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OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

Title: **TECHNICAL DOCUMENT INPUT CONTROL**

Procedure No.:
QAAP 3.6

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Concurrence

Date: **9-21-90**

Approval

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1.0 PURPOSE

1.1 The purpose of this procedure is to provide the approved methods for identifying and ensuring control over inputs used in preparation of program technical documents and in changes to inputs used. A list of inputs used and the tracking of changes to inputs, and their impact on the technical documents, shall be required as a part of this process.

2.0 SCOPE

2.1 This procedure applies to OCRWM-HQ personnel and OCRWM-HQ direct-support contractors responsible either for the development and preparation of technical documents or for the monitoring of design input sources for potential changes.

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

3.1.1 *Quality Assurance Requirements Document (QARD), DOE/RW-0214.*

3.1.2 *Quality Assurance Program Description Document (QAPD), DOE/RW-0215.*

3.2 DEFINITIONS

3.2.1 The definition of standard terms may be found in the glossary contained in reference 3.1.1.

3.2.2 Design Input: those criteria, parameters, bases, data, or other design requirements upon which detailed final design is based.

3.2.3 Input Source: any reference (for example, document, database) that provides technical input to a technical document that was developed under QAAP 3.5, *Preparation of Technical Documents*.

3.2.4 Technical Document: a document that specifies scientific or engineering requirements, presents scientific or engineering information or data, or describes scientific or engineering processes.



4.0 RESPONSIBILITIES

4.1 ASSOCIATE AND OFFICE DIRECTORS

Associate and Office Directors have overall responsibility for:

4.1.1 Control of design inputs to be used in the development of technical documents originated within their primary areas of responsibility.

4.2 ASSOCIATE DIRECTOR FOR SYSTEMS AND COMPLIANCE (S&C)

In addition to the responsibilities identified in Subsection 4.1, the Associate Director for S&C, is responsible for:

4.2.1 Preparing and maintaining this procedure.

4.3 BRANCH CHIEF, CONFIGURATION MANAGEMENT BRANCH (CMB)

The Branch Chief, CMB is responsible for:

4.3.1 Maintaining the controlled master list of input sources.

4.4 BRANCH CHIEFS

Branch chiefs are responsible for:

4.4.1 Identifying, proposing, and approving design inputs.

4.4.2 Monitoring changes/revisions to input sources within their primary areas of responsibility and transmitting the changes to the Branch Chief, CMB.

5.0 GENERAL

5.1 This procedure is to be used in conjunction with QAAP 3.5 *Preparation of Technical Documents* to control the input used in the preparation of technical documents.

5.2 Steps for identifying and controlling inputs are specified in Section 6.0 and documented using the Technical Document Input Control Form (Attachment I).

5.3 Revisions or changes (including additions and deletions) to inputs used for technical documents will also be controlled as specified in Subsection 6.3 and documented using the Technical Document Input Control Form.



5.4 The inputs used for the development of technical documents must have been developed under appropriate QA controls. Those inputs developed with an inadequate QA program must be evaluated and qualified using the requirements of the QARD (reference 3.1).

5.5 The general steps described in Section 6.0 are shown in the Technical Document Input Control Flow Diagram (Attachment II).

6.0 PROCEDURE

6.1 INPUT CONTROL FOR NEW DOCUMENTS

6.1.1 Inputs for technical documents at the PROGRAM level shall be controlled by the organization responsible for the technical document using the following process. The Technical Document Management Plan for the each technical document shall provide the detailed implementation of this process.

- a) Specify the criteria that will be used to identify all applicable input sources used in development of the technical document.
- b) From the criteria developed in Paragraph 6.1.1, develop a list of potential inputs to be used in the technical document.
- c) Initiate the Technical Document Input Control Forms, which shall be completed, approved, and controlled as indicated in Subsection 6.4 for each input.
- d) Evaluate the potential inputs to select which inputs should be included and which should be excluded and develop a rationale for this decision.
- e) Determine whether or not included inputs were developed under Quality Assurance controls that are consistent with those needed for the technical document.
- f) For those included inputs developed with inadequate or inconsistent Quality Assurance controls, determine the additional steps necessary to allow use of the "unqualified" inputs by referring to the QARD (reference 3.1) for details on qualifying existing data.
- g) Those included inputs that are derived from laws, regulations, DOE Orders, and policy decisions that do not affect the quality of the technical document will not be subject to qualification through use of quality assurance controls. To assure that configuration control is maintained, these inputs shall be documented in the Technical Document Input Control Form.



