



Office of Environmental Management

Administrative Procedure

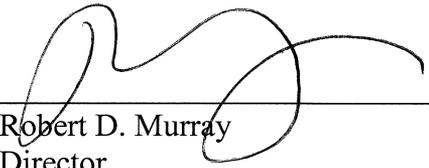
Implementing Documents

AP-5.1Q, Revision 1

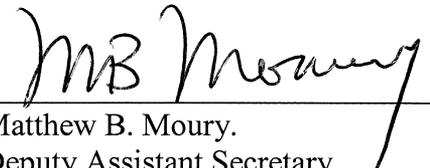
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11/20/2012
Date

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11-20-12
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1.0 PURPOSE

The purpose of this procedure is to establish responsibilities and provide a uniform method for the preparation, review, approval, revision, and distribution of implementing documents.

2.0 SCOPE

The scope of this procedure is implementing documents for the Environmental Management (EM) High-Level Waste (HLW) and Used Nuclear Fuel (UNF) Oversight Program.

3.0 APPLICABILITY

This procedure applies to EM personnel and contractors that participate in quality assurance (QA) oversight activities for the HLW and UNF 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-6.1Q, *Document Review*

4.2.2 AP-6.2Q, *Document Control*

4.2.3 AP-17.1Q, *Quality Assurance Records*

5.0 DEFINITIONS and ACRONYMS

5.1 Document Preparer – an individual who writes or originates the implementing document.

5.2 Implementing Document – a document with a specified series of actions or operations that have to be executed in the same manner in order to obtain the same result under the same circumstances.

6.0 RESPONSIBILITIES

- 6.1 Director, Office of Standards and Quality Assurance
 - 6.1.1 Responsible for the approval of implementing documents.
- 6.2 Document Preparer
 - 6.2.1 Responsible for the writing and assembly of implementing documents.
 - 6.2.2 Responsible for processing the review of implementing documents
- 6.3 EMCBC Coordinator, Office of Technical Support and Asset Management
 - 6.3.1 Responsible for maintaining configuration control, change control, and coordination of periodic reviews of implementing documents.
 - 6.3.2 Responsible for the maintenance/use, storage, protection, retrieval and final disposition of implementing documents.
- 6.4 Deputy Assistant Secretary (DAS), Safety, Security, and Quality Programs
 - 6.4.1 Responsible for the concurrence of implementing documents.

7.0 GENERAL INFORMATION

- 7.1 As used within the implementing documents, the words **shall/will/must** are used to denote a requirement or a required action. In addition, active verbs are used to denote a requirement or a required action. The word **should** denotes a recommendation or best management practice.

8.0 PROCEDURE

- 8.1 Assembly and Format of New/Revised Implementing Documents
 - 8.1.1 Document Preparer shall draft implementing documents using the instructions and formats in Attachment A. In addition, the following requirements shall be applied to the content of implementing documents:
 - 8.1.1.1 Responsibilities and organizational interfaces of the organizations affected by the implementing document

- 8.1.1.2 Quantitative and/or qualitative acceptance criteria for determining that prescribed activities have been satisfactorily accomplished and that prescribed results have been satisfactorily attained.
 - 8.1.1.3 Identification of the QA Records generated by the implementing document.
 - 8.1.2 The Document Preparer shall coordinate with the EMCBC Coordinator to determine the document identifiers as needed
 - 8.1.3 The Document Preparer shall prepare a review draft of the new/revised implementing document.
 - 8.1.4 The Document Preparer shall use an alphabet designator to denote drafts (e.g., DRAFT A for the review draft, DRAFT B for the concurrence draft, etc.)
- 8.2 Review of Draft Implementing Documents
 - 8.2.1 The Document Preparer submits the review draft of the implementing document for review per AP-6.1Q, *Document Review*.
 - 8.2.2 The Document Preparer incorporates the responses to comments resulting from AP-6.1Q, *Document Review* into the concurrence draft of the implementing document.
- 8.3 Final Approval and Processing of Implementing Documents
 - 8.3.1 The Document Preparer shall forward the concurrence draft of the implementing document to the EMCBC Coordinator after the Document Review per AP-6.1Q is complete and the review comments are resolved to the satisfaction of the Document Preparer.
 - 8.3.2 The Document Preparer shall complete Form 5.1-1 and indicate the effective date for the implementing document and forward Form 5.1-1 to the EMCBC Coordinator for inclusion with the final draft for approval and concurrence.
 - 8.3.3 The EMCBC Coordinator will finalize the draft of the implementing document for approval by the Director and concurrence by the DAS, Safety, Security and Quality Programs. The EMCBC Coordinator will remove the Draft designator text from the implementing document as well as input the effective date on the cover page
Note: The Effective Date for the cover page of the implementing document is the same

