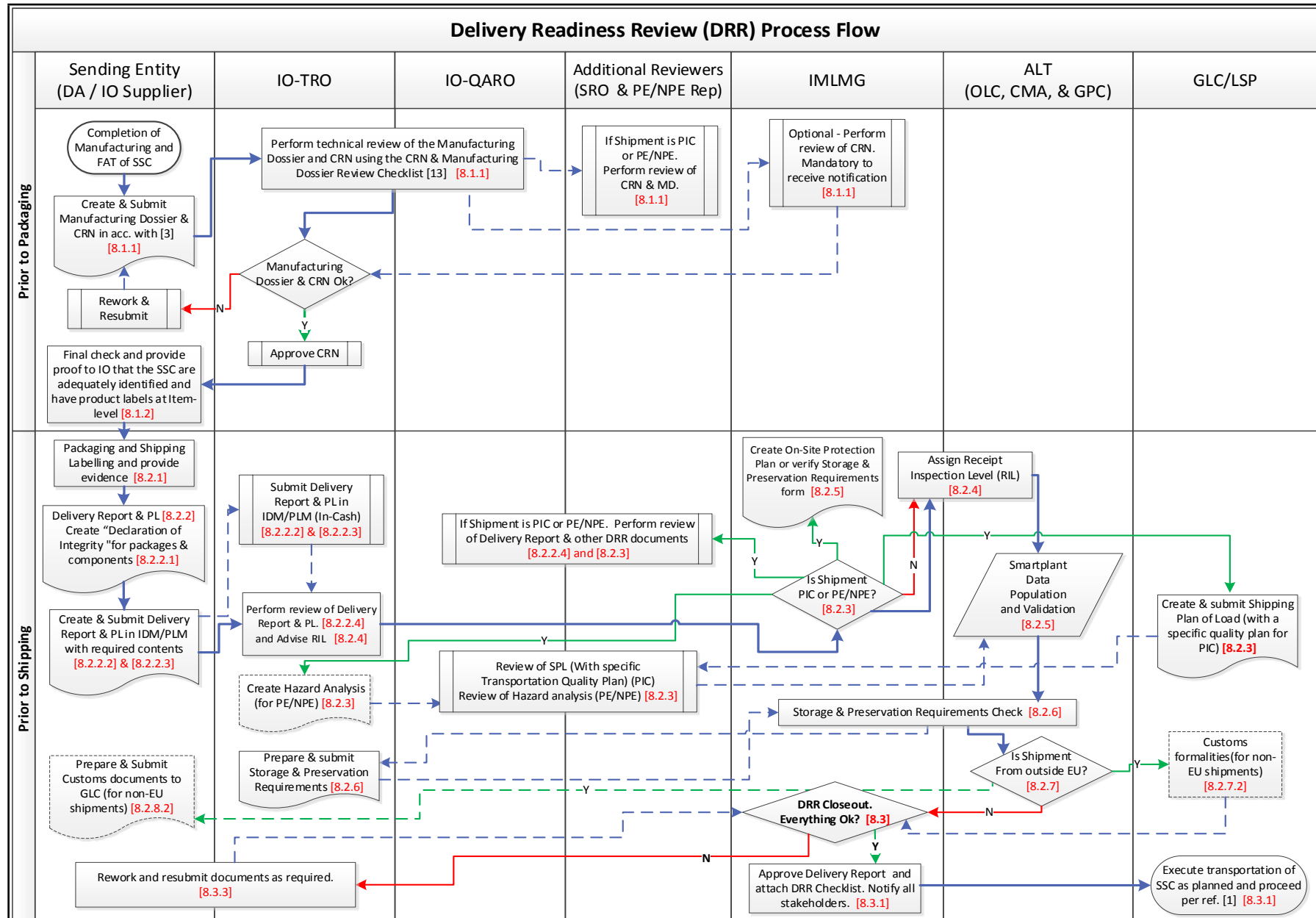
Name of the Document *	Template	Storage Location	IDM Document Type	Naming Convention	Accountable team for providing	When to provide
Contractor Release Note (CRN)	QVEKNQ	IDM in acc. with [15] (in-cash) or [16] (In-Kind)	[Q]-Contractor QA Release Note	Contractors Release Note for (<i>Shipment Description</i>)	Sending Entity	Prior to packaging the SSCs
Delivery Report	WZPYVZ	IDM <i>In Cash</i> - under FFYUFE in acc. with [15]. <i>In Kind</i> - in Folder # 10 “Reviews” in acc. with [16].	[Q]-Delivery Report	Delivery Report for (<i>Shipment Description</i>)	Sending Entity creates. Archived by: IO TRO (for <i>In Cash</i>) or DA Representative (for <i>In Kind</i>)	After packaging, prior to shipping.
Packing List (PL)	XBZLNG or supplier/D A can use their own.	Attached to the Delivery Report metadata (IDM)	N/A	PL for (<i>Shipment Description</i>)	Same as for Delivery Report	After packaging, prior to shipping.
Equipment Storage & Preservation Requirements Form**	WU9636 or similar document.	IDM in X86LCJ	[HS]-Equipment Preservation Requirements	Storage & Preservation Requirements for (<i>Item-type & Description</i>)	IO PBS TRO	Prior to transportation

