

# PRIIA 305 Next-Generation Equipment Committee



## Document Management Process

PRIIA Procedure 305-100

Revision A

**SUPERSEDED BY REVISION B - RELEASE DATE: JANUARY 8, 2013**

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Approved	Date	
	11/9/11	PRIIA Executive Board Chairman
	Nov. 9, 2011	PRIIA Technical Subcommittee Chairman
	Nov 9, 2011	Originator
Revision Control Coordinator		

## Revision Approval Sheet

[illegible]

## Procedure Change Sheet

From Initial Release to Revision A		
DCR	Section(s)	Description
100-001	Appendix C	Changed Assignments due to personnel changes. Added Document Control Board for the DMU Specification.
100-002	1.5.12/1.5.13	New section 1.5.12 outlining how changes are to be handled during the bid/procurement time period prior to a contract award. This section is taken from the "NGEC Document Change Management During Procurement" adopted by the Executive Board on March 6, 2012. Existing section 1.5.12 renumbered to 1.5.13.
100-003	Appendix D	Added new Appendix to describe the handling of DCRs relating to accessibility requirements that are not covered by a specification's Requirement Document and exceeds the minimum requirements in the Code of Federal Regulations.

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## 1.1 Document Management System

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This Document Management System is intended to be a method by which the vehicle specifications, processes, designs and support documents as approved by the PRIIA 305 Next-Generation Equipment Committee (NGEC) are managed, reviewed, revised, controlled and stored in a manner that preserves the integrity, intention and detail of the approved documents while simultaneously allowing these documents to be edited, revised and corrected as needed to reflect changes in technology, resolve inconsistencies, improve document language for clarity or correct errors.

## 1.2 Glossary and Abbreviations

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**AASHTO:** American Association of State Highway and Transportation Officials

**APTA:** American Public Transportation Association

**DCB:** Document Control Board

**DCC:** Document Change Coordinator

**DCR:** Document Change Request

**FRA:** Federal Railroad Administration

**NGEC:** Next-Generation Equipment Committee

**PRIIA:** The Passenger Rail Investment and Improvement Act of 2008

**RCC:** Revision Control Coordinator

**TSC:** Technical Subcommittee (of the NGEC)

## 1.3 Description of Process

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### 1.3.1 Purpose

The purpose of this process is to provide a controlled means by which NGEC-approved specifications and other approved, standard documents, can be revised, edited and updated through a formal and controlled process.

### 1.3.2 Benefit

This process provides benefit to the NGEC, its constituents and members, and to the rail equipment supply industry by:

- Standardizing and documenting the means by which specifications are controlled
- Ensuring changes made to NGEC-approved documents are consistent with guiding procedures
- Providing the appropriate level of review for revisions, and
- Verifying that revisions do not degrade or negatively affect the integrity of documents controlled by this process.

## **1.4 Applicability**

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### **1.4.1 Documents Controlled Through This System**

The following documents shall be controlled and revised through this process once they are approved by the NGECC:

- Vehicle specifications
- Support documents
- Process documents
- Drawings and engineering documents

Only those documents that have been formally approved by the NGECC Executive Board shall be managed by this system. Draft documents and specifications shall be managed by the authors and/or committees responsible for their development.

## **1.5 Document Change Request Process**

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### **1.5.1 Process for Revising Approved Document**

The process for revising approved specifications and documents is outlined below.

The Document Change Request (DCR) form (Appendix A) and Workflow Process Flowchart (Appendix B) are included in this document.

### **1.5.2 Authority to Request Changes**

Changes may be requested by any member of the NGECC, Technical Subcommittee (TSC) or others by submitting a DCR that is found on the AASHTO web site.

All changes must be requested by using a DCR.

### **1.5.3 Documentation and Justification Requirements**

Change requests must document the provision that is proposed to be changed, the new language that is proposed and a justification as to the reason the change is to be made. The justification shall explain the problem being addressed, the advantage of the change, and any effect the change may have on existing equipment or other specifications or documents.

The DCR may be returned to the originator at any step in the process if it is determined that inadequate information was provided for the DCR to be approved or rejected.

