

ENGINEERING CHANGE NOTICE

1. ECN **634676**

Page 1 of 2

Proj.
ECN

2. ECN Category (mark one) Supplemental <input type="checkbox"/> Direct Revision <input checked="" type="checkbox"/> Change ECN <input type="checkbox"/> Temporary <input type="checkbox"/> Standby <input type="checkbox"/> Supersedeure <input type="checkbox"/> Cancel/Void <input type="checkbox"/>	3. Originator's Name, Organization, MSIN, and Telephone No. H. Rossi/P. S. Schaus, LMHC, H5-03	4. USQ Required? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	5. Date 5/22/98
6. Project Title/No./Work Order No. HTI Project	7. Bldg./Sys./Fac. No.	8. Approval Designator N/A	
9. Document Numbers Changed by this ECN (Includes sheet no. and rev.) HNF-1816, Rev. 0		10. Related ECN No(s).	11. Related PO No.

12a. Modification Work <input type="checkbox"/> Yes (fill out Blk. 12b) <input checked="" type="checkbox"/> No (NA Blks. 12b, 12c, 12d)	12b. Work Package No. N/A	12c. Modification Work Complete N/A Design Authority/Cog. Engineer Signature & Date	12d. Restored to Original Condition (Temp. or Standby ECN only) N/A Design Authority/Cog. Engineer Signature & Date
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13a. Description of Change The document was changed from a Desk Instruction to a Process Guide at the recommendation of TWRS Configuration Management staff and for consistency with TWRS Configuration Management Plan.	13b. Design Baseline Document? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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14a. Justification (mark one)			
Criteria Change <input checked="" type="checkbox"/>	Design Improvement <input type="checkbox"/>	Environmental <input type="checkbox"/>	Facility Deactivation <input type="checkbox"/>
As-Found <input type="checkbox"/>	Facilitate Const <input type="checkbox"/>	Const. Error/Omission <input type="checkbox"/>	Design Error/Omission <input type="checkbox"/>

14b. Justification Details
 This change resulted from revisions to the TWRS configuration management approach that occurred during readiness to proceed.

15. Distribution (include name, MSIN, and no. of copies) See distribution list.	RELEASE STAMP <div style="border: 2px solid black; padding: 5px; text-align: center;"> <p>MAY 22 1998</p> <p>DATE: MAY 22 1998</p> <p>STA: 37</p> <p>ID: 22</p> <p style="font-size: 2em; font-weight: bold;">22</p> </div>
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ENGINEERING CHANGE NOTICE

16. Design Verification Required <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	17. Cost Impact <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; text-align: center;">ENGINEERING</td> <td style="width: 50%; text-align: center;">CONSTRUCTION</td> </tr> <tr> <td>Additional <input type="checkbox"/> \$</td> <td>Additional <input type="checkbox"/> \$</td> </tr> <tr> <td>Savings <input type="checkbox"/> \$</td> <td>Savings <input type="checkbox"/> \$</td> </tr> </table>	ENGINEERING	CONSTRUCTION	Additional <input type="checkbox"/> \$	Additional <input type="checkbox"/> \$	Savings <input type="checkbox"/> \$	Savings <input type="checkbox"/> \$	18. Schedule Impact (days) Improvement <input type="checkbox"/> Delay <input type="checkbox"/>
ENGINEERING	CONSTRUCTION							
Additional <input type="checkbox"/> \$	Additional <input type="checkbox"/> \$							
Savings <input type="checkbox"/> \$	Savings <input type="checkbox"/> \$							

19. Change Impact Review: Indicate the related documents (other than the engineering documents identified on Side 1) that will be affected by the change described in Block 13. Enter the affected document number in Block 20.

SDD/DD	<input type="checkbox"/>	Seismic/Stress Analysis	<input type="checkbox"/>	Tank Calibration Manual	<input type="checkbox"/>
Functional Design Criteria	<input type="checkbox"/>	Stress/Design Report	<input type="checkbox"/>	Health Physics Procedure	<input type="checkbox"/>
Operating Specification	<input type="checkbox"/>	Interface Control Drawing	<input type="checkbox"/>	Spare Multiple Unit Listing	<input type="checkbox"/>
Criticality Specification	<input type="checkbox"/>	Calibration Procedure	<input type="checkbox"/>	Test Procedures/Specification	<input type="checkbox"/>
Conceptual Design Report	<input type="checkbox"/>	Installation Procedure	<input type="checkbox"/>	Component Index	<input type="checkbox"/>
Equipment Spec.	<input type="checkbox"/>	Maintenance Procedure	<input type="checkbox"/>	ASME Coded Item	<input type="checkbox"/>
Const. Spec.	<input type="checkbox"/>	Engineering Procedure	<input type="checkbox"/>	Human Factor Consideration	<input type="checkbox"/>
Procurement Spec.	<input type="checkbox"/>	Operating Instruction	<input type="checkbox"/>	Computer Software	<input type="checkbox"/>
Vendor Information	<input type="checkbox"/>	Operating Procedure	<input type="checkbox"/>	Electric Circuit Schedule	<input type="checkbox"/>
OM Manual	<input type="checkbox"/>	Operational Safety Requirement	<input type="checkbox"/>	ICRS Procedure	<input type="checkbox"/>
FSAR/SAR	<input type="checkbox"/>	IEFD Drawing	<input type="checkbox"/>	Process Control Manual/Plan	<input type="checkbox"/>
Safety Equipment List	<input type="checkbox"/>	Cell Arrangement Drawing	<input type="checkbox"/>	Process Flow Chart	<input type="checkbox"/>
Radiation Work Permit	<input type="checkbox"/>	Essential Material Specification	<input type="checkbox"/>	Purchase Requisition	<input type="checkbox"/>
Environmental Impact Statement	<input type="checkbox"/>	Fac. Proc. Samp. Schedule	<input type="checkbox"/>	Tickler File	<input type="checkbox"/>
Environmental Report	<input type="checkbox"/>	Inspection Plan	<input type="checkbox"/>	Other	<input checked="" type="checkbox"/>
Environmental Permit	<input type="checkbox"/>	Inventory Adjustment Request	<input type="checkbox"/>		<input type="checkbox"/>

20. Other Affected Documents: (NOTE: Documents listed below will not be revised by this ECN.) Signatures below indicate that the signing organization has been notified of other affected documents listed below.

