Office of Civilian Radioactive Waste Management

OCRWM Baseline Management Procedure for Document Identifiers

Revision 1

(D00000000-00811-5000-00004)

December 1993

MASTER

***U.S. Department of Energy
Office Of Civilian Radioactive Waste Management
Washington DC, 20585***

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United States Government

Department of Energy

memorandum

DATE: December 14, 1993
REPLY TO: RW-323
ATTN OF:
SUBJECT: OCRWM Baseline Management Procedure for Document
Identifiers, Revision 1
TO: Associate Directors, OCRWM
Office Directors, OCRWM

Attached is the OCRWM Baseline Management Procedure for Document Identifiers, Revision 1. This revision reflects an update of the document type codes and originator codes, and includes a code for construction specifications. A draft of the revised procedure was circulated for review by all Program Offices, and all comments that were received were satisfactorily resolved and incorporated.

When available, printed copies of this revision will be distributed to Program Controlled Document Holders.

Please feel free to contact H. Jackson, Director Systems Engineering and Program Integration Division, should you have any questions. Mr. Hale can be reached on extension 6-9606.

Dwight E. Shelor
Associate Director for
Systems and compliance

Attachment

cc: w/o attachment
H. J. Hale, RW-32
T. Van, RW-323
C. Quan, RW-323
J. Penhaker, TRW

Title:			
OCRWM Baseline Management Procedure for Document Identifiers			
Procedure No.: A00000000-00811-5000-00004		Revision: 01	Page: 1 of 22
Approval		Date:	Concurrence
			Date:
REVISION HISTORY			
Rev. No.	Effective Date	Description of Revision	
01		Update of document types and originator codes	

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1.0 INTRODUCTION

1.1 PURPOSE

This procedure establishes a uniform numbering system (document identifier) for all Program and project technical, cost, and schedule baseline documents, and selected management and procurement documents developed for or controlled by the Office of Civilian Radioactive Waste Management (OCRWM) for the Civilian Radioactive Waste Management System (CRWMS). The document identifier defined in this procedure is structured to ensure that the relational integrity between configuration items (CIs) and their associated documentation and software is maintained, traceable, categorical, and retrievable for the life of the program.

1.2 SCOPE

The document identifier shall be assigned to the following documents: program related documents developed and controlled in accordance with the OCRWM Baseline Management Plan or the program participants Configuration Management Plan. Management documents selected for assignment of a document identifier shall be consistent with the approved document hierarchy identified in the Program Management Systems Manual (PMSM). The CRWMS includes the Mined Geologic Disposal System (MGDS), Monitored Retrievable Storage (MRS), and Transportation and Waste Acceptance. Correspondence and administrative documents shall adhere to the requirements of this procedure if those documents satisfy the above criteria. DOE correspondence shall remain consistent with the requirements outlined in DOE Order 1325.1A, Correspondence Manual. The document identifier shall also be used to assign software identifiers to the following categories of engineering and scientific software: a) software approved for use in quality affecting work; b) software which resides on an OCRWM Program shared resource; and c) software in a participant's Software Configuration Management (SCM) system which provides data exchange with other participant systems. Other documents not classed under the above criteria may also be assigned a document identifier in accordance with this procedure.

2.0 REFERENCED DOCUMENTS

2.1 GOVERNMENT DOCUMENTS

The following documents form a part of this procedure to the extent specified herein:

