

Activity: **Document Control**

1.0 Purpose: This guideline provides a method to evaluate the control and distribution of documents affecting quality.

2.0 Scope: This guideline has been developed for use in evaluating controlled documents/drawings for the following:

E Receipt

E Identification and Control

E Distribution

3.0 References:

3.1 NRC I&E Procedure 39702, "Document Control Program"

3.2 ANSI/ANS 18.7, "Administrative Controls and Quality Assurance for the Operational Phase of Nuclear Power Plants"

3.3 INPO Good Practice MA-304, "Control of Vendor Manuals"

4.0 Guidelines:

4.1 In preparation for and during the conduct of this surveillance:

E Obtain and review implementing procedures, instructions and drawings governing this activity.

E Prepare a guide or checklist using the selected items from this guideline.

- E Review past surveys, audits, surveillances and other evaluations/ assessments.
- E Ensure that checklists include, where applicable, actual observations of performance, general plant conditions, radiological work practices, housekeeping, work document controls and use, and safety practices.

NOTE: Refer to Guideline A.1, "General Quality Surveillance Guidance," for specific details on the attributes listed above.

4.2 Conduct a tour of the document control center and observe the following:

- A. The document control system is being updated upon receipt of new or revised documents.
- B. An index of controlled documents and respective revision levels is being maintained.
- C. A current and accurate distribution list for holders of controlled documents is being maintained.
- D. Document revision status is being issued periodically to controlled document holders.
- E. One copy of each controlled document is being maintained as a master copy.
- F. A checkout system for documents and drawings is being maintained.

Note: Include vendor manuals/documents in the above verifications.

4.3 Conduct a tour of the plant to observe work activities (operations, health physics, modification, construction, installation, testing, etc.) in progress. Verify the following:

- A. Required documents are being distributed to the responsible person prior to

commencing of work.

- B. Personnel performing these activities have the proper document in hand.
- C. The document is properly identified and stamped controlled.
- D. A record of revision form is located in the front of manuals.
- E. The current revision of documents are being used.
- F. If a document is being used as a procedure, it has been stamped to state its intended use.

4.4 Select a representative sample of drawings from the various "stick files" in the plant and office areas. Verify the following:

- A. The drawing is the correct revision as shown on the controlled document master list.
- B. Superseded drawings are being controlled as required.
- C. Work plan modifications are kept current on the configured drawings.

4.5 Conduct a tour of the plant and sample various documents (include procedures, practices, administrative instructions, safety analysis reports, tech specs, license applications, and topical reports) assigned to the control room and other work stations. Verify the following:

- A. Proper copy number.
- B. Current revision number.
- C. Superseded documents are not being used.
- D. Documents are identified as being controlled or uncontrolled.
- E. Documents are being distributed to those individuals and organizations where they are

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needed or required for use.

- F. Periodic reviews of documents are being conducted, documented, and changes initiated when required.

5.0 Other Guidelines for Consideration:

5.1 A.1, "General Quality Surveillance Guidance"

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