Document Number/Revision	Document Number/Revision	Document Number/Revision
N/A		

21. Approvals

Signature	Date	Signature	Date
Design Authority		Design Agent	
Cog. Eng. P. S. Schaus <i>P. S. Schaus</i>	<u>5/20/98</u>	PE	_____
Cog. Mgr. R. W. Root <i>R. W. Root</i>	<u>5/21/98</u>	QA	_____
QA		Safety	_____
Safety		Design	_____
Environ.		Environ.	_____
Other		Other	_____
H. Rossi			_____

DEPARTMENT OF ENERGY

Signature or a Control Number that tracks the Approval Signature

ADDITIONAL

Hanford Tanks Initiative Requirements and Document Management Process Guide

P. S. Schaus and H. Rossi (TRW Environmental Systems)
Lockheed Martin Hanford Corporation, Richland, WA 99352
U.S. Department of Energy Contract DE-AC06-96RL13200

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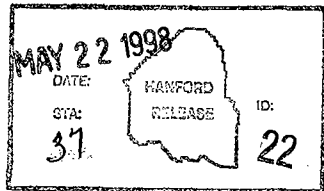
Key Words: HTI, configuration management

Abstract: This revision of the guide provides updated references to project management level Program Management and Assessment Configuration Management activities, and provides working level directions for submitting requirements and project documentation related to the Hanford Tanks Initiative (HTI) project. This includes documents and information created by HTI, as well as non-HTI generated materials submitted to the project.

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RS

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P. S. Schaus

Steve Schaus

R. W. Root

BR

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Revision 1

HANFORD TANKS INITIATIVE REQUIREMENTS AND DOCUMENT MANAGEMENT PROCESS GUIDE

May 1998

P. S. Schaus
Lockheed Martin Hanford Corporation
Richland, Washington

H. Rossi
TRW Environmental Systems
Richland, Washington

Prepared for
U.S. Department of Energy
Richland, Washington

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LIST OF TERMS

CM	Configuration Management
CMP	Configuration Management Plan
DCS	Document Control System
DCSC	Document Control Service Center
DOE	U.S. Department of Energy
F&R	Functions and requirements
GK	Gatekeeper
HLAN	Hanford Local Area Network
HTI	Hanford Tanks Initiative
PFC	Project File Custodian
PHMC	Project Hanford Management Contractor
RDA	Requirements Database Administrator
RDD-100	Requirements Driven Design-100 (database)
RMIS	Records Management Information System
ROR	Record of Revision
TWRS	Tank Waste Remediation System
WFC	Working File Custodian

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HANFORD TANKS INITIATIVE REQUIREMENTS AND DOCUMENT MANAGEMENT PROCESS GUIDE

1.0 PROCESS GUIDE PURPOSE

This guide provides Hanford Tanks Initiative (HTI) project management with processes and requirements to appropriately control HTI information and documents in accordance with the *Tank Waste Remediation System (TWRS) Configuration Management Plan (CMP)* (Vann 1998b). This includes documents and information created by HTI, as well as non-HTI generated materials submitted to the project. It is intended to provide HTI team members with simple instructions for getting information into the appropriate approval, control, distribution and filing systems.

The HTI Document Control Checksheet (Appendix A) should be used as a template for processing and tracking database changes and documents. The checksheet is offered as an "optional aid," and is not to be retained in the permanent files. As an optional aid, users should use a graded approach to determine the level of its usage.

The change and document control processes described herein provide project management with visibility into, and control over, changes that affect the project. These systems also provide a controlled, centralized, shared access to accurate, consistent, and timely information for all HTI participants. This access will facilitate the coordination of efforts for the efficient execution of the project mission. The systems also provide a change history and traceability to source documents and to decision making logic, and further provide measures for controlling and protecting sensitive information. The described processes meet all relevant configuration management (CM), systems engineering, and Hanford Site document control and recordkeeping requirements.

As a project under the Tank Waste Retrieval (TWR) and Disposal/TWRS programs, the HTI is subject to the requirements of the TWRS CMP (Vann 1998b), and the *TWRS Configuration Management Implementation Plan* (Vann 1997), which comply with the configuration management requirements defined in the *Configuration Management Plan* (FDH 1997), *TWRS Systems Engineering Management Plan* (Peck 1998), *Tank Waste Remediation System Program Plan* (Freeman 1988), and ultimately the U.S. Department of Energy (DOE) *Guide for Operational Configuration Management Programs Including the Adjunct Programs of Design Reconstitution and Material Conditioning and Aging Management* (DOE 1993).

The TWRS CMP (Vann 1998b) integrates technical and administrative control to establish and maintain consistency among requirements, product configuration, and product information during all phases of the product's life cycle. Information and document control requirements established by the TWRS CMP (Vann 1998b) must be specified in vendor and

subcontractor statements of work to assure information received is in a useable format and comply with deliverable requirements.

Configuration Management includes the following:

- CM System Management
- Configuration Item and Configuration Information Identification
- Configuration Status Accounting
- Change Control
- CM Assessment
- Design Requirements Control
- Document and Information Control.

This document provides detailed guidance for Design Requirements Control and Document Control, and provides references to applicable guidance to the remaining elements. Controlled copies of all materials referenced in this document are retained in the HTI working file (See Section 3.2).

2.0 CONFIGURATION SYSTEM MANAGEMENT ELEMENT

The Configuration System Management element establishes oversight for CM and provides for CM integration of participants to ensure the integrity and quality of the baseline, processes, and implementing procedures. It includes the following:

- Program Planning
- CM Training
- Vendor and Contractor Control
- Interfaces
- Procedures.

See the *Tank Waste Remediation System Configuration Management Program Plan* (Vann 1998a) and the *Tank Waste Remediation System Configuration Management Implementation Plan* (Vann 1997) for a more detailed description and specific directions.

3.0 HANFORD TANKS INITIATIVE REQUIREMENTS DATABASE CHANGE AND DOCUMENT CONTROL SYSTEMS

The requirements database change and document control functions are separate, but linked, systems. The requirements database system manages HTI design requirements using an automated database. The document control system (DCS) manages all HTI generated and received records, documents and files, including those produced by the requirements database system, using existing Hanford site document control resources. This includes both hard copy and electronic files generated internally and received from external sources, such as vendors. Vendor files include a wide variety of media, such as zip drives, photo CDs, etc. The DCS further includes processes for controlling and protecting sensitive information.