2.1.1 DOE/RW-0381P, OCRWM Baseline Management Plan (BMP)

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<p>2.1.2 DOE/RW-0415, OCRWM Baseline Management Procedure for Configuration Items (CI) and CI Identifiers</p> <p>2.1.3 DOE/RW-0409, OCRWM Program Baseline Change Control Procedure</p> <p>2.1.4 DOE/RW-0333P, Quality Assurance Requirement and Description (QARD)</p> <p>2.1.5 DOE Order 1325.1A, Correspondence Manual</p> <p>2.1.6 DOE Order 1324.2A, Records Disposition</p> <p>2.1.7 DOE Order 1324.5A, Records Management Program</p> <p>2.1.8 10 CFR 2 Subpart J</p> <p>2.1.9 DOE/RW-0043, OCRWM Program Management System Manual (PMSM).</p> <p>2.1.10 44 USC 3301</p> <p>2.1.11 MASTERFORMAT 1988 Edition</p> <p>3.0 <u>DEFINITIONS</u></p> <p>Definition of standard terms used in this procedure and not defined in this section may be found in DOE/RW-0333P, QARD or the DOE/RW-0381P, OCRWM BMP.</p> <p>3.1 Document - (1) Recorded information, regardless of physical form or characteristics, with the exception of technical data controlled as a component of other documentation; often used interchangeably with record. (2) An individual record or item of nonrecord material.</p> <p>3.2 Correspondence - Letters, postcards, memorandums, notes, telecommunications, and any other form of addressed, written communications that are sent and received.</p> <p>3.3 Data - Symbols, or representations, of facts or ideas that can be communicated, interpreted, or processed by manual or automated means. Often associated with electronic data, statistics, or measurements.</p> <p>3.4 Records - According to 44 USC 3301, the term "includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and</p>			

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<p>preserved or deemed appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved only for convenience of reference, and stocks of publications and of processed documents are not included."</p>			
<p>3.5 Revision - An amendment or modification to a document to reflect the latest approved changes, additions, deletions or updates. Revisions are indicated by incrementing the revision number of the document by 1.</p>			
<p>3.6 Version Number - A numeric identifier used to identify the initial release and subsequent changes to a software program (e.g., Version 1.1; Version 5.21; Version 10.2)</p>			
<p>3.7 Document Change Notice (DCN) - A document used to record changes that affect technical or management documents when a baseline change proposal is approved by the Baseline Change Control Board. DCNs are issued only against documents under configuration control.</p>			
<p>4.0 <u>RESPONSIBILITIES</u></p>			
<p>4.1 Associate Director, Office of Systems and Compliance - The Associate Director for the Office of Systems and Compliance shall be responsible for: a) the initial approval of and subsequent revisions to this procedure; b) establishing and defining requirements for configuration control with the appropriate Associate or Office Directors; c) ensuring those documents are traceable to the CI through use of unique document identifiers to ensure they are easily retrievable for the life of the CRWMS.</p>			
<p>4.2 Director, Systems Engineering and Program Integration Division (SEPID) - The SEPID Director shall be responsible for ensuring the implementation of the requirements of this procedure by coordinating with other organizations within OCRWM.</p>			
<p>4.3 Chief, OCRWM Configuration Management (CM) Branch - The CM Branch Chief shall be responsible for:</p> <ul style="list-style-type: none"> a) Coordinating the development, changes, and revisions to this procedure. b) Reviewing the Configuration Information System (CIS) database to verify that document identifiers are appropriately assigned to documentation under configuration control. 			

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<p>c) Coordinating implementation of this procedure with other organizations within OCRWM.</p> <p>d) Ensuring that the Document Identifier List is made available to the appropriate organizations, including Information Management Division (IMD).</p> <p>4.4 Associate Director, Office of Program and Resources Management (OPARM) - The OPARM Associate Director shall be responsible for preparation and control of Program Cost and Schedule Baseline documentation.</p> <p>4.5 Director, Information Management Division (IMD) - The IMD Director shall be responsible for input and update of the Records Management System (RMS) as necessary to reflect the requirements, changes, and revisions to this procedure. The IMD Director shall notify the OCRWM CM Branch Chief whenever additional organizations or new document types are appended to the organization and document authority lists respectively.</p> <p>4.6 M&O Configuration Management - The M&O CM organization shall support the OCRWM CM Branch Chief with assignment of document identifiers as outlined in this procedure. The M&O CM organization shall provide recommendations as necessary to maintain currency.</p> <p>4.7 OCRWM Program Participants - All OCRWM Program Participants (including government agencies, the M&O Contractor, other contractors, national laboratories, colleges, universities, and schools), responsible for the development of CRWMS documents, shall adhere to the requirements of this procedure. They shall identify those documents requiring a document identifier and assign the document identifier in accordance with this procedure.</p> <p>4.8 Participant Software CM Organizations - Software Configuration Management (SCM) procedures shall be established by participant organizations in accordance with the requirements for SCM specified in the QARD and related DOE Orders. The participant SCM organizations shall submit summary information of scientific and engineering software baselined or changed in the participant SCM system, through their individual CM organizations, for inclusion to the CIS database. The requirements for submitting the software summary information to CM are specified in a separate OCRWM CM procedure.</p>			