6.2 MANAGEMENT OF INPUT SOURCES

- 6.2.1 The approved list of input sources, and revisions thereto, for each document shall be provided by the Branch Chief responsible for the technical document to the Branch Chief, CMB who shall maintain a controlled master list of input sources for the technical documents.
- 6.2.2 The Branch Chief, CMB shall determine which Branch Chief has cognizance for the functional area relating to each specific input (for example, licensing inputs to the Licensing Branch, environmental inputs to the Environmental Compliance Branch), and shall so indicate on the controlled master list of input sources.
- 6.2.3 The functional area Branch Chiefs shall monitor their assigned input sources and maintain awareness of changes or revisions made to them.
- 6.2.4 Information concerning changes shall be passed by memo from the functional area Branch Chief to the Branch Chief, CMB.
- 6.2.5 This information concerning changes shall then be passed by memo from the Branch Chief, CMB to the organization responsible for the technical documents affected by these input sources.

6.3 INPUT CONTROL FOR REVISIONS TO TECHNICAL DOCUMENTS

- 6.3.1 The changes or revisions to the input sources identified from Subsection 6.2 shall be documented by the technical document preparer by initiating the Technical Document Input Control Forms.
- 6.3.2 The technical document preparer shall decide whether to include or exclude the input in the document. Rationale shall be provided for excluded input.
- 6.3.3 The forms shall be completed, approved, and controlled as indicated in Subsection 6.4.
- 6.3.4 The approved (new, revised, or deleted) inputs shall be incorporated into a revision (either immediately or accumulated for the next revision) to the technical document by the responsible organization, according to the requirements of QAAP 3.5, *Preparation of Technical Documents*, and the appropriate change control procedure.



6.4 TECHNICAL DOCUMENT INPUT CONTROL FORM

6.4.1 The potential input (new or change) is documented by filling out the Technical Document Input Control Form (Attachment I). This form identifies and describes the potential input and the appropriate reviews and approvals. The form shall include at least the following:

- a) A description of the inputs (for changes include the rationale for the change, for example, revision to input sources). Also include the estimated impact of the change (Steps 1 & 2).
- b) A list of the technical documents that are affected by this input (Step 3).
- c) A list of the QA controls that were used in developing the input, and the QA controls that are required for the technical documents (Steps 4&5).
- d) Indication of whether the QA controls used for the input are adequate or if any actions are required to be able to accept the input (Steps 6 & 7).
- e) Whether the input will be included or excluded (provide rationale) and whether an immediate change to the technical document is needed (Steps 8 & 9).

6.4.2 The Branch Chief responsible for preparation of the technical documents in which the input sources or design input is to be used shall review and approve the Technical Document Input Control Form. This review shall be documented by having the Branch Chief sign the appropriate portion of the Technical Document Input Control Form (Step 10).

7.0 RECORDS

7.1 Documents generated as a result of this QAAP shall be collected and maintained in accordance with requirements specified in QAAP 17.1, *QA Records Management*. At a minimum, the Technical Document Input Control Forms (Attachment I) are considered QA records and shall be included in the records package for the technical document.

8.0 ATTACHMENTS

8.1 Attachment I - Technical Document Input Control Form

8.2 Attachment II - Technical Document Input Control Flow Diagram.



ATTACHMENT I
TECHNICAL DOCUMENT INPUT CONTROL FORM

New _____ Change _____ Deletion _____

1) Title of Input: _____

2) Description of Input (including estimated impact and rationale): _____

3) Technical Document(s) affected by this input: _____

4) List QA Controls Used to Generate the Potential Input: _____

5) List QA Controls Required for the Affected Document: _____

6) QA Controls used for Input are Adequate for Affected Document? YES _____ NO _____

7) If QA controls are not adequate, indicate what is needed to establish a proper QA pedigree for the potential input if known: _____

