

**CENTER FOR NUCLEAR WASTE
REGULATORY ANALYSES
TECHNICAL OPERATING PROCEDURE**

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Revision 0, Chg. 0
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Title

RPD LOADING CONTROL, VERSION CONTROL, AND CHANGE CONTROL

EFFECTIVITY AND APPROVAL

Revision 0 of this procedure became effective on 11/10/93. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
All	0	11/10/93

SUPERSEDED

Superseded by Revision 1, Chg 0. - 7/12/95

Supersedes Procedure No.

Approvals

Written By <i>R D Brient</i>	Date <i>11/10/93</i>	Technical Review <i>Bruce J. [Signature]</i>	Date <i>11/10/93</i>
Quality Assurance <i>[Signature]</i>	Date <i>11/10/93</i>	Organizational Director <i>Bruce J. [Signature]</i>	Date <i>11/10/93</i>

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**TOP-001-15
RPD LOADING CONTROL, VERSION CONTROL, AND CHANGE CONTROL**

1. PURPOSE

The purpose of this procedure is to describe the methods for loading, changing, and establishing the version numbers for Regulatory Program Database (RPD) documents.

2. RESPONSIBILITIES

2.1 Element Managers are responsible for coordinating reviews of RPD documents in accordance with QAP-002, and for providing the Deputy Technical Director for Systems Engineering and Integration (DSE&I) with approved RPD documents for loading.

2.2 The DSE&I is responsible for assigning version numbers and loading RPD documents and changes into the RPD.

3. PROCEDURE

3.1 RPD Document Version Number Assignment

RPD documents and changes to them shall be identified by unique version numbers. Original RPD documents shall be designated Version 0.0. Changes (see Sections 3.3, 3.4, and 3.5) shall be reflected by integer (signifying major changes) and decimal (signifying minor changes) increments. For example, an RPD document having two minor changes to its third major change would be designated as Version 3.2. Each major change resets the minor change number (decimal) to .0.

3.2 RPD Loading

3.2.1 After completion of the reviews required by QAP-002, RPD original or changed documents shall be submitted to the DSE&I for loading into the RPD.

3.2.2 The DSE&I will verify that QAP-002 reviews have been accomplished as required, and assign or verify that version numbers are assigned for each RPD document to be loaded.

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- 3.2.3 An RPD Loading Sheet (Figure 1) shall be prepared by the DSE&I to list the RPD documents, type, review plan number, topic, and version number. The DSE&I shall sign the Loading Sheet authorizing loading of the documents.
- 3.2.4 The DSE&I shall designate and train the individuals authorized to load RPD documents. Only those authorized individuals shall be given RPD passwords that will enable them to interact with the database in this manner.
- 3.2.5 Corrections to RPD format and syntax errors which are detected by the RPD V3.0 database check program shall be reviewed and approved by the DSE&I prior to loading. The corrections shall be noted on the AP-6 form, and initialed and dated by the DSE&I. An as-loaded hardcopy of the document (with format and syntax corrections) shall be provided for the QA record.
- 3.2.6 After loading is completed, the individual performing the loading shall sign and date the RPD Loading Sheet.
- 3.3 RPD Document Changes - General
- 3.3.1 RPD document changes shall be processed in the same manner as originals. Approved RPD document changes will be incorporated into the database using the loading process in accordance with Section 3.2. The RPD shall include an effectivity list indicating the version number and effective date of each document in the database. Documents shall become effective on their loading dates.
- 3.3.2 RPD document changes shall be reviewed in accordance with QAP-002.
- 3.3.3 The responsible Element Manager (EM) shall classify changes as major or minor based on the criteria provided in Sections 3.4 and 3.5. NRC directed changes should be designated as major or minor, but these determinations shall be concurred in by the cognizant CNWRA EM. Any disagreements shall be resolved by NRC/CNWRA management.
- 3.4 RPD Document Changes - Major
- 3.4.1 Major changes involve redirection of the approach or changes in the intent or technical content of the document. These could include changes to acceptance

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criteria, significant changes to review strategies, KTUs, methods, rationales, and example evaluation findings.

