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OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

Title: **PREPARATION OF TECHNICAL DOCUMENTS**

Procedure No.:
QAAP 3.5

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Concurrence

R.B. Abster

Date: **9-21-90**

Approval

[Signature]

Date: **9/25/90**

1.0 PURPOSE

The purpose of this procedure is to establish requirements and a process for managing the preparation of technical documents for the Office of Civilian Radioactive Waste Management (OCRWM) Program.

2.0 SCOPE

This procedure shall be implemented for the preparation of technical documents, as specified in the OCRWM QA Controls Matrix, developed in accordance with QAAP 2.3, *Establishing Quality Assurance Controls*, for the associated OCRWM work.

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 definitions of standard terms may be found in the Glossary contained in reference 3.1.1.

3.2.2 Technical Document - A document that specifies scientific or engineering requirements, presents scientific or engineering information or data, or describes scientific or engineering processes.

3.2.3 Technical Document Management Plan - A document used as an internal OCRWM planning and implementation tool to control the preparation, review, approval, and revision of a technical document.



4.0 RESPONSIBILITIES

4.1 ASSOCIATE AND OFFICE DIRECTORS

Associate and Office Directors have overall responsibility for:

4.1.1 Technical documents and technical document management plans originated within their primary areas of responsibility and for initiating the development of those technical documents.

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 QAAP.

4.3 DIVISION DIRECTORS

Division Directors are responsible for:

4.3.1 Approval of technical document management plans prepared within their primary area of responsibility.

4.4 BRANCH CHIEFS

Branch Chiefs are responsible for:

4.4.1 Developing technical documents.

4.4.2 Directing preparation of technical document management plans.

4.4.3 Issuing technical document management plans.

5.0 GENERAL

5.1 For each technical document subject to this QAAP, a technical document management plan shall be prepared detailing an approach specific to that document. The technical document management plan shall incorporate the requirements set forth in Section 6.0 and Attachment I. The technical document preparation process shall follow the technical document management plan. The flow diagram to describe the development of technical documents is shown in Attachment II.

5.2 If the technical document to be generated will be used in the design process, the technical approach section of the technical document management plan shall include specific steps for identification, documentation, and control in accordance with QAAP 3.6, *Technical Document Input Control*.



5.3 If the technical document to be generated will be used to identify or define interfaces, the technical approach section of the technical document management plan shall provide specific details to implement the interface identification, documentation, and controls in accordance with QAAP 3.7, *Interface Control*.

5.4 If the technical document will use interface information, that information shall be changed only by an approved change in accordance with QAAP 3.7, *Interface Control*.

6.0 PROCEDURE

6.1 MANAGEMENT PLAN DEVELOPMENT

6.1.1 Upon identifying the need for a technical document or when requested by higher-level management, the responsible Branch Chief shall direct the preparation of technical document management plans. The plans shall include:

- a) Objective and scope of the management plan
- b) Description of the final product to be produced by execution of the management plan
- c) Responsibilities for the development of the technical document
- d) Schedule for preparing, reviewing, and issuing the technical document

6.1.2 The final technical document management plan containing the information outlined in Attachment I shall be approved by the cognizant Division Director.

6.1.3 Revision to the technical document management plan shall meet the same requirements as the technical document management plan and require the same reviews, concurrences, and approvals.

6.1.4 The approved technical document management plan and subsequent revisions shall be issued by the responsible Branch Chief or designee to those individuals involved in the preparation of the technical document.

6.1.5 The responsible Branch Chief or designee shall ensure that revisions, if any, to the technical document management plan are properly reviewed, recorded, and approved. The revised technical document management plan shall be distributed to those individuals to whom the original plan was issued. This process shall be followed each time a revision is made to the technical document management plan. All documentation pertaining to such revisions and distribution shall be maintained.



6.2 DOCUMENT DEVELOPMENT

- 6.2.1 The technical document shall be prepared in accordance with the approved technical document management plan.
- 6.2.2 Revisions to the technical document shall be prepared in accordance with the technical document management plan or approved revision thereto.