### **1.5.4 Revision Control Coordinator**

The Revision Control Coordinator (RCC) shall be responsible for administering DCRs: reviewing for completeness, assigning a tracking number, collating and compiling completed DCRs and making the appropriate changes to the affected documents, and managing the document revision process. The RCC shall also develop and administer a document archiving, tracking and storage system for all DCRs, previous revisions of specifications, and other documents.

The RCC shall appoint an understudy, who shall be fully trained on all aspects of the DCR process, and who can act as primary RCC if needed.

The name, affiliation and contact information for the RCC and RCC understudy shall be communicated to all members of the TSC.

### 1.5.5 Numbering of DCRs

DCRs shall be sequentially numbered by the RCC once a document has been approved by the NGECE Executive Board.

Each document and specification shall have a unique alphanumeric numbering scheme.

**Example:** DCR-xxx-yyyy

where:

xxx = PRIIA specification number or 3-letter code for other documents

and:

yyyy = sequential number

DCRs that apply to two or more specifications or documents will require separate DCRs for each affected specification/document. Where the RCC knows that a particular DCR will apply to certain additional specifications/documents, he shall create additional DCRs as appropriate. In cases where the RCC is not sure about additional document applicability, he shall discuss the matter with the DCCs.

### 1.5.6 Document Change Coordinator

The Document Change Coordinator (DCC) shall manage the DCR review process for a specific document. Each NGECE-approved document shall be assigned a DCC. All relevant DCRs are to be submitted to the appropriate DCC by the RCC. DCRs will be distributed to the Document Control Board (DCB) upon receipt by the DCC.

### 1.5.7 Document Control Board

The organization of the DCB shall mirror that of the TSC that developed, reviewed and approved the specifications. The DCB shall include representatives of the same technical subgroups (initially the Technical Subgroup leads):

- Mechanical
- Electrical
- Interiors
- Vehicle/Track interaction
- Structural
- Locomotives
- Individual(s) with operations, maintenance and vehicle interoperability expertise
- Individual(s) with equipment procurement expertise

The DCB for documents other than specifications shall be determined by the owner of the document, and shall include enough individuals to effectively manage the review of DCRs.



### 1.5.8 Definition of Revision Scope

The DCC shall determine whether a DCR meets the criteria for Urgent (if not already so designated by the RCC), Major or Minor:

Urgent revisions are those which are identified at critical times during the vehicle acquisition process that may affect the following:

- Safety of operations
- Expeditious engineer approval
- Material orders
- Production
- Design Review
- Other time-sensitive matters

If the originator submitting a DCR believes it should be handled as Urgent, the RCC should be informed of that by the originator. If the RCC agrees, the RCC has the authority to classify it as Urgent, and the DCR will be handled in accordance with the process outlined below.

Major revisions are those revisions that make substantive changes to a specification, process or document, that may affect the following:

- The final design of a vehicle or components;
- The performance requirements for the vehicle, or the way that vehicle is operated or maintained;
- The way NGENC-approved procurement processes are administered; or
- The interoperability of vehicles with other rail equipment.

Minor revisions are administrative in nature that will not substantially affect the specification, process or document. Examples of minor revisions include:

- Corrections of typographical errors;
- Updates to reference documents to reflect changes to revision levels or supersession of existing reference documents with new;
- Formatting or organizational changes that do not change content; and
- Addition or clarification of abbreviations, units of measure.

The DCC has the authority to approve Minor DCRs. In the event that it is unclear as to whether a DCR falls into the Major or Minor category, the DCR shall be considered Major.

### 1.5.9 Frequency and Schedule for Compilation of DCRs and Documentation Updates

DCRs shall be accepted into the DCR process at any time. The frequency of DCR compilation and document revision advancement shall be aligned with meetings of the NGENC Executive Board. The RCC will be responsible for preparing change summaries and submitting them to the TSC according to a schedule which will provide adequate time for the final review of changes for a document prior to a NGENC Executive Board meeting.

Once the change summary and final review process has begun for a specific revision level of a specific document, no further DCRs will be accepted for that DCR compilation. DCRs submitted after the final review process has begun for a specific revision level, will be held by the RCC until the review and update process is complete. The RCC and DCC shall use their judgment and experience to determine the cut-off date to accept DCRs for each document revision cycle.