Some documents used by the HTI Project may come from and are controlled by other Hanford programs, projects, operations, etc. In cases where the documents are controlled outside of the HTI organization, pointers to these other systems should be included in the HTI system without duplicating records. This may be done by entering a memo referencing such documents and indicating their sources. For changes to the technical scope of work, cost, and schedule baselines, related to the Change Control Process, see Hanford Site standard *Management Control System* (FDH 1996). This control manual provides a step-by-step instruction for formal change control.

3.1 REQUIREMENTS DATABASE SYSTEM

The Requirements Driven Design-100 (RDD-100) database is the computer software tool used for controlling requirements related data changes. It contains baselined information, including the following:

- Functions and Performance Specifications
- Interface Requirements
- Design Constraints
- Function and Flow Block Diagrams
- Architectural Descriptions
- Requirements Related Issues
- Requirement Related Decisions.

As an approved baseline, the RDD-100 files are subject to all CM change control requirements, as described in *Management Control System (FDH 1996)*, and *TWRS CMP (Vann 1998b)*.

In addition to controlling baselined requirements files, the RDD-100 system also serves as a tool to support requirements related processes. By providing “working copies” of baselined files, the system allows data to be used, under the auspices of the appropriate gatekeeper, without breaching the configuration control of baselined files. The database system can therefore be used to develop database change requests, as well as for the preparation of documents, as listed below. All documents generated for the RDD-100 system are subject to CM.

- Specifications
- Functions & Requirements (F&R) Documents:
 - F&R Allocation Sheets
 - Design Constraint Forms.
- Interface Control Descriptions
- Issues Lists
- Other Custom Reports and Documents.

HTI technical leads and subject matter experts serve as Gatekeepers for submitting data into the HTI Requirements Database, for their respective areas of responsibility (see Section 5.0, Table 2, for a list of Gatekeepers). The Gatekeepers review, revise, and/or approve all changes to the database, and submit them to the database administrator for entry, as described in Section 5.2 of this guide. Once entered into the database, the requirements system processes, stores, and formats changes for incorporation into printed documents and/or for viewing using the RDD-100 Browser. All changes to the baselined database must follow

all rules and requirements for change control, using appropriate forms (Engineering Change Notice [ECN], Engineering Data Transmittal [EDT], etc.), as prescribed by the *Tank Waste Remediation System Configuration Management Program Plan* (Vann 1998a).

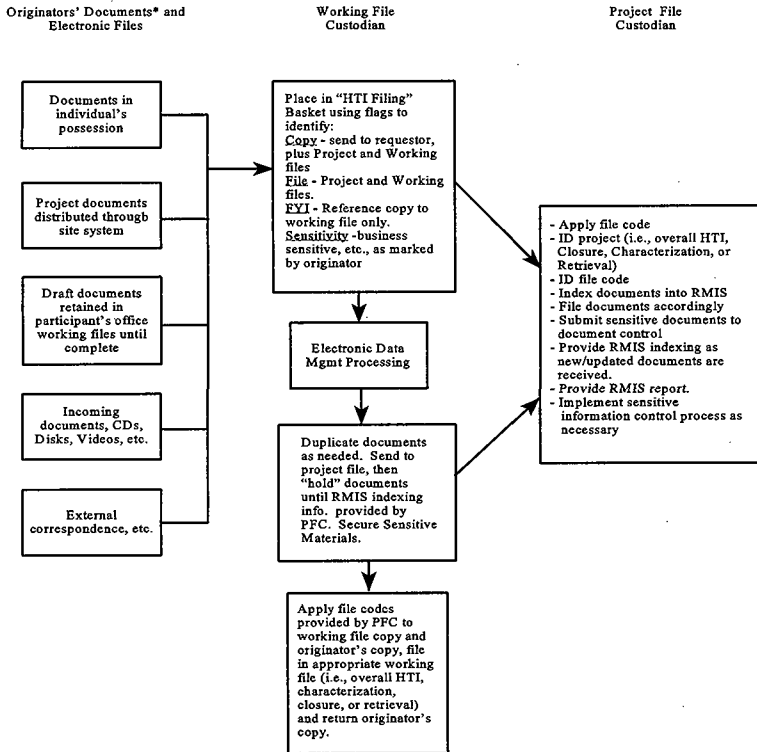
Not all changes require the generation and/or distribution of revised requirements documents. The administrator of the requirements database normally compiles minor changes until the document owner and/or Gatekeeper decides to issue a revised document to meet milestones and other deliverable requirements. To revise documents, the database system incorporates accumulated changes and produces a document for delivery to the document owner or Gatekeeper. Document Owners/Gatekeepers are then responsible for entering the document into the HTI DCS, as described in Sections 5.1, 5.4, and 5.5.

3.2 DOCUMENT CONTROL SYSTEM

The DCS is intended to collect, distribute, store, and control all documents and communications generated and/or received in support of the HTI project, as shown in Figure 1. This includes all letters, study reports, action item lists, business sensitive information, authorizations, telephone communication notes, etc. It includes documentation produced within the project, as well as materials submitted to the project from outside sources. Appendix B provides a sampling of typical indexing subjects used by DCS for organizing project files. It is included as a reference as to the types of information subject to the DCS.

HTI electronic files are structured to parallel the DCS hard file list as shown in Appendix B, and are stored at the Records Management Information System (RMIS) project and individual working file levels. These electronic files are stored on a shared drive designated for the HTI project and are automatically backed up nightly. Higher-level files will be password protected and available to HTI participants as read only. File custodians, as described in Section 5.0, have a read-write capability on these directories. Electronic media to be stored and controlled include photo-CDs, zip drives, videos, as well as more conventional shared drive access to document files. It should be noted that business sensitive information is not scanned into the electronic system, except as titles indexed for tracking. See Section 3.3 of this document for a more detailed discussion of sensitive information.

Figure 1. Document and Electronic File Control Flow.



* With Gatekeeper Concurrence

HTI = Hanford Tanks Initiative
PFC = Project File Custodian
RMIS = Record Management Information System
WFC = Working File Custodian

The HTI project uses existing Hanford documentation and records management resources for document control. The Lockheed Martin Services Inc., Documentation and Records Management group, provides site-wide information management and document control services. These services include the operation of localized Document Control Service Centers (DCSC) which process incoming documents and maintain HTI project files. The services provided by the centers include document scanning, indexing, document release, document clearance, distribution, and storage, as required. The DCSC located in 2440 Stevens, Room 1512, serves as the TWRS Document/Information Management Center, and houses the HTI Project File. It is supported by an assigned HTI Project File Custodian (PFC) located in Room 1310. A listing of other DCSC locations is available on the HLAN (Hanford Information), under "Document Service Centers."

