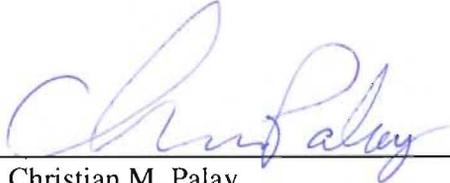


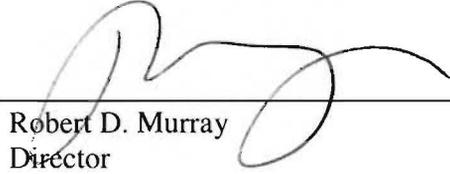


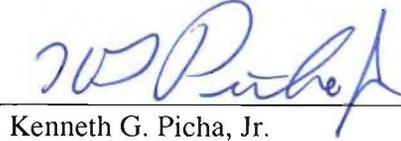
Office of Environmental Management (EM)

Subject: Developing Forms

Administrative Procedure

Preparer:  4/26/2011
Christian M. Palay
Office of Standards and Quality Assurance
Date

Approved:  4-27-2011
Robert D. Murray
Director
Office of Standards and Quality Assurance
Date

Concurrence:  4-27-2011
Kenneth G. Picha, Jr.
Acting Deputy Assistant Secretary
Safety and Security Program
Date

1.0 PURPOSE

1.1 The purpose of this procedure is to establish responsibilities and provide a uniform method for the development of forms.

2.0 SCOPE

2.1 The scope of this procedure is forms utilized for the Environmental Management (EM) High Level Waste (HLW) and Used Nuclear Fuel (UNF) Independent Oversight Program.

3.0 APPLICABILITY

3.1 This procedure applies to EM personnel and contractors that participate in quality assurance (QA) oversight activities for the EM HLW and UNF Independent Oversight Program.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

4.1.1 Quality Assurance Requirements and Description (QARD), DOE/RW-0333P, Revision 20

4.1.2 EM-QA-002, Quality Assurance Program Plan (QAPP)

4.2 References

4.2.1 AP-17.1Q, Quality Assurance Records

5.0 DEFINITIONS and ACRONYMS

N/A

6.0 RESPONSIBILITIES

6.1 Director, Office of Standards and Quality Assurance

6.1.1 Responsible for the review and approval of forms.

6.2 QA Lead, Office of Standards and Quality Assurance

6.2.1 Responsible for identifying the need for a form.

6.2.2 Responsible for the development of forms.

6.3 EMCBC Office of Logistics Management

6.3.1 Responsible for maintaining configuration control, change control, and coordination of periodic reviews of forms.

6.3.2 Responsible for the maintenance/use, storage, protection, retrieval and final disposition of forms.

7.0 GENERAL INFORMATION

N/A

8.0 PROCEDURE

8.1 Initiating Conditions for Creating or Changing a Form

8.1.1 Initiate a new form or changes to an existing form when:

- Work cannot be accomplished in accordance with an existing form, or accomplishment of such work would resort in an undesirable condition;
- An approved corrective action from a condition report stipulates it;
- An error is discovered in a form or form instructions;
- The use of a form would enhance communication of administrative processes and work controls described by implementing documents;
- The use of a form is a desirable method to demonstrate accomplishment of administrative processes or work controls promulgated by a new or changed implementing document;
- A process improvement is identified and accepted by management;
- Inconsistencies among forms will result from a proposed new or revised form;
- Editorial corrections are required; or
- Directed by the Director of the Office of Standards and Quality Assurance.

8.2 Formatting or Changing a Form

8.2.1 Select a form number consistent with Attachment A, Form Development and Review Criteria.

8.2.2 Select an effective date for the form consistent with the progress of the ongoing work or other program commitments as determined through discussions with managers or technical leads or consistent with an approved corrective action.

8.3 Developing Content for a Form

8.3.1 Use Attachment A to create the content of a form or form revision.

8.3.2 Gather end user inputs to guide the form content.

8.3.3 Limit the scope of the form to the applicable implementing document.

8.3.4 Ensure the form instructions do not conflict with the content of the applicable implementing document.

8.3.5 During the development, annotate new forms or forms undergoing revision with the word "Draft" after the revision number. At the discretion of the preparer, mark citations of the draft from Draft A, Draft B, etc., during development.

8.3.6 Change bars shall be placed in the left-hand column of forms to identify text areas changed.

8.4 Review and Approval of Forms and Form Revisions

8.4.1 Submit completed draft forms for review and approval.

9.0 RECORDS MAINTENANCE

9.1 The forms and controlled documents generated through implementation of this procedure shall be prepared and submitted to the EMCBC in accordance with AP-17.1Q, Quality Assurance Records.

10.0 FORMS USED

Form 5.1-1, Record of Revision

11.0 ATTACHMENTS

Attachment A – Form Development and Review Criteria

12.0 FLOWCHART

N/A

Attachment A
Form Development and Review Criteria

General Criteria

1. The form is needed
2. The activity to which the form applies is clearly communicated.
3. The form contains a unique identifier.
4. As a minimum, the form number is composed of the applicable procedure number and a sequential number followed by revision.
5. The title block or other section of the form indicates what document or activity the form is applicable to when filled out.
6. The form provides locations for printed or type names and dates adjacent to signature spaces.
7. When practical, the form operates electronically by continuing the header and page numbering from page to page including information that indicates the applicability of the form when filled out (e.g., each page of a form that documents an individual's training would have the individual's name carried forward in a header on each page of the form, and page numbering would continue consecutively).
8. The form provides positive work control measures to ensure important aspects of the work are checked, confirmed as complete, or captured in documentation in a manner consistent with the logical workflow and the applicable requirements of the QARD. For example, work control measures associated with issuing procedures would include determining and executing training needs associated with the procedure. A document control form when executed would document that these work controls were accomplished.

Specific Criteria

1. The scope of the form is consistent with the scope of the applicable procedure(s). If used, instructions provided with the form are consistent with the work process or requirements stipulated by the applicable implementing document.
2. If used, instructions are associated with numbered blocks on the form and are provided as part of the form.
3. The flow of the form is logically sequenced and consistent with the flow of work established by the flow diagram or a subset of the flow diagram of the applicable procedures.
4. The roles and responsibilities are clearly defined for completing or signing interim steps.
5. The roles and responsibilities are consistent with the Quality Assurance Program Plan for Oversight of QARD-based programs at Sites with High Level Waste and Used Nuclear Fuel.
6. The selected responsibilities are responsive to the QARD requirements by preserving appropriate independence of the oversight function.
7. The controls are appropriate to the anticipated end use of the product.

RECORD OF REVISION

DOCUMENT: AP-5.2Q, Developing Forms

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
0	Original	All	04/27/2011