3.4.2 Major changes to RPD documents require documented acceptance or direction by the NRC Program Element Manager.

3.4.3 QAP-002 allows for limited reviews for changes to previously reviewed documents, depending on the extent of the changes. The Element Manager shall determine the review categories that may be reduced in scope from that specified in Table 1 of QAP-002. As specified in QAP-002, any reduction in the level of reviews shall be justified on the AP-6 form. The QA verification for compliance with QAP-002 cannot be deleted.

3.5 RPD Document Changes - Minor Changes

3.5.1 Minor changes are those that do not change the intent or approach provided in the document. These include spelling, editorial, grammar, and punctuation corrections, and wording and format changes that do not change intent, approach, or technical content.

3.5.2 Minor changes require the verbal acceptance by the cognizant NRC Program Element Manager, but do not require documented acceptance by NRC.

3.5.3 Under the provisions of QAP-002 that allow for reduced reviews for changes to previously reviewed documents, minor changes require, as a minimum, verification that the changes were properly incorporated (under the Format Review) and the QA verification of compliance with QAP-002. Part III of the AP-6 form shall indicate "MINOR CHANGE" adjacent to the EM signature block, and the EM shall sign and date the form in that block to indicate his approval. No other justification for the limited review is necessary. The EM may specify more reviews as deemed necessary.

3.5.4 NRC will be notified by letter from the respective CNWRA EM when minor changes have been loaded.

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4. QA RECORDS

RPD Loading Sheets shall be maintained and retained as QA records in accordance with CQAM Section 17 for three years.

5. REFERENCE DOCUMENTS

CNWRA Quality Assurance Procedure QAP-002, Review of CNWRA Documents, Reports, and Papers, current revision.

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RPD LOADING SHEET				
RPD DOCUMENTS				
DOC. TYPE	REVIEW PLAN NUMBER	TOPIC	MAJOR/MINOR CHANGE	NEW VERSION NUMBER
CDS	10.0	Quality Assurance	Minor	0.1
Authorization for Loading: _____ Deputy Technical Director, SE&I Date				
Special Instructions: _____ _____				
Loaded by: _____ _____ Date				
CNWRA Form: TOP-007 11/93				

Figure 1. RPD Loading sheet (Example)

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Title

REGULATORY PROGRAM DOCUMENT LOADING CONTROL, VERSION CONTROL,
AND CHANGE CONTROL

EFFECTIVITY

Revision 1 of this procedure became effective on 07/12/95. This procedure
consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change No.</u>	<u>Date Effective</u>
All	Chg 0	07/12/95

SUPERSEDED

Supersedes Procedure No. Rev 0, Chg 0

Approvals

Written by

Robert Baird

Date

7/11/95

Technical Review

D. E. M.

Date

7/11/95

Quality Assurance

Steve Malin

Date

7/11/95

Cognizant Director

Paul J. Soren

Date

7/12/95

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TOP-001-15

REGULATORY PROGRAM DOCUMENT LOADING CONTROL, VERSION CONTROL, AND CHANGE CONTROL

1. PURPOSE

The purpose of this procedure is to describe the methods for loading, changing, and establishing the version numbers for regulatory program documents in the Consolidated Document System (CDOCS). Regulatory program documents include Compliance Determination Strategies (CDSs), Compliance Determination Methods (CDMs), and related information.

2. RESPONSIBILITIES

- 2.1 Element Managers are responsible for coordinating reviews of regulatory program documents in accordance with Quality Assurance Procedure (QAP) -002, and for providing the Element Manager (EM) for Waste Systems Engineering and Integration (WSE&I) with approved regulatory program documents for loading.
- 2.2 The WSE&I EM is responsible for assigning version numbers and loading regulatory program documents and changes into the CDOCS.

3. PROCEDURE

3.1 Regulatory Program Document Version Number Assignment

Regulatory program documents and changes to them shall be identified by unique version numbers. Original regulatory program documents shall be designated Version 0.0. Changes (see Sections 3.3, 3.4, and 3.5) shall be reflected by integer (signifying major changes) and decimal (signifying minor changes) increments. For example, a regulatory program document having two minor changes to its third major change would be designated as Version 3.2. Each major change resets the minor change number (decimal) to .0.

3.2 CDOCS Loading

- 3.2.1 After completion of the reviews required by QAP-002, Regulatory program original or changed documents shall be submitted to the WSE&I EM for loading into the CDOCS.
- 3.2.2 The WSE&I EM will verify that QAP-002 reviews have been accomplished as required, and assign or verify that version numbers are assigned for each regulatory program document to be loaded.