6.3 TECHNICAL REVIEW

- 6.3.1 Prior to initial technical review, interaction with affected branches, project offices, or other external offices is suggested. Such interaction can facilitate development of the technical approach and document structure, identify and resolve potential issues, and avoid potential conflicts.
- 6.3.2 When specified in the approved technical document management plan and when the preparer and responsible Branch Chief agree that development of the document is sufficiently advanced to satisfy the objectives stated in the technical document management plan, the technical document shall be reviewed, and comments documented and resolved, in accordance with reference QAAP 3.1, *Technical Document Review*.
- 6.3.3 Revisions to the technical document, which are not quality affecting (for example, editorial, administrative, or policy changes) will not be required to undergo a technical document review in accordance with QAAP 3.1. This decision, not to use a QAAP 3.1 review, will be documented and approved by the responsible approving authority (for example, appropriate change control board or cognizant Associate or Office Director).

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 management plans (Attachment I) and technical documents resulting from implementation of this procedure are considered QA records.

8.0 ATTACHMENTS

- 8.1 Attachment I - Technical Document Management Plan Content
- 8.2 Attachment II - QAAP 3.5 Flow chart



ATTACHMENT I

TECHNICAL DOCUMENT MANAGEMENT PLAN CONTENT

OBJECTIVE

Briefly describe the technical document to be produced by execution of this technical document management plan.

SCOPE

Describe the range of activities, affected organizations, and the time frame for execution of the plan. Also discuss limitations of this technical document management plan, especially in terms of the depth of planning. Identify areas of the technical document management plan that will be revised when more specific information is available.

REFERENCES

List references cited in the technical document management plan.

Use, as references, existing documents, data bases, procedures, systems, descriptions, specifications, and standards, when possible. Only include citations needed for clarity.

DEFINITIONS

Always use definitions provided in the Glossary of DOE/RW-0214, *Quality Assurance Requirements Document*. These should not be repeated in the management plan.

Provide definitions of words or phrases that have special meaning or connotations that may be unfamiliar to the reader.

BACKGROUND

Provide background information that will put the plan and its end products into perspective. Highlight the affected organizational elements involved in the management plan.

DESCRIPTION OF THE TECHNICAL DOCUMENT

Describe the technical document expected to result from execution of the plan. Provide qualitative and quantitative specifications including an annotated general table of contents specifying major components of the document. If final product or specifications are not available, provide criteria and minimum requirements by which acceptability will be judged.



ATTACHMENT I (Cont'd)

TECHNICAL APPROACH

Describe the general technical approach taken in development of the technical documents. As a minimum, the technical approach shall:

- a) Identify the major tasks or activities to be performed in preparation of the document;
- b) Specify the general format, style, and content guides and level of detail for the document;
- c) Specify the Quality Assurance Controls of the analyses and computer codes to be used in production of the document;
- d) Specify that design input will be identified, documented, and controlled in accordance with QAAP 3.6, *Technical Document Input Control*;
- e) Specify that interfaces will be identified, documented, and controlled in accordance with QAAP 3.7, *Interface Controls*;
- f) Where possible, specify the general methodology to be used in analyses;
- g) Identify personnel and/or organizations responsible for each major task and the qualifications required of document preparers;
- h) Identify procedures for interaction with affected parties;
- i) Specify the technical document review and approval process (for example, provisions for "in-process" reviews and, for certain documents, peer reviews and design reviews of the final product); and
- j) Specify the records identification and generation requirements (records should be sufficient to validate the process steps and methods used to prepare the technical document).

QUALITY ASSURANCE

Refer to QAAP 2.3, *Establishing Quality Assurance Controls*.

MILESTONES

List the major milestones that must be accomplished. Indicate scheduled completion dates and acceptance criteria to be used to measure satisfactory completion.



ATTACHMENT II

PREPARATION OF TECHNICAL DOCUMENTS