* Additional DRR Mandatory documents are required for PIC, PE/NPE, & Hazardous Goods/Chemicals. See section 8.2.3 for details.

** It is acceptable to reference an existing “Equipment Storage & Preservation Requirements” document if one has already been created and provided previously to the IMLMG and ALT for the same item-type(s).

Note: these UIDs need to be communicated to the IMLMG and logistics.data@iter.org by the IO TRO.

7 Workflow



8 Workflow Description

8.1 Workflow - Prior to Packaging

8.1.1 CRN & Manufacturing Dossier

Following the completion of manufacturing and the FAT, but prior to packaging the SSCs, the Sending Entity shall prepare a manufacturing dossier and a CRN in accordance with reference [3] using template [4]. The submittal and review of the CRN shall be done in accordance with reference [12] using the document exchange methodology defined in [15] for In-Cash or [16] for In-Kind.

The IO-TRO and IO-QARO both shall perform a technical review of the CRN and manufacturing dossier using reference [13]. The IMLMG shall either be directly a reviewer of the CRN or be notified by the IO-TRO of the CRN UID, per reference [12]. This notification should happen automatically if the [\[Q\]-Contractor QA Release Note](#) doc-type is chosen for the CRN.

If the shipment is PIC or PE/NPE then this technical review shall additionally be done by the SRO or the PE/NPE network representative, respectively.

The IO-TRO shall not approve the CRN until they receive confirmation from the IO-QARO that the *CRN & Manufacturing Dossier Review Checklist [13]* has been fully completed and accepted without any major issues.

8.1.2 Component-Level Identification & Labelling Verification

In parallel to this CRN and manufacturing dossier review cycle, the Sending Entity shall perform a final verification that the SSC has the necessary identification and product labels for each item-type, in accordance with references [9],[10], & [11].

Additionally, the Sending Entity shall provide evidence (i.e. pictures or inspection reports) to the IO that they have complied with these Identification and Labelling requirements, as applicable.

8.2 Workflow – Prior to Physical Transportation

8.2.1 Packaging & Shipping Labelling

Following the approval of the CRN, the Sending Entity shall package the SSC with care and shall follow the requirements for physically creating and applying the shipping labels in accordance with [11]. There may be special packaging requirements for PIC, QC1, QC2, hazardous goods/chemicals, and/or PE/NPE. If these special packaging requirements exist in the PAs or IO direct contracts, the Sending Entity shall provide evidence (i.e. pictures or inspection reports) to the IO that they have complied with these requirements.

8.2.2 Delivery Report & Packing List

8.2.2.1 Declaration of Integrity of Components & Packages

After packaging, the Sending Entity shall create a “Declaration of Integrity” document ensuring the integrity of the items and the packages, as required by references [1] and [18].

This “Declaration of Integrity” shall be included within or referenced within the Delivery Report.