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5.0 REQUIREMENTS

5.1 DOCUMENT IDENTIFIER

The document identifier is divided into four (4) sub-fields plus a revision number and Document Change Notice (DCN) number. Each sub-field defines unique information - sub-field 1: the Configuration Item (CI) Identifier; sub-field 2: the originator code; sub-field 3: the document type code, and sub-field 4: the sequence number. This information, used in combination, provides a basis for identifying, categorizing, and retrieving information from the CIS database and the Record Management System (RMS).

The document identifier shall consist of 23 alphanumeric characters and 3 dashes, plus a revision number and, as applicable, a DCN number. All letters shall be capitalized.

For CSCIs, the revision and a DCN fields shall be used to describe the software version and release numbers. The version number identifies the initial release or major change to a software program. The release number describes modifications to the software program and is incremented by a decimal number. For example, 'Version 2.1' represents a software program version and release number. The number '2' indicates the second major change (version) and the number '1' is a modification (release) to the second version of the software program.

The format of the document identifier and sub-fields is defined below. Examples of document identifiers with revisions and DCNs are shown in Attachment I.

Document Identifier

CCCCCCCCC	-	XXXXX	-	DDDD	-	SSSSS
CI Identifier		Originator Code		Document Type Code		Sequence Number

The revision and the DCN numbers shall be shown as separate entries with the document identifier. The format of the revision and DCN numbers is defined below:

REV nn DCN mm

Where:

- REV- denotes the Revision
- nn - a number between 00-99 (Draft documents may be labeled '0A, 0B, 0C,...')
- DCN - denotes the Document Change Notice
- mm - a number value between 01-05

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5.2 SUB-FIELD DEFINITIONS

5.2.1 CI Identifier (Sub-field 1) - This sub-field shall consist of the CI Identifier, defined in accordance with the DOE/RW-0415, OCRWM Baseline Management Procedure for Configuration Items (CI) and CI Identifiers, relative to the document being developed. The CI Identifier consists of 9 alphanumeric characters. The CRWMS CI Identifier A000000000 shall be assigned to program management and system level documents or those documents that apply to the entire program. Selection of the CI identifier is project dependent below the Program/System Level and should be assigned to the lowest level possible. Documents referencing two or more CIs shall be assigned the CI Identifier at the higher indenture level that includes both or all CIs.

5.2.2 Originator Code (Sub-field 2) - This sub-field shall consist of 5 numeric characters describing the identity of the organization responsible for development of a document or software. The originator codes shall provide for identification of all program participants. A partial list of originator codes is provided in Table 1. A complete listing is provided in the OCRWM Organization Authority List.

The originator code for multiple originators collaborating on one document shall be the primary contract reporting the product.

5.2.3 Document Type Code (Sub-field 3) - This sub-field shall have a length of 4 numeric characters. The codes shall be those listed in Table 2. If a document type is not listed in Table 2, then the originator of the document shall request approval of additional categories. The originator shall submit a completed Document Type Amendment Request Form (Attachment II) to the OCRWM CM Branch. Upon receipt of a request, the OCRWM CM Branch Chief shall coordinate with the OCRWM Information Management Division (IMD) prior to approval of the document type code(s). IMD shall update the Records Management System (RMS) with the approved document type code(s).

5.2.4 Sequence Number (Sub-field 4) - This sub-field shall have a length of 5 numeric digits. It shall be non-repeating for each document type, and shall not change or be reassigned.

The sequence number may be assigned in blocks (e.g., 00000-19999, 20000-29999, etc.) or a continuous sequential number (00000-99999) for each document type. As an example, drawings may be subdivided and assigned blocks of numbers to delineate specific drawing types (i.e., general arrangement drawings, diagrams, layouts, mechanical, electrical, etc.) for a given CI. A continuous sequential number is more practical if there is a small number of specifications to be developed for a given CI.