In addition to the project files maintained by Documentation and Records Management, a duplicate set of files will be maintained and controlled as working files in the Project Office, for use by HTI personnel. These files will be maintained by a Working File Custodian (WFC) located in the Project Office.

3.3 CONTROL OF SENSITIVE INFORMATION

All HTI personnel are responsible for controlling sensitive information in their possession. This includes contractor proprietary, business sensitive, competition sensitive, etc. documents, records, and data. Appropriate actions must be taken by the holder to provide locked storage of such materials and to prevent their inadvertent improper release. Documents and information determined to be sensitive must be identified and marked by the HTI originator or receiver, and verified appropriate by the gatekeeper. Once identified and processed by the originator (See Sections 5.0 and 6.0), sensitive materials must be passed directly to the appropriate file custodian for further processing into the DCS. See Appendix D for a detailed description of the sensitive information types, their processing, and sample forms.

3.4 REVIEW AND SIGN-OFF AUTHORITY

Changes that affect the technical or performance baseline (Class I Changes), require dispositioning by the Project Hanford Management Contractor (PHMC) Change Board and the RL TWRS Director. Changes that effect the scope, schedule, and/or budget at the cost account level of the project (Class II Changes) require PHMC Change Control Board approval. For such changes, see the *Management Control System* (FDH 1996) for instructions and the *Tank Waste Remediation System Configuration Management Program Plan* (Vann 1998a).

Other changes that do not affect baseline cost, scope, or schedule (Class III Changes) require dispositioning by the HTI Project Manager for verification of implementation. The HTI Project Office is responsible for configuration management of the project's baseline documents. All changes must be approved by the HTI Project Manager and the technical

leads, or gatekeepers, for the Demonstrate Retrieval Technologies In-Tank, Establish Closure Basis and Implement Closure subprojects. See Table 1 for a listing of Gatekeepers.

Changes are submitted to the cognizant technical lead for initial review and approval. They are then either implemented or submitted directly to the Project Manager, as determined by the Gatekeeper (technical lead).

4.0 INFORMATION AND DOCUMENT CONTROL ASSESSMENTS

The assessment element of CM defines facility configuration management needs, and measures the effectiveness of the CM program in establishing and maintaining the program's basic relationships, throughout the life of the facility. As described in the *Guide to Operational Configuration Management* (DOE 1993), the assessment includes the following:

- Programmatic Assessments:
 - Initial Assessments
 - Post-implementation Assessments
 - Periodic Effectiveness Assessments
 - Vendor and Contractor Assessments
 - Technical Reviews, Audits and Assessments
- Physical Configuration Assessments
- Periodic Equipment Performance Monitoring
- Post-Modification Testing.

See *Tank Waste Remediation System Configuration Management Program Plan* (Vann 1998a) and *Tank Waste Remediation System Configuration Management Program Implementation Plan* (Vann 1997) for specific directions.

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5.0 ROLES AND RESPONSIBILITIES

The following Sections (5.1-5.6) provide a top level description of the information and documentation control roles of HTI participants. See Section 6.0 for detailed instructions and examples. The following matrix (Table 1) is a directory of HTI performers, provided to facilitate processing.

Table 1. Roles and Responsibilities Matrix.

Role	Name	Title	Area of concern
Gatekeepers:	Bill Root	Project Manager	HTI Project Management
	Al Noonan	Technical Lead	Characterization Subproject
	Larry McDaniel	Technical Lead	Dem. Retrieval Tech. In-Tank Subproject
	Dave Becker	Technical Lead	Establish Closure Basis Subproject
	John Bloom	Subject Matter Expert	Environmental Safety & Health
	Jeff Huston	Subject Matter Expert	Quality Assurance
	Steve Schaus	Subject Matter Expert	Systems Engineering
	Jim Yount	Subject Matter Expert	Technology Alternatives Subproject
HTI Project Files Custodian	Finette Wickstrand	Records Specialist	Document Control Service Center
HTI Work Files Custodian	Joanne Johnson	Secretary	HTI Support
Requirements Database Administrator	Ron Barden (TRW Environmental Systems)	Project Engineer	Requirements Database

HTI = Hanford Tanks Initiative.

5.1 DOCUMENT AND CHANGE ORIGINATORS

Document and change originators perform the following tasks:

- Develop changes, original documents, drawings, records, electronic files etc., or receive documents, CDs, videos, disks, etc., from outside HTI.
- Prepare justification notices and explanations as required.
- Prepare necessary cover pages and forms.
- Prepare distribution lists, to include HTI PFC and WFC.
- Obtain required signatures and authorizations, through the cognizant Gatekeeper(s).
- Submit approved package into the appropriate system:
 - Requirements Database, through Gatekeepers, for requirements and specification changes
 - DCS for new, changed, or received documents and records, with gatekeeper approval.
 - Implement process for the control of sensitive information through the HTI Project File Custodian.

5.2 GATEKEEPERS

Gatekeepers have responsibility for the following:

- Review changes, original documents, etc. for correctness, concurrence and approval for entry into the system, etc.
- Comment on, or correct, submittals, as necessary.
- Provide change authorization by signature, or through HTI Project Manager, etc.
- Submit the database change packages to the Requirements Database Administrator (RDA).
- Return completed/approved documents to originator for processing through DCSC, or submit documents prepared by the RDA to DCSC directly.

- Review documents for impact on the requirements database, and channel information into database as necessary.
- Identify sensitive information and ensure control process is implemented through the originator (described above).

5.3 REQUIREMENTS DATABASE ADMINISTRATOR

The RDA is responsible for the following:

- Review changes for adherence to data structure rules.
- Sign-off on Database Change Request, prior to data entry.
- Input authorized changes into the RDD-100 database.
- Maintain Browser and Control Files.
- Prepare necessary or requested documents for signature and distribution.
- Return completed documents to the Gatekeeper for processing by DCS.