**1.5.10 DCR Review Process (Urgent DCRs)**

- The Originator sends the DCR to the RCC, informing the RCC that the matter addressed by the DCR is time-sensitive, and should be handled as Urgent.
- RCC shall enter the DCR into a log and then forward it to the appropriate DCC. In parallel with this, the RCC shall also notify the Executive Board and Review Panel that an Urgent DCR has been received and sent to the DCC.
- The DCC shall, as soon as possible, forward the DCR to the to the appropriate DCB Technical Subgroup leader for the functional group that is most appropriate for the DCR. If the DCR affects two or more subgroups, the DCC will select the most appropriate Technical Subgroup leader, and it will be up to that individual to coordinate the DCR review with other affected Subgroups.
- The Technical Subgroup(s) will review the DCRs and make a recommendation within two working days of receipt whether to approve, approve with amendment or reject each DCR. Once the DCR has been dispositioned by the Technical Subgroup, it is returned to the DCC, who will then return it to the RCC.
- If a DCR is rejected at any point in this process, the RCC will return the DCR to the DCC or Originator, as appropriate.
- The RCC will forward DCRs that were approved or approved with amendment to the Technical Subcommittee and Review Panel for review. Both groups will have three working days to review the DCR and return it to the RCC.
  - The Technical Subcommittee shall determine how best to obtain a vote on the DCR, e.g., by email or by conference call.
  - The Review Panel role is to determine that the change is in keeping with the requirements document (for a specification) or in keeping with other PRIIA requirements. Panel members shall determine how best to obtain a vote on the DCR.
- Once approved and determined compliant, the RCC will forward the DCR to the Executive Board. The Executive Board will vote on the DCR by email within two working days.
- After the DCR has been approved by the Executive Board:
  - The RCC will notify the Originator that the DCR has been approved, and return the DCR to the originator with the approved wording. At this point, the wording in the DCR has the authority of an approved document.
  - The RCC will forward the DCR to Technical Support, where it will be incorporated into a Sub-Revision of the affected document.
  - Upon receipt of the Sub-Revision from Technical Support, the RCC forwards it and the DCR, as well as any supporting documents, if applicable, to AASHTO for posting.
  - The Sub-Revision will be included in the next periodic revision to the affected document.

**1.5.11 DCR Review Process (Major and Minor DCRs)**

- As they are received, the RCC shall enter DCRs into a log and then forward them to the appropriate DCC.
- The DCC shall determine whether a DCR is Urgent (if not already so designated by the RCC), Major or Minor.
- Minor DCRs can be approved or rejected by the DCC, and then returned to the RCC for holding until the beginning of the final review process.

- Major DCRs will be forwarded to the appropriate DCB Technical Subgroup leader for the functional group that is most appropriate for the DCR. If the DCR affects two or more subgroups, the DCC will select the most appropriate Technical Subgroup leader, and it will be up to that individual to coordinate the DCR review with other affected Subgroups.
- The Technical Subgroup(s) will review the DCRs and make a recommendation within 10 working days of receipt whether to approve, approve with amendment or reject each DCR. Once the DCR has been dispositioned by the Technical Subgroup, it is returned to the DCC, who will then return it to the RCC.
- At the beginning of the final review process, the RCC will create a Change Summary that will be routed to the Technical Subcommittee for approval. The Change Summary will provide the TSC, Review Panel and NGECC with the relevant information regarding each change, including the following:
  - Specification(s) or documents affected by the change;
  - Description of the change;
  - Rationale for the change; and
  - Recommendation of the DCB as to whether the change should be approved, approved with amendment, or rejected.
- The intention is that all changes in a Change Summary will be voted on as a group, though the TSC can vote to reject individual DCRs in the Change Summary.
- Upon approval of the Change Summary, the RCC will forward it to the Review Panel for its review. The purpose of this review is to ensure the changes approved have not inadvertently or negatively affected a document's compliance with the original requirements document. This step is analogous to the review of a completed specification before approval by the NGECC Board. The Review Panel will provide a recommendation to the NGECC Board to approve or reject the changes included in the Change Summary.
- Upon completion of the Review Panel review of the Change Summary and issuance of a recommendation for approval (or, disapproval of certain changes, as appropriate), the recommendation and Change Summary will be forwarded to the NGECC Executive Board for approval. The NGECC Executive Board has the ability to hold individual DCRs in question aside while still approving or rejecting the remaining package of DCRs included in the Change Summary.
- The disposition of each submitted DCR will be provided to the originator, both approved, approved as amended and rejected, together with the rationale for amending a DCR or its rejection.