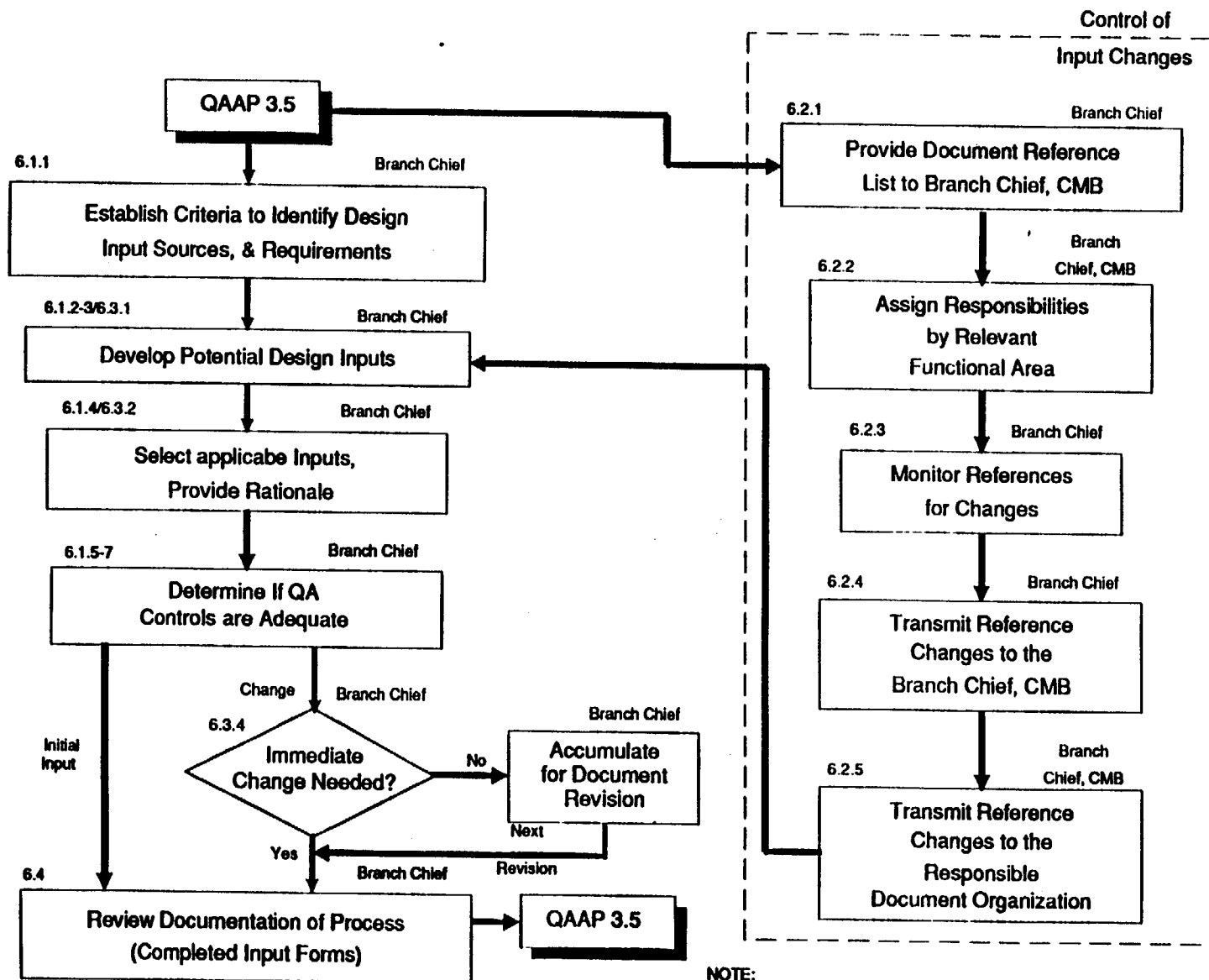
8) Input to be Included in the Affected Document? YES _____ NO _____

If "NO" provide rationale: _____

9) If Document Change: Revise now: _____ File for next revision _____

Prepared by: _____ Date: _____
Organization: _____

10) Branch Chief Approval: _____ Date: _____
Organization: _____



ATTACHMENT II
INPUT CONTROL FLOW DIAGRAM



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