5.4 DOCUMENT CONTROL SERVICE CENTERS

The Document Control Service Centers (DCSC) perform the following:

- Process packages as necessary, according to the *Document Control Manual* (FDH 1997b).
- Distribute released documents per the distribution list provided (to include HTI PFC and WFC).
- Control access to sensitive information.
- Provide access to electronic files, as authorized.
- Provide hard copies of documents as requested and authorized.

5.5 HANFORD TANKS INITIATIVE PROJECT FILE CUSTODIAN

The HTI PFC is responsible for the following:

- Sort and file inputs by subproject
- Process Electronic Files
- Maintain files
- Set file names and locations
- Control access to files

- Ensure password protection
- Index files
- Enter electronic file to shared drive
- Provide copies as requested
- Maintain/update designated files on HTI shared drive.
- Control access to sensitive information.

5.6 HANFORD TANKS INITIATIVE WORKING FILE CUSTODIAN

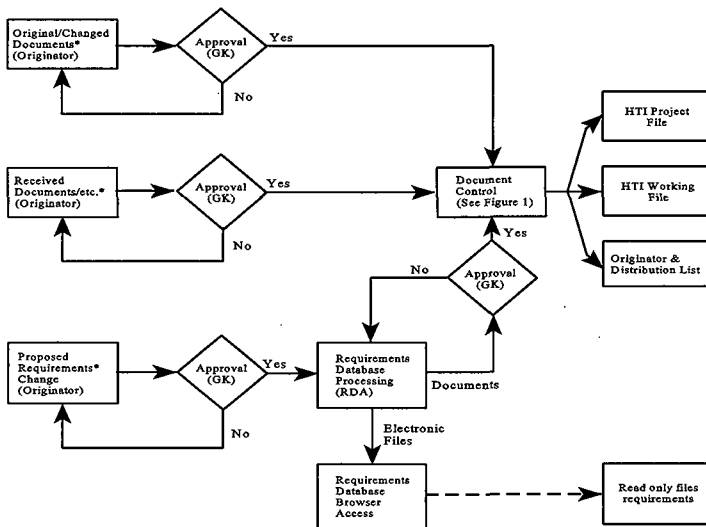
The HTI WFC is responsible for the following:

- Receive documents, etc., from originators, sort and process by subproject.
- Submit documents, etc., to PFC for processing.
- Maintain updated working files in HTI Project office.
- Control access to working files.
- Verify electronic documents match hard copy of documents.
- Provide copies as requested.
- Maintain controlled copies of all documents referenced in the desk instruction.
- Control access to sensitive information.

6.0 PROCESSES

The following processes are designed to facilitate the flow of data, documents and records from their originators, through appropriate approval cycles, and into working and project files. Figure 2 provides an overview of the processes to guide users to the appropriate process to meet their needs.

Figure 2. Information and Documentation Management Flow.



* Completed packages to include all forms (ECN, EDT, etc.) and a document identification number, as issued by the Document Control Service Center.

GK = Gatekeeper
HTI = Hanford Tanks Initiative
RDA = Requirements Database Administrator
WFC = Working File Custodian

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All documents, data, and information relevant to the HTI project should eventually end up in the permanent project file, the HTI working file, and in the electronic file system maintained by DCS. They are processed through the gatekeepers for review and approval, and then to WFC for entry into the DCS.

6.1 SUBMITTING DOCUMENTS RECEIVED FROM OUTSIDE HANFORD TANKS INITIATIVE

The process for submitting documents received from outside HTI is shown in Table 2.

Table 2. Submitting Documents Received From Outside Hanford Tanks Initiative.

Step	By	Process
A	Originator	Prepare brief informal cover memo of explanation, including sensitivities, and necessary forms (ECN, EDT, etc.).
B	Originator	Submit to cognizant Gatekeeper.
C	Gatekeeper	Review and approve for permanent filing in the Document Control System. Ensure sensitive materials are protected.
D	Gatekeeper	Review for impact on requirements database, baselines, etc.
E	Gatekeeper	Return to originator.
F	Originator	Submit to Working File Custodian, with flags identifying distribution and sensitivity.
G	WFC	Process (See Figure 1, Document and Electronic File Control Flow).

ECN = Engineering Change Notice
EDT = Engineering Data Transmittal
WFC = Working File Custodian.

6.2 SUBMITTING REQUIREMENTS CHANGES

The process for submitting requirements changes is shown in Table 3.

Table 3. Submitting Requirement Changes.

Step	By	Process
A	Originator	Prepare necessary HTI Requirements Database Change Request (See Appendix C).
B	Originator	Submit requirements change package to Gatekeeper, including necessary forms (ECN, EDT, etc.).
C	Gatekeeper	Review/revise, approve/sign-off or consult with other Gatekeepers and/or Project Manager for approval/sign-off.
D	Gatekeeper	Submit to Requirements Database Administrator.
E	RDA	Review for proper database structure, revise/consult with originator and approve for data entry.
F	RDA	Process changes/prepare Requirements Driven Design-100 (database) generated documents if requested.
G	RDA	Return Requirements Driven Design-100 (database) documents to Gatekeeper, if generated.
H	Gatekeeper	Return Requirements Driven Design-100 (database) document with authorizing signature(s) to originator or owner.
I	Originator	Obtain other approval signatures, if required.
J	Originator	Deliver to WFC for processing.
K	WFC	Begin Document Control System Processing (See Figure 1, Document and Electronic File Control Flow).

ECN = Engineering Change Notice
EDT = Engineering Data Transmittal
RDA = Requirements Database Administrator
WFC = Working File Custodian.

6.3 CHANGING OR SUBMITTING DOCUMENTS GENERATED BY HANFORD TANKS INITIATIVE

The process for changing or submitting documents generated by HTI is shown in Table 4.

Table 4. Changing or Submitting Documents Generated by Hanford Tanks Initiative.

Step	By	Process
A	Originator	Request Document Identification Number for Rev. 0 documents from the Document Control Service Center.
B	Originator	Prepare necessary cover sheets and forms. <ul style="list-style-type: none"> - Cover sheet (macro GEF321) - Engineering Data Transmittal (Form BD-7400-172-2 [macro GEF097]) for all Rev. 0 documents and drawings. - Distribution list (macro WEF067), to include the HTI Working File and Project File Custodians. - Engineering Change Notice (macros GEF095, GEF096) for all revisions after Rev. 0. - Record of Revision (ROR) (macro WEF168) for all revisions after Rev. 0. - Note sensitive materials if necessary.
C	Originator	Submit to Gatekeeper for review/comment.
D	Gatekeeper	Review/revise, approve/sign-off or submit to HTI Program Manager for approval/sign-off, or for upper level and approval, if necessary.
E	Gatekeeper	Review for impact on requirements database, and ensure sensitive materials are protected.
F	Gatekeeper	Return document with authorizing signature(s) to originator.
G	Originator	Deliver to WFC for processing.
H	WFC	Begin Document Control System Processing (See Figure 1, Document and Electronic File Control Flow).
I	WFC	Compare electronic copies against hard copy original for accuracy, after distribution, etc., and file.