effective date established on the completed
Form 5.1-1

- 8.3.4 The EMCBC Coordinator shall forward to the Document Preparer the implementing document that is ready for approval and concurrence by the Director, Office of Standards and Quality Assurance and the DAS.
 - 8.3.5 The Document Preparer shall obtain the approval signature of the Director.
 - 8.3.6 The Document Preparer shall obtain the concurrence signature from the DAS.
 - 8.3.7 The Document Preparer shall forward the implementing document with the approval and concurrence signatures to the EMCBC Coordinator for inclusion into the records package per §9.0 of this procedure.
 - 8.3.8 The EMCBC Coordinator shall post the approved implementing document in accordance with AP-6.2Q, *Document Control*.
- 8.4 Cancellation of Implementing Documents
- 8.4.1 For those implementing documents that are no longer needed, the Document Preparer shall indicate in an appropriate manner (e.g., Watermark, Stamp, etc.) the word “Cancelled” on the cover page of implementing document requiring cancellation.
 - 8.4.2 The Document Preparer shall complete Form 5.1.1, and provide a justification for the cancellation under the description of changes and indicate the effective date for the cancellation.
 - 8.4.3 The Document Preparer shall obtain approval and concurrence signatures per §8.3.5 and §8.3.6 and then send the implementing document and Form 5.1.1 to the EMCBC Coordinator.
 - 8.4.4 The EMCBC Coordinator shall process the cancellation of the implementing documents per AP-6.2Q, *Document Control*.
 - 8.4.5 The EMCBC Coordinator shall assemble the records package per §9.0 of this procedure and shall remove the implementing documents from the EMCBC website of the HLW and UNF Oversight Program.

9.0 RECORDS MAINTENANCE

- 9.1 No records are generated as a result of implementing this document. The forms used from this procedure as well as the approved implementing document will be processed and controlled per AP-6.2Q, *Document Control*.

10.0 FORMS USED

Form 5.1-1, Record of Revision

11.0 ATTACHMENTS

Attachment A – Administrative Procedure (AP) Format

Attachment A Administrative Procedure (AP) Format

1.0 PURPOSE

Develop a “PURPOSE” statement to describe the intent of the procedure. A procedure is a specified series of actions or operations which have to be executed in the same manner in order to always obtain the same result under the same circumstances to be followed to meet stated objectives, Policy Statements, DOE Orders and Directives, or government regulations.

2.0 SCOPE

Include a statement of purpose establishing the limitations or parameters of the procedure, what it applies to and to what it applies (i.e., that is, receipt of incoming material, excess capital equipment, vendor drawings, etc.)

3.0 APPLICABILITY

Define who shall comply with said procedures.

4.0 REQUIREMENTS and REFERENCES

4.1 Requirements

Identify and list requirements (drivers) such as DOE, federal, state, and local codes, rules, regulations, and laws, that apply to the implementation of the procedure. Include document number and title. Avoid inclusion of revision number or date of document whenever possible.

4.2 References

Identify and list reference documents that have been mentioned in the procedure. Include document number and title.

5.0 DEFINITIONS and ACRONYMS (Optional)

Identify those terms and statements contained in the procedure that require definition for uniform interpretation and clarity. Include any acronyms or abbreviations that are specific in the procedure. If this section is not required, then state “Not Applicable.”

6.0 RESPONSIBILITIES

Identify the managerial position or function (not the name of the individual) responsible for taking action and as appropriate, the groups associated with the responsibility to execute the appropriate procedural requirements contained therein.

Attachment A
Administrative Procedure (AP) Format

7.0 GENERAL INFORMATION (Optional)

Include supplementary background information associated with the orderly implementation of this policy or procedure. This section will NOT always be required; however, as appropriate, this section should be a normal extension of the Purpose statement.

. If this section is not required, then state “Not Applicable” in this section.

8.0 PROCEDURE

This section is an orderly, step-by-step, and logical description of instructions detailing the actions and requirements needed to complete the procedure. The instructions should identify the individuals responsible for performing the actions.

9.0 RECORDS MAINTENANCE

The following is an example of a Records Maintenance section. This information shall appear in each Records Maintenance section. Additional information may be included to further clarify the Records Maintenance section.

The forms and records generated through implementation of this procedure shall be prepared and submitted in accordance with AP-17.1Q, *Quality Assurance Records*.

OR

9.0 RECORDS MAINTENANCE

No records are generated as a result of implementing this document.

10.0 FORMS USED

This section shall list the forms used in the procedure. An example of the forms shall be included as part of the procedure.

11.0 ATTACHMENTS

All attachments shall be listed in this section and shall contain the unique designator numbers and titles. Each attachment shall be alphabetically labeled starting with A, B, C, etc., in consecutive order.

Form 5.1-1 – Record of Revision

DOCUMENT:

Revision Number	Description of Changes	Revision on Pages	Effective Date

Form 5.1-1 – Record of Revision Form Instructions

Document:

Indicate the document identifier and title for the implementing document, as applicable.

Revision Number

Revisions to documents shall be numbered sequentially beginning with the number zero (0) and shall increase by one (1) with each change to the document.

Description of Changes

If possible, indicate the specific changes made to the implementing procedure. For extensive changes, indicate “General Revision.” If the procedure is being cancelled, then provide the justification for the cancellation.

Revision on Pages

Indicate the pages that have been changed with the revision as applicable. If it is a general revision, indicate “All.”

Effective Date

Indicate the effective date of the revision (or cancellation) of the implementing

Form 5.1-1 – Record of Revision

DOCUMENT: AP-5.1Q, *Implementing Documents*

Revision Number	Description of Changes	Revision on Pages	Effective Date
0	Initial Issue	All	04/27/2011
1	General Revision”	All	12/14/2012