#### **1.5.12 DCR Review Process During Periods When Full Technical Subcommittee Participation is Precluded**

Specification revisions which are identified during periods in which participation by the full Technical Subcommittee membership is precluded ("closed" periods, such as during an active procurement, bid evaluation or negotiation) must be initiated in the form of a DCR jointly by the Agencies and States involved in the activity, and submitted to the NGECC Review Panel. The Review Panel remains responsible for reviewing NGECC specification revisions to ensure that revised specifications remain compliant with their respective Requirements Documents. For specification changes during this period of time, the Review Panel can be comprised of representatives from Amtrak, NGECC-participating States and the FRA. Consultants under contract to the NGECC, Amtrak or FRA who have signed nondisclosure/confidentiality agreements may serve on the Review Panel should their technical expertise be required.

Proposed revisions which are accepted will be incorporated into the version of the specification against which the contract is awarded, and serve to create the as-built specification for the procurement.

Once contract award occurs, changes to the specification which occurred during the proposal phase will be presented to the Revision Control and Document Control Coordinators who will make a decision (based on the nature of the revisions) as to whether or not these revisions should be incorporated into a "base" specification that would be used for additional procurements, or should remain unique to the as-built specification for the particular procurement. If it is determined that changes to the base specification are warranted, these changes will be submitted as DCRs and be handled using the existing Document Management "Urgent" Process. It is expected that revisions which have been accepted by the Review Panel during the closed period will also be made to the base specification in parallel. The need for a base specification in tandem with the evolving as-built specification associated with the active procurement is necessary in order to provide for the possibility of another agency seeking to use the same equipment specification at the same time.

In summary, the Document Management Process as presently conceived (Urgent, Major, Minor) is sufficiently robust to accommodate document and specification changes throughout the lifetimes of these documents with the exception of those changes deemed necessary which are identified during closed periods. During this time, the existing NGE specification Review Panel will be used (with support from NGE, FRA or Amtrak consultants who have signed nondisclosure/confidentiality agreements in place to ensure procurement integrity) as a means for both adjudicating the proposed revisions to the specification as well as ensuring that such revisions remain consistent with the governing requirements documents.

#### **1.5.13 Criteria for DCR Approval, Denial and Appeal Processes**

The DCB shall develop the criteria to be used to determine whether a DCR should be accepted, accepted with amendment or rejected. These criteria shall be based on sound technical, contractual and operational factors, and on the effect the change may have on existing vehicles and future procurements. The criteria developed by the DCB shall be submitted to the TSC for review and approval, to ensure that revised specifications and documents continue to meet the TSC's stated goals for standardized rail equipment. Rejected DCRs may be resubmitted by the originator upon receipt of rationale for rejection.

## 1.6 Configuration Management and Revision Control ---

### 1.6.1 Revising an Approved Document

Once all DCRs have been dispositioned for an update cycle of a specification or document, the revision level is moved up to the next letter of the alphabet and the revision date is changed to reflect the date on which the NGEC Executive Board approved the Major Changes. The RCC shall forward all the changes to the Technical Support individual charged with the editing and formatting of the actual documents, who will enter the changes into the document.

As described above, Sub-revisions are created when Urgent DCRs have been approved. Sub-revisions will use the letter of the currently-approved periodic revision, and then be sequentially numbered, e.g., A.1, A.2, etc.

### 1.6.2 Archiving and Records Retention

All DCRs shall be archived for recordkeeping. The RCC shall be responsible for archiving and storage of all records relating to the DCR process.

Obsolete specifications and documents, and their relevant DCRs, shall also be archived and stored by the RCC.

### 1.6.3 Document Availability and Notification of Document Revision Change

Current versions of all documents will be available at the NGEC Repository at a location (URL) to be determined by the NGEC (see below). This website will include the ability to register for e-mail notification of document revisions. Once a document revision has been approved, notification shall go out to all parties who have registered for notification of revisions/changes to documents. The DCB shall create, and the RCC shall maintain, a database of the name, affiliation, address, phone number and email address of each person who has electronically registered for such notifications. It is the responsibility of each equipment purchaser or user of any document to ensure that the most recent version of any document is used.