HTI = Hanford Tanks Initiative
WFC=Working File Custodian.

6.4 RETRIEVAL OF DOCUMENTS AND REVIEW OF UNPUBLISHED CHANGES

Contact the HTI PFC or WFC to obtain or view released documents, etc., and for access to electronic file. Contact the RDA for access to the database browser to review all unpublished changes to the requirements database.

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Revision 1

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7.0 REFERENCES

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- Freeman, D.V., 1998, *Tank Waste Remediation System Program Plan*, HNF-1883, Rev. 0, prepared by Lockheed Martin Hanford Corporation for Fluor Daniel Hanford Inc., Richland, Washington.
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APPENDIX A

HANFORD TANKS INITIATIVE DOCUMENT CONTROL CHECKSHEET

Subproject:		Subproject Engineer/Gatekeeper:	
Summary of Required Change:			
A. REQUIREMENTS CHANGES		By	From
1. Forms completed:			
Requirements Database Change Request			
Coversheet (for DCS docs only)			
Engineering Data Transmittal			
Distribution List			
Engineering Change Notice (for DCS docs only)			
Record of Revision (for DCS docs only)			
2. Submitted for approval to: _____			
3. Approved by:			
Gatekeeper			
Change Control Board (By Gatekeeper)			
HTI Project Manager (By Gatekeeper)			
4. Submitted to RDD-100 Administrator by Gatekeeper			
5. Changes Incorporated Into RDD-100 By Administrator			
6. RDD-100 Documents Returned by Gatekeeper			
7. Documents Submitted to Working File Administrator			
B. DOCUMENT CHANGES OR SUBMITTALS			
1. Document Identification Number from DCSC			
2. Identify and mark sensitivities			
3. Forms:			
Engineering Change Notice			
Record of Revision			
Engineering Data Transmittal			
Distribution List (Include sensitivity information as necessary)			
Release Authorization Form			
Limited Distribution Cover Sheet (sensitive information only)			
4. Submitted for approval to: _____			
5. Approved by:			
Gatekeeper			
HTI Project Manager			
Change Control Board (By Gatekeeper)			
6. Documents Submitted to Working File Administrator			

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APPENDIX B

SAMPLE PROJECT RECORDS INDEX SUBJECTS

Note: This is a sample of the typical subject listings in the Project Records Index. For a complete and updated listing, contact the HTI Project Files Custodian.

**PROJECT RECORDS INDEX/PACKAGE ACCEPTANCE RECORD
ADMINISTRATIVE**

CORRESPONDENCE

- A/E Correspondence
 - Letter of Instruction
 - Letters/Memos
 - DSIs/CC:Mail
- CC Correspondence
 - Letter of Instruction
 - Letters/Memos
 - DSIs/CC:Mail
- OC Correspondence
 - Letter of Instruction
 - Letters/Memos
 - DSIs/CC:Mail
- RL Correspondence
 - Letter of Instruction
 - Letters/memos
 - DSIs/CC:Mail
- Other Correspondence

TRANSMITTALS

TELEPHONE RECORDS

MEETING MINUTES

- Technical Review Boards
- Key Reviews
- Management Review Boards
- Critical decisions

TRIP/CONFERENCE REPORTS

PROGRESS REPORTS/STATUS REPORTS (monthly, quarterly, weekly, daily)

REVIEW COMMENTS/DATA

PHOTOGRAPHS/VIDEOS

KEY DECISIONS/MILESTONES

- Project Validation

OTHER ADMINISTRATIVE DOCUMENTS

- Presentations
- Task Orders

PLANNING (INPUTS)

ENGINEERING STUDY/LETTER REPORTS
SUPPLEMENTAL DESIGN REQUIREMENTS DOCUMENT
CONCEPTUAL DESIGN REPORTS
FUNCTIONAL DESIGN AND DESIGN REQUIREMENTS
SITE EVALUATION
MANAGEMENT PLANS
PROJECT PLAN
WORK PLANS
SCHEDULES
STATEMENT OF WORK
PROJECT START-UP CHECKLIST
VALUE ENGINEERING
TECHNICAL DATA CHECKLIST
PLANT FORCES WORK REVIEW
OTHER PLANNING DOCUMENTS

DESIGN (OUTPUTS)

DRAWINGS
CALCULATIONS
SPECIFICATIONS
• CONSTRUCTION
• PROCUREMENT
• GENERAL
DESIGN VERIFICATION
OTHER DESIGN DOCUMENTS
INTERFACE CONTROL

FINANCIAL

PROJECT AUTHORIZATION/MODIFICATION
WORK ORDERS
CHANGE REQUESTS
ENGINEERING CONSTRUCTION CHANGE
ESTIMATES
JUSTIFICATION FOR NEW START/MISSION NEED
PURCHASE ORDERS
• Purchase Requisitions
• Material Requisitions
OTHER FINANCIAL DOCUMENTS

SAFETY

PRELIMINARY SAFETY EVALUATION
FIRE HAZARDS/PROTECTION/SAFETY CLASSIFICATION
PRELIMINARY/FINAL SAFETY ANALYSIS REPORT

PRE-JOB SAFETY PLANNING/JOB SAFETY ANALYSIS
OTHER SAFETY DOCUMENTS
NUCLEAR REGULATORY COMMISSION DOCUMENTATION
ALARA
UNREVIEWED SAFETY QUESTIONS

ENVIRONMENTAL

ASSESSMENTS/EVALUATIONS/ANALYSES
IMPACT STATEMENT
RESOURCES REVIEWS
HEHF REPORTS
OTHER ENVIRONMENTAL DOCUMENTATION

QUALITY ASSURANCE

QUALITY ASSURANCE PLANS
ASSESSMENTS/SURVEILLANCES
OTHER QUALITY ASSURANCE DOCUMENTS

CONSTRUCTION (OUTPUTS)