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Determination of which numbering scheme to implement shall be made by the organization responsible for developing the documents. The OCRWM CM Branch shall assign blocks of numbers for all OCRWM documents where appropriate. The M&O and other program participants CM organizations shall be responsible for assigning document identifiers to those documents originating within their respective organizations. If a CM organization does not exist, the program participant shall designate and submit to the CM Branch Chief for approval the organization responsible for management of CM activities.

5.2.5 Revision Number - The revision number shall consist of 2 numeric characters. This number is used to indicate document changes to a previous released and approved document. Initial released documents are numbered '00'. Subsequent revisions shall be incremented by 1. Use '0A', '0B', '0C', etc. in the revision field for draft documents.

5.2.6 DCN Number - The DCN number shall consist of 2 numbers sequentially numbered between 01-10 for each document. DCNs shall be issued only against documents approved in accordance with the OCRWM Program Baseline Change Control Procedure.

5.3 DOCUMENT IDENTIFIER CRITERIA

If the answer to any question below is yes, then a document identifier shall be assigned to the document. Is the document:

- a) Under configuration control in accordance with the OCRWM BMP?
- b) Program related in accordance with the OCRWM Document Hierarchy?
- c) Subject to the requirements of the QARD?
- d) Required to support the licensing process of the CRWMS?

5.4 SOFTWARE IDENTIFICATION

Computer software Configuration Items (CSCIs) shall be identified using the document identifier described in this procedure. CSCIs shall be uniquely identified using the code '1200' (sub-field 3 of the document identifier) for 'Computer Software' as defined in the Document Type Code List (Table 2).

Software documentation shall be identified by the code '2000' (sub-field 3 of the document identifier) for 'Computer Documentation'. The last two digits of the code '2000' shall be a 'sequence number' indicating different software documentation for the same item of software

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e.g. '2001,' '2002,' '2003,'...'2099' will provide identification of 99 different software documents associated with a software item). The software and software documentation shall be linked by a common sequence number within the organization. For example, if the following software identifier describes a CSCI:

A000000000-01717-1200-12345 Version 5.12

then documents associated with this software could be identified as:

A000000000-01717-2001-12345 REV 1 Software Requirements Document

A000000000-01717-2002-12345 REV 2 DCN 2 Software Design Document

A000000000-01717-2003-12345 REV 2 DCN 1 Programmer's Manual

Note that the Originator Code '01717' and Sequence Number '12345' uniquely identifies the CSCI for the organization. Sub-field 3 is used as a sequential listing of the documents associated with the software. Therefore a standard table for software document types is not required in the Document Type Code List. This allows participant organizations to identify software documentation which reflects their particular life-cycle methodology.

5.5 CONSTRUCTION SPECIFICATIONS

Construction specifications shall be uniquely identified using the document identifier described in this procedure and the 1988 Edition of MASTERFORMAT developed by The Construction Specifications Institute. Sub-fields 1, 2, and 3 of the document identifier shall be defined in accordance with this procedure. The document type code (sub-field 3 of the document identifier) for construction specifications shall be '6301'. Sub-field 4 shall be assigned the 5-digit number defined in the 1988 Edition of MASTERFORMAT for individual construction specification. Also the requirements of MASTERFORMAT shall be followed with respect to assigning a 5-digit number in sub-field 4 of the document identifier for specifications not listed. A document identifier example is explained below:

Example: DOCID - BAA00000000-01717-6301-02100 Rev 00

Where:

'02100', in accordance with MASTERFORMAT, describes a site preparation construction specification written against CI Identifier 'BAA000000' by the M&O.

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6.0 DOCUMENT TYPES

Document type codes are listed in Table 2. These codes include primary documents and secondary documents (specific document types below the primary document type). This list may be amended, as necessary, to identify documents not defined by the current list of document types.