### 1.6.4 Creation and Maintenance of As-Built Specifications

<<**Placeholder:** for section which needs to be developed in the future to manage revisions to documents which occur after vehicle delivery. Essentially part of the Operations & Maintenance aspect of the Systems Engineering Process>>

## 1.7 Repository of Specifications and Documents ---

### 1.7.1 Specification Ownership and Repository

The NGEC shall specify how the approved and controlled documents are owned and what organizational entity should be the designated custodian of NGEC-approved documents

## **Appendix A: Document Change Request (DCR) Form**

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**DCR Number:**

(assigned by RCC)

## Document Change Request

Date: *One technical change per DCR (ex. Sections 1.4.10, 1.01 and 10.5: refrigerant shall be changed from R400-series to R134a)*

<b>Specification/Document:</b>	<input type="text"/>	<b>Current Revision:</b>	<input type="text"/>
<b>Specification/Document Sections Affected:</b>	<input type="text"/>		
<b>Name of Originator:</b>	<input type="text"/>	<b>Affiliation:</b>	<input type="text"/>
<b>Originator's Email:</b>	<input type="text"/>	<b>Originator's Phone No:</b>	<input type="text"/>

**Language to be Changed: (attach additional pages if needed)****Suggested Replacement Language: (attach additional pages if needed)****Rationale for Requested Change: (attach additional pages if needed)**

To be filled out by Originator

Updated 10/12/2011

Page 1 of 2

**DCR Number:**

(assigned by RCC)

**Document Change Request**

RCC	Date Sent to DCC	Date:		Date Returned to Originator	Date:	
	RCC's Digital Signature 1					
DCC	Change Criteria Category:	Minor <input type="checkbox"/>	Major <input type="checkbox"/>	Urgent <input type="checkbox"/>		
	Change Recommendation:	Approved <input type="checkbox"/>	Rejected <input type="checkbox"/>	Approved as Amended <input type="checkbox"/>		
	Explanation of Recommendation:					
	Date Sent to DCB	Date:		DCB's Digital Signature 1		
DCB	Disposition:	Date:		Accepted <input type="checkbox"/>	Rejected <input type="checkbox"/>	Accepted as Amended <input type="checkbox"/>
	Explanation of Rejection/Amendment:					
	Approved Amended Language:					
	Date Sent to DCC	Date:		DCB's Digital Signature		
DCC	Date Sent to RCC	Date:		DCC's Digital Signature 2		
RCC	Specification Revised by:				Date:	
	New Revision Level:			Date Originator Notified	Date:	
	RCC's Digital Signature 2					

**Abbreviations:**

**DCB:** Document Control Board  
**DCC:** Document Change Coordinator  
**RCC:** Revision Control Coordinator



## **Appendix B: Workflow Process Flowchart**

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## **Appendix C: Document Control Board Members**

Effective April 17, 2012

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**C.1 Document Control Process Key Personnel (effective April 17, 2012)**

**Revision Control Coordinator (RCC):** David Warner, Amtrak

**Alternate Revision Control Coordinator:** Stan Hunter, Caltrans

**C.1.1 Bi-Level Passenger Rail Car Specification (305-001)**

**Document Control Coordinator:** Michael Burshtin, Amtrak

<b>Document Control Board</b>	
<b>Area</b>	<b>Assignment</b>
Structures	Anand Prabhakaran, Sharma & Associates
Vehicle/Track Interface	Brian Marquis, Volpe Center
Mechanical	Jeff Gordon, FRA
Electrical	Tammy Krause, Amtrak
Interiors	Andrew Wood, Amtrak

**C.1.2 Single-Level Passenger Rail Car Specification (305-003)**

**Document Control Coordinator:** Michael Burshtin, Amtrak

<b>Document Control Board</b>	
<b>Area</b>	<b>Assignment</b>
Structures	Anand Prabhakaran, Sharma & Associates
Vehicle/Track Interface	Brian Marquis, Volpe Center
Mechanical	Jeff Gordon, FRA
Electrical	Tammy Krause, Amtrak
Interiors	Andrew Wood, Amtrak