PERMITS
SURVEY DATA
NOTICE OF CONSTRUCTION
CHANGE NOTICES
PROCESS/WORK CONTROL PACKAGES
SUBMITTALS/VENDOR INFORMATION
RECORD OF FIELD WALKDOWNS
CONTRACT DOCUMENTS
OTHER CONSTRUCTION DOCUMENTS
SUPPLIER/SUBCONTRACTOR DISPOSITION REQUESTS

QUALITY CONTROL

TEST PROCEDURES/ REPORTS
INSPECTION PLANS
SITEWORK RECORDS

- Concrete Records
- Mechanical Records
- Electrical Records

PRESSURE TEST CERTIFICATIONS
INSPECTION REPORTS
NONCONFORMANCE REPORTS
WELD RECORDS/WELD MAPS
PUNCHLISTS/DEFICIENCY REPORTS
MEASURING AND TEST EQUIPMENT USE RECORD
CRITICAL LIFT PROCEDURES
DRILL LOGS

GENERAL INSPECTION LIST/SURVEILLANCE REPORTS
OTHER QUALITY CONTROL RECORDS

CLOSEOUT

ENGINEERING FINAL DESIGN CHECKLIST
WORK ACCEPTANCE
OFFICIAL ACCEPTANCE OF CONSTRUCTION
LESSONS LEARNED
CONSTRUCTION COMPLETION AND COST CLOSING STATEMENT (4Cs)
OTHER CLOSEOUT DOCUMENTS

OPERATIONS

OPERATION TEST PROCEDURES/REPORTS
ASSESSMENTS
PLANS
EQUIPMENT TESTING
SURVEILLANCES
READINESS CHECKLIST
SAFETY

APPENDIX C

**HANFORD TANKS INITIATIVE
REQUIREMENTS DATABASE CHANGE REQUEST FORM**

- HTI Requirements Database Change Request (DCR Form)
- Samples of Backup Materials

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APPENDIX C

**HANFORD TANKS INITIATIVE
REQUIREMENTS DATABASE CHANGE REQUEST**

DCR number: 000

EFFECTED DOCUMENT (FRD, PDC, WRS Spec, etc): _____

DATE of .mdb/.im file: _____

TODAY'S DATE: 12/17/96 CHANGE PROPOSED BY (your name): M. Leonard

ORGANIZATIONS AFFECTED (who you think will be affected by change):

ACTR _____ C-106 Retrieval _____ Closure Basis _____

Project Lead _____ OTHER(specify) _____

HSTB / TWRS-SE _____ (Date of affected version)

SUMMARY OF PROPOSED CHANGE:

Example data input format for System Requirements. Also gives examples on how to change data already in database (C-106 Retrieval Demonstration System Component)

WHY IS THE CHANGE NEEDED (benefit of change):

Communicate to HTI Leads and Team members how to change to the database.

SPECIFIC CHANGES TO DOCUMENT (as needed, provide attachment of affected pages with pen and ink or similar markups clearly showing proposed changes):

See Attached

TEAM LEAD REVIEW (others as needed):

J.A. Yount , ACTR	Date	L.B. McDaniel, C-106 Ret.	Date
E.A. Fredenburg, Closure	Date	P.S. Schaus, SE Lead	Date
	Date	F&R database	Date

ADMINISTRATIVE

	Date	Database Admin.	Date
Incorporated by:	Date		Date

CHANGE IMPLEMENTED: (Requestor) _____

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**EXAMPLE SYSTEM REQUIREMENT DATA INPUT FORM
ATTRIBUTES AND RELATIONSHIPS**

Element Type: System Requirement

Element Name: «Enter Name of SR IAW TWRS RDD-100 Users's Guide (Section 3.2)»

Element Number:

ATTRIBUTES

creator: «RDD Auto entry»

creation Date: «RDD Auto entry»

modification Date: «RDD Auto entry»

modification Time: «RDD Auto entry»

description: «Enter Requirement text»

requirement Type: «null (if Constraint), Performance, Functional, Design Constraint»

title: «Give Requirement Title. For Derived requirements this is the string that prints as the Spec. Section title»

project Unique ID: «For Constraints, TWRS; For Derived Requirements, HTI or null»

RELATIONS

Relation: categorized_by

Related Type: Category

Related Number:

Related Name: «Constraint or Derived»

Relation: «documented_by or incorporated_by»

Related Type: «Source or System Requirement»

Related Number:

Related Name:

Conditional Relationships

Relation: raises
Related Type: Critical Issue
Related Number:
Related Name:
Relation: resulted_from
Related Type: Decision
Related Number:
Related Name:

If Category = "Derived", then:

Relation: traces_to
Related Type: «Component or Time Function»
Related Number:
Related Name:

Relation: verified_by
Related Type: Verification Requirement
Related Number:
Related Name:

Example Component Change

Element Type: Component

Element Name: Retrieval Demonstration Support Personnel Waste Removal System

Element Number: 2.1

ATTRIBUTES

creator: Hanford Tanks Initiative

creationDate: 08/29/96

modificationDate: 09/26/96

modificationTime: 14:44:17

Description: Retrieval operations support personnel that set-up, operate, disassemble and maintain the waste retrieval system being tested. This also includes any supplies (spares) and tool kits (wrenches, screwdrivers, multimeters, etc.) required to support the related activities.

Offsite vendor supplied Waste Removal System (WRS) that consists of equipment required to: (a) deploy the waste removal tool to the 241-C-106 tank waste surface and back out of the tank; (b) remove the waste from 241-C-106; (c) provide the motive force for transferring waste to DST storage; and (d) control and monitor the WRS during operation.

componentType: System Segment

status: Pending

approvedBy:

RELATIONS

Relation: traced_from

Related Type: SystemRequirement

Related Number:

Related Name: DOE 5480.11A, 5480.10 ; WHC-CM-4-11, Appendix 7-B

Relation: traced_from

Related Type: SystemRequirement

Related Number:

Related Name: DOE Order 5480.11 9.j(1)(d); WHC-CM-4-9, 4-11;

ORNL/TM-10864

Relation: traced_from
Related Type: SystemRequirement
Related Number:
Related Name: DOE Order 5480.11, W-340-0 C1, F&A ISU1

Relation: traced_from
Related Type: SystemRequirement
Related Number:
Related Name: OSD-T-151-00013.3