8.2.2.2 Delivery Report & Packing List - Creation & Submittal

The Sending Entity shall prepare and submit a Delivery Report and a corresponding PL for each shipment per [1] and [18]. They should use templates [2] & [5] respectively. Please follow the methods and doc-types as detailed in the table in section 6 -DRR Mandatory Documents when uploading to IDM. Detailed instructions are provided within the Delivery Report Template [2]. This submittal for review of these two DRR inputs shall occur no later than 15 working days prior to the planned shipment date to ensure that adequate time is provided for these documents to be reviewed, reworked and resubmitted (if need be), minimizing the risk of delaying the shipment.

For In-Kind procurements, the IDM author is a representative from the respective DA. For In-Cash procurements, the IDM author is the IO-TRO in accordance with [12].

8.2.2.3 Delivery Report & Packing List - Contents

As applicable, the Delivery Report shall contain or make reference to all of the information as listed in the Definitions and Acronyms section of this working instruction.

Additionally, the corresponding Packing List (PL) shall be linked to the Delivery Report (usually attached to the Delivery Report metadata), be in native-file format (i.e. Microsoft Excel), and shall contain the information as listed in the Definitions and Acronyms section.

8.2.2.4 Delivery Report & Packing List – Review

The review of Delivery Reports shall be done in accordance with reference [12]. The IMLMG and ALT will receive automatic notifications when the correct doc-type is chosen ([\[Q\]-Delivery Report](#)).

In cases of PIC or PE/NPE, additional reviewers are required for the Delivery Report (SRO, QARO, PE/NPE Network representative).

8.2.3 Additional Actions for Shipments with Special Classifications

When the Delivery Report & PL documentation designates that the shipment is PIC, PE/NPE, or hazardous goods, the following actions are required and the IMLMG shall verify that these documents have been submitted and approved at this stage of the DRR;

- Either an On-Site Protection Plan per reference [1] or reference(s) to those item-types’ Equipment Storage & Preservation Requirements Forms (see section 8.2.6).
- For PIC: The LSP shall prepare a Shipping Plan of Load (SPL) with a specific transportation quality plan containing special requirements for the lifting, handling, etc. These records are stored in IDM in folder [S2P5LZ](#)
- For PE/NPE or hazardous goods: A hazard analysis and specification for the transportation and storage shall be prepared by the IO-TRO per reference [1], with the assistance of the IMLMG, LSP, and OLC as need be.
- Hazardous Goods/Chemicals are required to have a MSDS (Material Safety Data Sheet) prepared as per European directives and legislation. Therefore, an MSDS, translated to

French, should be provided by the Sending Entity to the IO and LSP. If French is not possible then it must be in English as that is the IO project language.

The records listed in this section 8.2.5 shall all be archived in IDM and shall all reviewed by the IMLMG, SRO, QARO and approved by the IO-TRO. PE/NPE associated documentation shall additionally be reviewed by the PE/NPE network representative. This sign-off authority is in accordance with [12].

8.2.4 Assigning Receipt Inspection Levels (RILs)

This concept is further defined in reference [17] but the extent of receipt inspections upon delivery to ITER Site will be according to the shipment's assigned Receipt Inspection Level (RIL). During this DRR process, the IO TRO should inform the IMLMG of the preferred RIL, details of what extent of the components and packages to inspect, and if themselves or the IO QARO needs to attend the receipt inspection. Without this information, the shipment will be assigned a RIL-3 as a default to check the components for quantity, cleanliness, damages, and identification. This RIL is confirmed and adjusted if need be via a periodic RIL meeting by the involved IO Stakeholders, taking into consideration the criteria defined in [17] and additionally;

- cost and schedule impact,
- priorities and products criticality,
- if the products were already inspected by IO staff (qualified inspectors) at manufacturer site before delivery,
- if products are considered raw materials, etc.

If any DA TRO or IO TRO decides that they do not want any of the packages opened upon delivery, this shall be communicated directly to the IMLMG and logistics.data@iter.org prior to delivery.