**C.1.3 Diesel-Electric Locomotive Specification (305-005)****Document Control Coordinator:**

David Warner, Amtrak

Document Control Board	
Area	Assignment
General	Jack Madden, NYSDOT
Vehicle/Track Interface	Brian Marquis, Volpe Center
Mechanical	Al Bieber, STV
Cab and Customer Amenities	Jack Madden, NYSDOT
Environmental	Bruce Wolff, MTU

**C.1.4 Trainset Specification (305-007)****Document Control Coordinator:**

Michael Burshtin, Amtrak

Document Control Board	
Area	Assignment
Structures	Anand Prabhakaran, Sharma & Associates
Vehicle/Track Interaction	Brian Marquis, Volpe Center
Mechanical	Jeff Gordon, FRA
Electrical	Tammy Krause, Amtrak
Interiors	Andrew Wood, Amtrak

**C.1.5 DMU Specification (305-009)****Document Control Coordinator:**

David Warner, Amtrak

<b>Document Control Board</b>	
<b>Area</b>	<b>Assignment</b>
Structures	Anand Prabhakaran, Sharma & Associates
Vehicle/Track Interaction	Brian Marquis, Volpe Center
Mechanical	Jeff Gordon, FRA
Electrical	Tammy Krause, Amtrak
Interiors	Andrew Wood, Amtrak
Propulsion	Jack Madden, NYSDOT

**C.1.6 PRIIA Specifications/Drawings/Standards (305-7xx, -8xx and -9xx)****Document Control Coordinator:**

David Warner, Amtrak

<b>Document Control Board</b>	
<b>Area</b>	<b>Assignment</b>
Structures	Anand Prabhakaran, Sharma & Associates
Vehicle/Track Interaction	Brian Marquis, Volpe Center
Mechanical	Jeff Gordon, FRA
Electrical	Tammy Krause, Amtrak
Interiors	Andrew Wood, Amtrak
Propulsion	Jack Madden, NYSDOT

**C.1.7 PRIIA Management Documents (305-1xx)**

**Revision Control Coordinator (RCC):** David Warner, Amtrak

**Alternate Revision Control Coordinator:** Stan Hunter, Caltrans

Document Control Board	
Area	Assignment
As required	As required

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## **Appendix D: Handling of Accessibility– Related DCRs**

SUPERSEDED BY REVISION B - RELEASE DATE: JANUARY 8, 2013



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**D.1 Purpose**

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This Appendix describes the process for handling a Document Change Request (DCR) that covers accessibility requirements that:

- Are not covered by a specification's Requirements Document, and
- Exceed the minimum requirements in the Code of Federal Regulations.

The text in this chapter provides details of the process shown in Figure D-1. This figure provides a summary of how DCRs that meet the requirements of this section are managed. For clarity, and due to space constraints, not all information and document flows are shown, but they are all described in Section D.2.

The process described in this section is meant to follow as closely as possible the conventional DCR process to minimize confusion.

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**D.2 Process Description**

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**D.2.1 DCR Flow**

Down the left side of Figure D-1, to the left of the vertical dotted line, is a summary of the normal flow of a DCR. The complete DCR flow is contained in Appendix B. All DCRs for specifications and documents are sent to the Revision Control Coordinator (RCC). The RCC is responsible for forwarding the DCR to the appropriate Document Control Coordinator (DCC).

The DCC is the individual in the best position to determine if a DCR complies with a specification's Requirements Document, however the Review Panel's review at the end of the DCR adjudication process provides a double check to ensure a change doesn't conflict with the Requirements Document. If the DCC receives a DCR that meets the conditions listed in Section D.1, however, a change in the normal DCR handling process must occur. Rather than forwarding the DCR to the Document Control Board, (s)he shall forward the DCR to the Accessibility Working Group (AWG). The DCB portion of the DCR form (see Appendix A) shall be used by the DCC to record the forwarding of the DCR. At this point, the DCR becomes part of the procedure for modifying the Requirements Document by the NGEN 305 Equipment Committee, beginning with the AWG as represented by the entry point in the flow chart in Figure D-1.