Relation: traced_from
Related Type: SystemRequirement
Related Number:
Related Name: W-340-0 C1, ISU1, WHC-EP-0352

Relation: resulted_from
Related Type: Decision
Related Number:
Related Name: HTI Tank Farm Retrieval Architecture Enabling Assumption

Relation: owned_by
Related Type: Engineer
Related Number: (ghost)
Related Name: Hanford Tanks Initiative

Relation: built_in
Related Type: Component
Related Number: 2.0
Related Name: Tank Farm Retrieval Demonstration System

Relation: performs
Related Type: TimeFunction
Related Number: 1.2.3.84
Related Name: ~~Deactivate Tank Deploy Waste Removal System~~

Relation: performs
Related Type: TimeFunction
Related Number: 1.2.3.3 6
Related Name: ~~Install WRS Remove Waste from 241-C-106~~

Relation: performs
Related Type: TimeFunction
Related Number: 1.2.3.40 7

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Related Name: ~~Maintain Retrieval System~~ Transfer Waste to DST Storage

Relation: performs

Related Type: TimeFunction

Related Number: 1.2.3.5 9

Related Name: ~~Operate Retrieval System~~ Control and Monitor the WRS

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APPENDIX D

**SENSITIVE INFORMATION CONTROL
INSTRUCTIONS AND FORMS**

- Supporting Documentation Cover Sheet Completion Instructions
- Sample Forms
 - Limited Distribution Only: Not for Public Release
 - Approved for Public Release

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SUPPORTING DOCUMENT COVER SHEET COMPLETION INSTRUCTIONS

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- Reactor design/construction/modification
- Resolutions of reactor flaws or malfunctions
- Diagrams of reactor design, construction, function
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- Characteristics and production of Special Nuclear Material (SNM)

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Information compiled before the act of making or coming to a judgement, determination, or conclusion, or information on which a decision eventually may be based. Predecisional information may include advisory opinions, alternative possibilities, potential recommendations, or deliberations that will constitute the basis for a judgement. Certain predecisional information is privileged under the *Freedom of Information Act* (FOIA) and may not be released to a requestor until after the final decision has been rendered. Other predecisional information, such as Draft Environmental Impact Statements, must be submitted to the public for comment, so that the final decision incorporates public input.

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- In text directly following the trademark
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HNF-____, Rev. ____

TITLE:

Author's Name:
Author's Company: _____, Richland, WA 99352
U.S. Department of Energy Contract DE-AC06-96RL13200

EDT/ECN: # **UC: 2030**
Org Code: **Charge Code:**
B&R Code: **Total Pages:**

Type of LIMITED USE Information: (for example: "PROPRIETARY")

Key Words:

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A-6400-073 (01/97) GEF321

INFORMATION CLEARANCE FORM

A. Information Category <input type="checkbox"/> Abstract <input type="checkbox"/> Journal Article <input type="checkbox"/> Summary <input type="checkbox"/> Internet <input type="checkbox"/> Visual Aid <input type="checkbox"/> Software <input type="checkbox"/> Full Paper <input type="checkbox"/> Report <input type="checkbox"/> Other _____	B. Document Number C. Title D. Internet Address
--	--

E. Required Information 1. Is document potentially Classified? <input type="checkbox"/> No <input type="checkbox"/> Yes (MANDATORY) _____ Manager's Signature Required If Yes _____ <input type="checkbox"/> No <input type="checkbox"/> Yes Classified ADC Signature Required 2. Internal Review Required? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, Document Signatures Below Counsel _____ Program _____ 3. References in the Information are Applied Technology <input type="checkbox"/> No <input type="checkbox"/> Yes Export Controlled Information <input type="checkbox"/> No <input type="checkbox"/> Yes	4. Does Information Contain the Following: (MANDATORY) a. New or Novel (Patentable) Subject Matter? <input type="checkbox"/> No <input type="checkbox"/> Yes If "Yes", Disclosure No.: _____ b. Information Received In Confidence, such as Proprietary and/or Inventions? <input type="checkbox"/> No <input type="checkbox"/> Yes If "Yes", Affix Appropriate Legends/Notices. c. Copyrights? <input type="checkbox"/> No <input type="checkbox"/> Yes If "Yes", Attach Permission. d. Trademarks? <input type="checkbox"/> No <input type="checkbox"/> Yes If "Yes", Identify in Document. 5. Is Information requiring submission to OSTI? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes UC- _____ and B&R- _____ 6. Release Level? <input type="checkbox"/> Public <input type="checkbox"/> Limited 7. Change Code _____
--	--

F. Complete for a Journal Article

1. Title of Journal _____

G. Complete for a Presentation

1. Title for Conference or Meeting _____

2. Group Sponsoring _____

3. Date of Conference _____ 4. City/State _____

5. Will Information be Published in Proceedings? No Yes 6. Will Material be Handed Out? No Yes

H. Author/Requestor _____ **Responsible Manager** _____

(Print and Sign) (Print and Sign)

I. Reviewers	Yes	Print	Signature	Public Y/N (If N, complete J)
General Counsel	<input type="checkbox"/>	_____	_____	Y / N
Office of External Affairs	<input type="checkbox"/>	_____	_____	Y / N
DOE-RL	<input type="checkbox"/>	_____	_____	Y / N
Other	<input type="checkbox"/>	_____	_____	Y / N
Other	<input type="checkbox"/>	_____	_____	Y / N

J. If Information Includes Sensitive Information and is not to be released to the Public indicate category below. Information Clearance Approval

<input type="checkbox"/> Applied Technology	<input type="checkbox"/> Protected CRADA
<input type="checkbox"/> Personal/Private	<input type="checkbox"/> Export Controlled
<input type="checkbox"/> Proprietary	<input type="checkbox"/> Procurement-Sensitive
<input type="checkbox"/> Business-Sensitive	<input type="checkbox"/> Patentable
<input type="checkbox"/> Predecisional	<input type="checkbox"/> Other (Specify) _____
<input type="checkbox"/> UCN	

K. If Additional Comments, Please Attach Separate Sheet

TITLE:

Author(s) name:
Author's Company: _____, Richland, WA 99352
U.S. Department of Energy Contract DE-AC06-96RL13200

EDT/ECN: # **UC:**
Org Code: **Charge Code:**
B&R Code: **Total Pages:**

Key Words:

Abstract:

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