8.2.5 Smartplant Data Validation

Upon receipt and notification of the Delivery Report and corresponding PL, the ALT shall ensure that the shipments' attributes are populated into the SMat database. There are numerous attributes, but at a minimum, the following shall be populated for each line item/tag number:

- Identifiers for each item-type (Tag Number or Commodity Code fields) as being the PNI/FR/SN provided.
- Quantities with UOM (Units of Measure) for each item-type
- Estimated Delivery Date or RAS (Required at Site) Date
- PIC = yes or no
- PE/NPE = yes or no
- Hazardous goods or chemicals = yes or no
- Quality Class (QC1, QC2, QC3, QC4)
- CRN UID
- Delivery Report UID
- Storage Level (A, B, C, or D)
- Periodic Preservation = yes or no
- Preservation Requirements UID, (see 8.2.6)

Upon completion of this attribute population and/or data validation, the ALT shall notify the IMLMG that this step has been satisfied. If there is any missing information, the ALT shall comment accordingly on the Delivery Report or directly contact the IO-TRO and Sending Entity to obtain the missing data.

8.2.6 Storage & Preservation Requirements Check

The IO-TRO shall prepare and submit to the IMLMG, SCOD representative, & GPC an Equipment Storage & Preservation Requirements Form or similar document per references [6] and [19] using the template and method as described in the table in section 6 -DRR Mandatory Documents.

The Manufacturing Dossier or Manufacturer's Operations or Maintenance Manuals should state or reference the equipment's storage level and preservation recommendations. These recommendations are solidified into hard requirements when the IO-TRO provides the Equipment's Storage & Preservation Requirements Form [7] (or similar document) in accordance with [19], which defines and specifies the requirements through all 3 stages of the SSC lifecycle until turnover. This document shall be provided prior to SSC delivery, but can be modified later as the concerned SSC progresses through the 3 preservation stages (I. Storage, II. During assembly & installation, and III. After installation before turnover).

The information that shall be provided via this form or a similar document is:

- Component-type & description
- Special Classifications (PIC, PE/NPE, Hazardous Goods/Chemicals, or none)
- The storage level
- Storage duration limit (if any). AKA "Shelf-life"
- Explicit yes/no determination if periodic preservation is needed.
- Mandatory information if periodic preservation = yes;
 - The preservation activities
 - Frequencies of those activities
 - Applicable stages (I, II, and/or III).

The ALT shall actively request this information from the IO-TRO as part of the DRR process and shall assure that this UID reference is populated with the above information. Once verified, the IMLMG shall proceed with the DRR. If any of this information is missing, the GPC shall directly contact the IO-TRO to obtain it, escalating to the IMLMG only if need-be. Once this information is verified and executable, the IMLMG shall continue with this DRR process.

8.2.7 Import/Export Control Check

8.2.7.1 Shipments with origin inside the EU

Shipments being delivered to the IO that are coming from within the EU automatically receive the custom duties exemptions and therefore no action is needed to be taken for these cases in terms of customs documentations.

8.2.7.2 Shipments with origin outside the EU

For shipments coming from outside of the EU, upon receipt of the Delivery Report and PL, the ALT shall notify the GLC of this upcoming shipment so they can plan & proceed with the

customs documentation in accordance with [8]. Then, the Sending Entity shall directly work the GLC to provide all of the necessary customs documentation prior to shipment in accordance with [8], and this should be at least 10 working days prior to the scheduled shipping date to mitigate the risk of customs delays.

After the ALT confirms from the GLC that this shipment is known, planned, and the customs documentation will be completed by the required date (based upon the proposed shipment date), the IMLMG deem this step satisfactory and proceed with the DRR. Thereafter, the responsibility for the execution & completion of the customs documentation lies with the GLC.

8.3 DRR Closeout

As early as possible when the DRR mandatory documents go into IDM, the IO TRO should send an email to the IMLMG and logistics.data@iter.org listing the UIDs for the CRN, Delivery Report (with Packing List), and the Storage/Preservation Requirements document associated with the upcoming shipment.

After the DRR steps have been completed per sections 8.1 & 8.2, and no later than 5 working days prior to the planned shipment date, the IO TRO, IMLMG, and all other involved reviewers shall have completed their respective DRR actions. At or prior to this time, the IMLMG & IO TRO will do a final verification using the DRR Checklist (Appendix I) as a guideline/tool to ensure that:

- a) CRN & Manufacturing Dossier review & approval is complete
- b) Delivery Report contains all of the required contents
- c) That the PL linked to the Delivery Report and shipment has unique identifiers for each item type and contains the minimum required contents.
- d) The ALT has confirmed all the required attributes have been populated into SMat, update their shipments forecast report, and notify the GLC for Customs.
- e) The ALT has confirmed that the proposed delivery address and Storage/Preservation requirements is compatible/consistent with their Storage Plan.
- f) The additional documentation has been provided, reviewed, and approved for shipments with special classifications (i.e. PIC, PE/NPE, Hazardous Goods).
- g) The Storage & Preservation Requirements Check has been performed and requirements provided.
- h) Customs Documentation is submitted and controlled (if applicable).