NOTE: Assignment of a document identifier in accordance with this procedure does not imply that it is mandatory for that document to be released or submitted to the local records center (LRC) or central records facility (CRF) within a certain time frame. As an example, procurement documents would be assigned document identifiers; however, in accordance with government regulations, (i.e. Federal Acquisition Regulations, DOE Acquisition Regulations, or Federal Information Resources Management Regulations) procurement plans would not be distributed until all procurement actions were completed.

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TABLE 1 ORIGINATOR CODES

DOE OFFICES

00804 DOE Nevada Operation

00811 DOE Office of Civilian Radioactive Waste Management (OCRWM)

00841 DOE Yucca Mountain Project Office
(YMPO)

M & O Contractor

01717 Management and Operating Contractor (Preferred)

01717 TRW Environmental Safety System Inc.
(TESS)

03103 TRW/TRW INC

00272 B&W Fuel Company

00854 Duke Engineering & Services

01056 Fluor Corp

01057 Fluor Daniel Co

01058 Fluor Engineers INC

01059 Fluor Technology INC

01425 INTERA

00978 E.R. Johnson Associates, Inc.

01501 J.K. Research Associates

01931 Morrison Knudsen Corporation

02503 Logicon R.D.A.

03643 Woodward Clyde Consultants

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TABLE 1 ORIGINATOR CODES
(Continued)

GOVERNMENT AGENCIES

00133 Argonne National Lab (ANL)

00842 Department of Interior

00964 Environmental Protection Agency

01662 Lawrence Livermore Laboratory

01654 Los Alamos Scientific Laboratory (LASL)

02268 Oak Ridge National Lab (ORNL)

02374 Pacific Northwest Laboratory

02653 Sandia National Laboratories (SNL)

03382 United States Geological Survey (USGS)

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TABLE 1 ORIGINATOR CODES
(Continued)

UNIVERSITIES, COLLEGES, SCHOOLS

00238 Auburn University

00761 Desert Research Institute

01728 Massachusetts Institute of Technology

02490 Purdue University

02912 Stanford University

03190 University of California

03191 University of California-Berkeley

03196 University of California-Riverside

00587 University of Colorado

03241 University of Minnesota

03254 University of Nevada

03255 University of Nevada Reno

03260 University of New Mexico

03295 University of Texas-Austin

03303 University of Utah

03661 Yale

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TABLE 1 ORIGINATOR CODES

(Continued)

CRWMS PROGRAM PARTICIPANTS

00247 Automated Sciences Group

00297 Battelle Energy System Group

00297 Battelle Nuclear Systems Group

00299 Battelle Institute EV

00302 Battelle ONWTSI

00303 Battelle OWTD

00901 EG&G

01008 Fenix & Scisson

01762 Martin Marietta Energy Systems

02527 Raytheon Services of Nevada

02538 Reynolds Electric Engineering Company

02615 Roy F. Weston

02641 Science Applications International Corporation

02895 SRA Technologies

Table 2

Document Type Code List

0100 Agreement

0101 Memorandums of Understanding

0300 Article

0301 Article, journal

0302 Article, newspaper

0303 Chapters

0304 Conference or Proceedings Papers

0305 Authored Chapters

0600 Book

0601 Proceedings

0200 Calculations

0900 Certificates of Compliance (CC)

*** Change Control Documents

*** Document Type Code Not Assigned

401 Baseline Change Proposal

402 Change Request

1100 Charters

1700 Comment Document

1701 Comment Documents

1702 Comment Resolution

1703 Comment Responses

1704 Requests for Reviews/Comments

2000 Computer Documentation

1200 Computer Software

Table 2

Document Type Code List (Continued)

0800 Correspondence

- 801 Letter
- 802 Memo

1400 Data

- 1401 Analyzed Data
- 1406 Calibration Record
- 1409 Chart
- 1404 Data Sheets
- 1405 Log
- 1402 Raw Data
- 1407 Strip Chart
- 1408 Table
- 1410 Test Data

1000 Design Documents

2100 Drawings

2500 Guidelines

- 2501 Guidance Document
- 2502 QA Guidelines

2600 Inventory

2800 Issue paper

1800 Job/Work Structures

- 1801 Job Package

3100 Law or Regulation

- 3101 Regulatory Guide
- 3102 Resolution
- 3103 Standard

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Table 2

Document Type Code List (Continued)