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- 3.2.3 A Regulatory Program Document Loading Sheet (Figure 1) shall be prepared by the WSE&I EM to list the regulatory program document type, review plan number, topic, and version number. The WSE&I EM shall sign the Loading Sheet authorizing loading of the documents.
- 3.2.4 The WSE&I EM shall designate and train the individuals authorized to load regulatory program documents. Only those authorized individuals shall be given CDOCS passwords that will enable them to interact with the database in this manner.
- 3.2.5 The CDOCS check program shall be employed to detect format and syntax errors. An as-loaded hardcopy of the document (with format and syntax corrections) shall be provided for the Quality Assurance (QA) record.
- 3.2.6 After loading is completed, the individual performing the loading shall sign and date the Regulatory Program Document Loading Sheet.
- 3.3 Regulatory Program Document Changes—General
- 3.3.1 Regulatory program document changes shall be processed in the same manner as originals. Approved regulatory program document changes will be incorporated into the database using the loading process in accordance with Section 3.2. The CDOCS shall include an effectivity list indicating the version number and effective date of each document in the database. Documents shall become effective on their loading dates.
- 3.3.2 Regulatory program document changes shall be reviewed in accordance with QAP-002.
- 3.3.3 The responsible EM shall classify changes as major or minor based on the criteria provided in Sections 3.4 and 3.5.
- 3.4 Regulatory Program Document Changes—Major
- 3.4.1 Major changes involve redirection of the approach or changes in the intent or technical content of the document. These could include changes to acceptance criteria, significant changes to review strategies, key technical uncertainties (KTUs), methods, rationales, and example evaluation findings.
- 3.4.2 Major changes to regulatory program documents require documented acceptance or direction by the Nuclear Regulatory Commission (NRC) Program Element Manager (PEM).

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3.4.3 QAP-002 allows for limited reviews for changes to previously reviewed documents, depending on the extent of the changes. The EM shall determine the review categories that may be reduced in scope from that specified in Table 1 of QAP-002. As specified in QAP-002, any reduction in the level of reviews shall be justified on the AP-6 form. The QA verification for compliance with QAP-002 cannot be deleted.

3.5 Regulatory Program Document Changes—Minor Changes

3.5.1 Minor changes are those that do not change the intent or approach provided in the document. These include spelling, editorial, grammar, and punctuation corrections, and wording and format changes that do not change intent, approach, or technical content.

3.5.2 Minor changes require the verbal acceptance by the cognizant NRC PEM, but do not require documented acceptance by NRC.

3.5.3 Under the provisions of QAP-002 that allow for reduced reviews for changes to previously reviewed documents, minor changes require, as a minimum, verification that the changes were properly incorporated (under the Format Review) and the QA verification of compliance with QAP-002. Part III of the AP-6 form shall indicate "MINOR CHANGE" adjacent to the EM signature block, and the EM shall sign and date the form in that block to indicate his approval. No other justification for the limited review is necessary. The EM may specify more reviews as deemed necessary.

3.5.4 NRC PEM will be notified by letter from the respective CNWRA EM when minor changes have been loaded.

4. QA RECORDS

Regulatory Program Loading Sheets shall be maintained and retained as QA records in accordance with CNWRA Quality Assurance Manual (QAM) Section 17 for three years.

5. REFERENCE DOCUMENTS

CNWRA QAP-002, Review of CNWRA Documents, Reports, and Papers, current revision.

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Revision 2

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Title **REGULATORY PROGRAM DOCUMENT LOADING CONTROL, VERSION CONTROL,
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EFFECTIVITY

Revision 2 of this procedure makes this procedure obsolete. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change No.</u>	<u>Date Effective</u>
1	0	12/08/2000

NOTE: This procedure, TOP-001-015, has been withdrawn from use at the CNWRA.

Please remove and destroy the referenced procedure in your notebook/holder and return the acknowledgment page to CNWRA Document Control with your signature and date.

SUPERSEDED

Supersedes Procedure No. N/A

Approvals N/A

Written by
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Date
12/08/2000

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Date
12/11/2000

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Date
12/8/2000