The DRR is a Hold Point, however, if no blocking points are raised by IO within 2 weeks of receiving all of the sending entity's DRR Mandatory documents, the shipment is automatically authorized to proceed as planned.

This final DRR check has 3 possible outcomes:

- a) DRR Successful
- b) DRR Conditionally Successful
- c) DRR Unsuccessful

8.3.1 DRR Successful

In the event the DRR confirms that all of the steps have been satisfactorily completed, the DRR is considered Successful.

In these scenarios, the IMLMG will approve the Delivery Report, signifying that the shipment is released. At this time, the IMLMG shall notify all the key concerned stakeholders (IO-TRO, Sending Entity, the ALT, LSP, and SRO (for PIC)) that the Delivery Report is approved and the SSC is released for shipment. An approved Delivery Report (where IMLMG is the approver and the IO-TRO is the author or reviewer with no open comments) signifies that the shipment is authorized by the IO to be transported as planned.

In any and all cases where the LSP is not the GLC, the LSP shall send copies of the driver's identification (ID) cards to logistics-planning@iter.org at least 2 working days prior to ITER Site delivery to ensure access to the delivery location.

8.3.2 DRR Conditionally Successful

In the event the DRR confirms all prerequisites are not fully in place and accepted by the IO, but the outstanding items are deemed minor / administrative related issues, the DRR can be (at the discretion of both the IMLMG and IO TRO, additionally SRO and QARO for PIC) considered conditionally successful.

In these scenarios, the IMLMG will approve the Delivery Report using the DRR Checklist (Appendix I) as a guideline for the acceptance criteria and attach this checklist to the metadata of the Delivery Report.

This DRR Checklist and the Delivery Report IDM comments shall identify and state the outstanding items as actions to be addressed by the Sending Entity or the IO-TRO and a target date for closure of these actions shall be identified.

At this time, IMLMG shall notify all the key concerned stakeholders (IO-TRO, Sending Entity, the ALT, LSP, and SRO (for PIC)) that the SSC is released for shipment and transportation can proceed as planned, but it does not relieve/dismiss the obligations for the responsible stakeholder(s) to complete their respective open action(s).

8.3.3 DRR Unsuccessful

When the DRR identifies that mandatory information is missing and there are significant open issues identified by either the IMLMG or IO-TRO, then these open and unresolved issues will be identified on the DRR Checklist (Appendix I) and forwarded/escalated to the IO Construction Management Head (or delegate), whom at this time shall converse with the DA PA TRO (In-Kind) or the IO PCD Head (In-Cash) to:

- Authorize the shipment to be released from the DA's/supplier's/manufacture's facility or hold/delay/cancel the shipment.
- If the decision is to hold/delay the shipment, decide which party should absorb the cost.
- Decide and communicate the path forward and action items to the concerned stakeholders.

For in cash contracts, the suppliers should be held liable for the additional costs of delaying the shipment due to wrong/missing required information.

In these rare cases where this decision has been escalated to this level, the LSP and Sending Entity are not authorized to ship the items until clearance has been granted by either the IO Construction Management, DA PA TRO, or the IO PCD Head.