**D.2.2 Requirements Document Change Evaluation****D.2.2.1 Accessibility Working Group**

Upon receipt of a DCR from the DCC, the AWG shall begin an evaluation of the proposed change. This review shall be a comprehensive and detailed effort intended to determine, among other things, the technical feasibility of the requested change, existence of technical specifications to implement the change, an operations analysis of the change, an analysis of the Life Safety/Emergency response impacts and whether or not an economic analysis of the impact of the change is warranted. It is recognized that these efforts may take several months to accomplish. The AWG may have to reach out to PRIIA Technical Working Groups, or outside agencies for assistance.

At the end of this process, the AWG shall make a recommendation regarding the feasibility of the change requested in the DCR. It can make two determinations:

- **Reject:** If the AWG determines the change requested is not feasible or appropriate, it shall reject the DCR. The rationale for rejection shall be inserted in the “Explanation of Rejection/Amendment” block of the DCR form. At this point the DCR is returned to the DCC who will then report back to the submitter of the DCR as delineated in Appendix B.
- **Approve:** If the AWG determines that the change requested should be implemented, it shall draft suggested language for modifying the Requirements Document. In the case of a complex suggestion in which the system/change requires detailed implementation guidance, a draft specification—or existing specification, if available—shall be included in the information sent to the Technical Subcommittee (TSC). Further, all supporting documentation as developed during its evaluation, will be provided to the TSC.

The AWG is serving in the role of the Document Control Board for the evaluation of the DCR. If the AWG determines it should approve the change proposed in the DCR, it shall determine if the DCR text is satisfactory. If the language needs to be changed, the “Explanation of Rejection/Amendment” and/or “Approved Amended Language” blocks of the DCR form shall be used.

#### D.2.2.2 Technical Subcommittee

The Technical Subcommittee (TSC) will then evaluate and discuss the proposed change to the Requirements Document as provided by the AWG. While the DCR may be submitted along with the Requirements Document language change, the TSC IS NOT evaluating the DCR at this stage. Upon review and discussion of the proposed change to the Requirements Document, the TSC can make one of three decisions:

- **Reject:** If the TSC determines this is not a change it wishes to forward to the Executive Board, it will reject the proposed change. At this point the DCR is returned to the DCC who will then report back to the submitter of the DCR as delineated in Appendix B. In addition, the AWG will be notified of the rejection.
- **More Study Needed:** If the TSC agrees in principal with the proposed change, but believes more work is needed before the Requirements Document is changed, it can send the recommendation back to the AWG for additional work. If the TSC believes that the proposed Requirements Document language just needs some editorial modifications, the TSC can either send the language back to the AWG, or make the modifications itself. In the case of the latter choice, the TSC would then follow the “Approve” path below.

If the DCR requires modification at this point, the TSC should tell the AWG what is needed to be changed. Depending upon how extensive the changes are, the AWG can either edit the language it had previously modified, or it can issue a new DCR on the same subject. If the AWG takes this latter action, it should send the DCR to the RCC so that it can be properly logged into the change management system records. The flow of the DCR will then follow what has been described earlier in this Appendix. In addition, the author of the original DCR will be notified with the status of the document.

- **Approve/Approve as Amended:** If the TSC agrees with the recommendation of the AWG, it will vote to approve sending the proposed change to the Executive Committee. The TSC may also vote to amend the recommendation to address shortcomings identified by the full TSC membership. All of the supporting documentation that came with the package to the TSC shall be sent to the Executive Committee along with a summary of the TSC deliberations on the matter, including a brief justification for any modifications made by the TSC, and the results of the vote to approve the change to the Requirements Document.

#### D.2.2.3 Executive Committee

The TSC will then evaluate and discuss the proposed change to the requirements. Upon review and discussion of the proposed change, the NGEC can make one of three decisions:

- **Reject:** If the NGEC determines it does not want to implement the proposed change(s), it will reject the change. As would happen with any rejection, at this point the DCR is returned to the DCC who will then report back to the originator of the DCR as delineated in Appendix B.
- **More Study Needed:** If the NGEC determines the change is appropriate, but that more study or work is needed before the Requirements Document is changed, it can send the recommendation back to either the TSC or the AWG. If the AWG is required to perform more work, the TSC should be notified. The actual passing of information back to the AWG will be done through the TSC and will serve as such notification. If the NGEC determines that the proposed Requirements Document language requires only editorial modifications, it can make modifications itself, and follow the “Approve” path below.
- **Approve/Approve as Amended:** Upon approving the proposed change to the Requirements Document, or amending and approving the proposed change to address any perceived shortcomings the NGEC will:
  - Request that the Requirements Document be appropriately changed by Technical Support Staff, and then posted on the AASHTO web site along with a brief description of the reasons for any modifications to the proposed change approved by the Executive Committee.
  - Inform the DCC of the change to the Requirements Document.