1500 Legal Document

- 1501 Affidavit
- 1502 Deposition
- 1503 Interrogatory
- 1504 Pleading
- 1505 Subpoena

3500 Manual

- 3501 Maintenance Manual
- 3502 Operations Manual
- 3503 Training Manual
- 3504 Equipment Manual

3600 Map

- 3601 Topographic Map
- 3602 Road Map
- 3603 Geologic Map

3900 Notebook

- 3901 Notebook, Field
- 3902 Notebook, Lab

4000 Order or Directive

- 4001 Program Directive

4400 Patent

4700 Permit

4500 Photograph or Pictures

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Table 2

Document Type Code List (Continued)

4600 Plan

- 4601 Management Plan
- 4602 Study Plan
- 4603 Test Plan
- 4604 Training Plan

4800 Policy

4900 Presentation

5000 Procedure or Instruction

- 5001 Administrative Procedure
- 5002 Implementing Line Procedure
- 5003 Quality Administrative Procedure

0500 Procurement

5400 Qualification Record

1600 Requirements Document

- 1601 Design Requirements
- 1602 Functional Requirements
- 1603 System Requirements

5700 Report, Administrative

- 5701 Cost Estimate
- 5702 Report, Financial
- 5703 Report, Management
- 5704 Report, Life Cycle Report
- 5705 Report, Program Management

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Table 2

Document Type Code List (Continued)

- 5800 Report, Audit Inspection
 - 5801 Inspection Record
 - 5802 Report, Observation
 - 5803 Report, QA Audits
 - 5804 Report, Surveillance
 - 5805 Response to Audit or Inspection
- 6400 Report, Corrective Action
- 6500 Report, Evaluation/Assessment
 - 6501 Evaluation Criteria
 - 6502 Performance Assessment
 - 6503 Vendor Evaluation
- 6600 Report, Non-Conformance (NCR)
- 6700 Report, Safety
 - 6701 Report, Radiation/Contamination Control
 - 6702 Nuclear Material Accountability Record
- 6800 Report, Standard Deficiency (SDR)
- 6900 Report, Status
 - 6901 Report, Progress
- 5900 Report, Technical
 - 5901 Bulletin
 - 5902 Field Study
 - 5903 Lab Study
 - 5904 Survey
 - 5905 Test Report

Table 2

Document Type Code List (Continued)

7200 Report, Topical

7300 Report, Unusual Occurrence (UOR)

6000 Rule

6200 Schedules

6300 Specifications

 6301 Construction Specifications

8000 Stop Work Order

2200 Survey

2300 Technical Data Information Form (TDIF)

2400 Thesis/Dissertation

7100 Transcript

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ATTACHMENT I

DOCUMENT IDENTIFIER EXAMPLES

OCRWM Baseline Management Plan A000000000-00811-4600-00001
Rev 04

M&O Configuration Management Plan A000000000-01717-4600-00093
Rev 00 DCN 02

MRS System Requirements Document C000000000-01717-1600-00985
Rev 99 DCN 05

SOFTWARE IDENTIFIER EXAMPLE

Radiological Database Software A000000000-01720-1200-00002
Version 1.0

ATTACHMENT II

Document Type Amendment Request

Office of Civilian Radioactive Waste Management
U.S. Department of Energy

NAME		TO
ORGANIZATION		OCRWM Configuration Management Branch (RW-323)
Request that the OCRWM Procedure for Document Identifiers, Table 2, be amended to include the following document type(s).		
Document Type:		Approved:
1		Y ☐ N ☐
2		Y ☐ N ☐
3		Y ☐ N ☐
4		Y ☐ N ☐
5		Y ☐ N ☐
DOCUMENT TYPE CODE	DOCUMENT TYPE	
IF DISAPPROVED, GIVE REASON:		
APPROVAL SIGNATURE (OCRWM CM Branch Chief)		DATE

Upon Approval, forward copy to: RW-12, Director, Information Management Division

01530c (03/22/93)