9 Responsibilities

Legend Responsible (Doer) Accountable (Approver) Consulted (Contributor/Reviewer) Informed (User)	Sending Entity (DA TRO for In-Kind, IO TRO or IO Supplier for In-Cash)	IO-TRO	IO-QARO	Additional Reviewers (SRO and/or PE/NPE Rep)	IMLMG	ALT (OLC, CMA, & GPC)	GLC/LSP
1. Completion of Manufacturing and FAT of SSC. [Sec. 8.1.1]	R, A	I	I				
2. Compile manufacturing documents & prepare Manufacturing Dossier & CRN in acc. with [3] & [4]. [Sec. 8.1.1]	R, A	C	C				
3. Review Manufacturing Dossier & CRN using [13] [Sec. 8.1.1]	I	A, R	R	C (if PIC or PE/NPE)	I	I	
4. Verify that Items are labelled & identified in acc. with [9], [10], & [11]. [Sec. 8.1.2]	R, A	C	C	C (if PIC or PE/NPE)	C		
5. Provide objective evidence of step 4. (i.e. pictures) [Sec. 8.1.2]	R, A	I	I	I (if PIC or PE/NPE)	I	I	
6. Package the components	R, A	C	C		C		
7. Apply package labels and provide evidence. [Sec. 8.2.1]	R, A	I	I	I (if PIC or PE/NPE)	I		
8. Compile Delivery Report with Declaration of Integrity within. [Sec. 8.2.2.1 & 8.2.2.2]	R, A	C	C	I (if PIC or PE/NPE)	C		
9. Review Delivery Report [Sec. 8.2.2.4]	I	R	R	R (if PIC or PE/NPE)	A	I	I
10. PIC Shipments – Prepare & Submit SPL (Shipping Plan of Load) [Sec. 8.2.3]	I, C	I, C	C	C	C	I	R, A
Legend	Sending Entity	IO TRO	IO-QARO	Additional	IMLMG	ALT	GLC/LSP

Responsible (Doer) Accountable (Approver) Consulted (Contributor/Reviewer) Informed (User)	(DA TRO for In-Kind, IO TRO or IO Supplier for In-Cash)			Reviewers (SRO and/or PE/NPE Rep)		(OLC, CMA, & GPC)	
11. PIC – Shipments - Create & Submit On-Site Protection Plan or Specific Equipment Storage & Preservation Requirements Form. [Sec. 8.2.3]	I, C	R	C	C	A	C	I
12. PIC – Shipments - Create & Submit Hazard Analysis [Sec. 8.2.3]	C	R, A	I	C	I	I	I
13. For Hazardous Goods/Chemicals – Submit MSDS [Sec. 8.2.3]	R, A	C	I	I	I	C	I
14. Assign Receipt Inspection Level (RIL) [8.2.4]	I	R	C	C (if PIC or PE/NPE)	R, A	C	I
15. Input all data (both package and component/item-level) into SMat and populate required attributes. [Sec. 8.2.5]					I	R, A	
16. Prepare & Submit Storage & Preservation Requirements [Sec. 8.2.6]	C	R, A		C (if PIC or PE/NPE)	C	C	I
17. Obtain Missing Storage & Preservation requirements & Execute Requirements [Sec. 8.2.6]		C			I	R, A (GPC task)	
18. Import/Export Control Check (prepare & submit Customs Docs) [8.2.7]	C	I			A		R (GLC task)
19. DRR Closeout and Acceptance [Sec. 8.3]	I	R, C	C	C (if PIC or PE/NPE)	R, A (See 8.3 for escalation)	C	I
20. Ship the SSC once DRR is approved. Send driver's ID cards to OLC [Sec. 8.3.1]	C	I			I	I	R, A

10 Outputs & Records

Name of the output	Template	Output Storage Location	IDM Document Type	Naming Convention	Accountable team for the availability of the output	Retention period
DRR Checklist	Appendix I	IDM - Attached to Delivery Report Comments (when needed)	N/A	<i>N/A</i>	IMLMG	Until goods are received and no data or other open issues exist.
Contractor Release Note (CRN)	As described in Section 6				IO TRO	Until Testing & Commissioning is complete
Delivery Report with PL and Declaration of Integrity	As described in Section 6				DA TRO (In Kind) IO TRO (In Cash)	Until Testing & Commissioning is complete
Equipment Storage & Preservation form	As described in Section 6				IO TRO	Until Testing & Commissioning is complete

Appendix I – DRR Checklist

Section 1 – SHIPMENT INFORMATION

Shipment Description Name(s):

Special Classifications:	None: <input type="checkbox"/>	PIC: <input type="checkbox"/>	PE/NPE Equipment <input type="checkbox"/>	Hazardous Goods/Chemicals: <input type="checkbox"/>
	Other (Specify :) <input type="checkbox"/>			

IO PBS & Sending Party:

CRN UID:

Package Quantity & type:

Delivery Report UID(s):

Receiving Inspection Level (RIL):

Storage & Preservation Requirements UID(s):

Additional Information: (i.e. proposed shipment date, special instructions, exceptions, etc.)