#### D.2.3 Final DCR Processing

The DCC will now forward the DCR to the appropriate Document Control Board for adjudication. While approval is certainly anticipated given the vetting it has had, the DCB can still vote to Reject or Approve/Approve as Amended in accordance with this procedure. The final TSC, Review Panel and Executive Committee approval of the DCR will occur in accordance with the conventional DCR procedure.

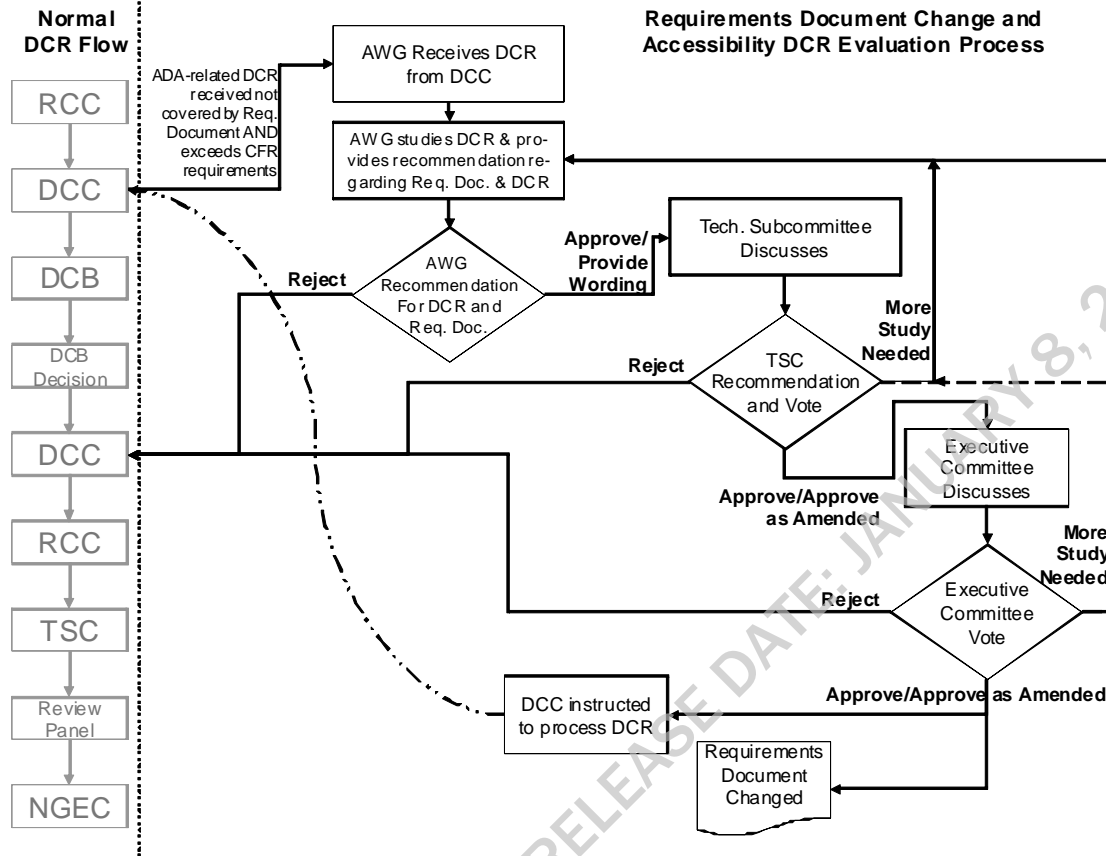


Figure D-1: Requirements Document Change and Accessibility DCR Process

\* End of Procedure \*