Section 2 – DRR Checklist Criteria

	YES	NO	N/A
Has the BOM (Bill of Materials) been received from the IO PA TRO or IO TRO?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the PO been created in Smartplant Materials (SMat)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has all the required attributes been populated into SMat?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have all of the required Manufacturing Dossier documents been provided to the IO Stakeholders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have these Manufacturing Dossier documents completed their Technical Review per the “CRN & Manufacturing Dossier Review Checklist”? (See VS74XJ)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the Sending Entity provided proof that the Identification and Markings are in accordance with U344WG, 28QDBS, and VYJ7U2?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the Contractor’s Release Note (CRN) been completed, signed, and approved? (See 22F52F) <i>Record this UID in Section 1</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the Delivery Report been completed, signed, and approved? (As applicable) <i>If applicable, record this UID in Section 1</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the Packing List been provided and is ok?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the Storage and Preservation Requirements been provided yet by the IO-TRO? <i>If yes, record this UID in Section 1</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the GLC been notified to handle the customs documentation? (See LF4QST)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are there any open Nonconformances, Deviations, or other issues? <i>If “yes” list them in the next block.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

List the open NCRs, Deviation Requests or other issues:

Is this shipment released for Transportation: YES ☐ NO ☐

ITER Technical Responsible Officer (TRO):

ITER IMLMG / Transportation & Logistics RO:

Name

Date

Signature

Name

Date

Signature

Comments:

Comments:

Section 3 – Additional Criteria for PIC, PE/NPE, or Hazardous Goods/Chemicals

	YES	NO	N/A
If shipment contains Hazardous Goods or Chemicals, has the Manufacturer's MSDS (Material Safety Data Sheet) been provided to the LSP and IMLMG?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If PE/NPE (Pressure Equipment/Nuclear Pressure Equipment) AKA ESPN, has the hazard analysis been completed and approved in accordance with RY5C6Q?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If PIC, has an On-Site Protection Plan or an adequate Storage & Preservation Plan been created and approved in IDM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If PIC, has a Shipping Plan of Load (SPL) with a specific Transportation Quality Plan been created and approved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If PIC, are there specific packaging requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If yes to the above question, has the sending entity provided proof/verification that these requirements have been satisfied?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Comments:

<p>ITER Technical Responsible Officer (TRO):</p> <div style="display: flex; justify-content: space-between;"> <div>_____ <i>Name</i></div> <div>_____ <i>Date</i></div> <div>_____ <i>Signature</i></div> </div> <p>Comments:</p>	<p>ITER IMLMG / Transportation & Logistics RO:</p> <div style="display: flex; justify-content: space-between;"> <div>_____ <i>Name</i></div> <div>_____ <i>Date</i></div> <div>_____ <i>Signature</i></div> </div> <p>Comments:</p>
<p>ITER PBS Quality Responsible Officer (QARO):</p> <div style="display: flex; justify-content: space-between;"> <div>_____ <i>Name</i></div> <div>_____ <i>Date</i></div> <div>_____ <i>Signature</i></div> </div> <p>Comments:</p>	<p>ITER Safety Responsible Officer (SRO):</p> <div style="display: flex; justify-content: space-between;"> <div>_____ <i>Name</i></div> <div>_____ <i>Date</i></div> <div>_____ <i>Signature</i></div> </div> <p>Comments:</p>
<p>Other (Specify):</p> <div style="display: flex; justify-content: space-between;"> <div>_____ <i>Name</i></div> <div>_____ <i>Date</i></div> <div>_____ <i>Signature</i></div> </div> <p>Comments:</p>	<p>Other (Specify):</p> <div style="display: flex; justify-content: space-between;"> <div>_____ <i>Name</i></div> <div>_____ <i>Date</i></div> <div>_____ <i>Signature</i></div> </div> <p>Comments:</p>