

# PRIIA 305 Next-Generation Equipment Committee



## Document Management Process

PRIIA Procedure 305-100

Revision B

Release Date: January 8, 2013

Initial Release: Approved Issue Date: October 25, 2011

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



## Procedure Change Sheet

From Initial Release to Revision A — June 21, 2012		
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.

From Revision A to Revision B — January 8, 2013		
DCR	Section(s)	Description
100-004	Appendix D	Completely revised Appendix D to change the handling of DCRs relating to accessibility requirements to separate policy and technical approval steps.

# Table of Contents

1.1	Document Management System .....	1
1.2	Glossary and Abbreviations .....	1
1.3	Description of Process .....	1
1.3.1	Purpose .....	1
1.3.2	Benefit .....	1
1.4	Applicability .....	2
1.4.1	Documents Controlled Through This System .....	2
1.5	Document Change Request Process .....	2
1.5.1	Process for Revising Approved Document .....	2
1.5.2	Authority to Request Changes .....	2
1.5.3	Documentation and Justification Requirements .....	2
1.5.4	Revision Control Coordinator .....	2
1.5.5	Numbering of DCRs .....	3
1.5.6	Document Change Coordinator .....	3
1.5.7	Document Control Board .....	3
1.5.8	Definition of Revision Scope .....	4
1.5.9	Frequency and Schedule for Compilation of DCRs and Documentation Updates .....	4
1.5.10	DCR Review Process (Urgent DCRs) .....	5
1.5.11	DCR Review Process (Major and Minor DCRs) .....	5
1.5.12	DCR Review Process During Periods When Full Technical Subcommittee Participation is Precluded .....	6
1.5.13	Criteria for DCR Approval, Denial and Appeal Processes .....	7
1.6	Configuration Management and Revision Control .....	8
1.6.1	Revising an Approved Document .....	8
1.6.2	Archiving and Records Retention .....	8
1.6.3	Document Availability and Notification of Document Revision Change .....	8
1.6.4	Creation and Maintenance of As-Built Specifications .....	8
1.7	Repository of Specifications and Documents .....	8
1.7.1	Specification Ownership and Repository .....	8
Appendix A: Document Change Request (DCR) Form .....		9
Appendix B: Workflow Process Flowchart .....		12
Appendix C: Document Control Board Members .....		14
C.1	Document Control Process Key Personnel (effective April 17, 2012) .....	15
C.1.1	Bi-Level Passenger Rail Car Specification (305-001) .....	15
C.1.2	Single-Level Passenger Rail Car Specification (305-003) .....	15
C.1.3	Diesel-Electric Locomotive Specification (305-005) .....	16
C.1.4	Trainset Specification (305-007) .....	16
C.1.5	DMU Specification (305-009) .....	17
C.1.6	PRIIA Specifications/Drawings/Standards (305-7xx, -8xx and -9xx) .....	17
C.1.7	PRIIA Management Documents (305-1xx) .....	18
Appendix D: Handling of Accessibility-Related DCRs .....		19

D.1 Purpose..... 20

D.2 Process Description..... 20

    D.2.1 DCR Flow ..... 20

    D.2.2 Policy Portion ..... 20

    D.2.3 Technical Portion..... 21

    D.2.4 Final DCR Processing ..... 22

## **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 NGEC:

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

Only those documents that have been formally approved by the NGEC 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 NGEC, 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 NGENC 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 NGENC-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 NGEC-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 NGEC 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 NGEC 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 NGEC 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 NGEC Board. The Review Panel will provide a recommendation to the NGEC 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 NGEC Executive Board for approval. The NGEC 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 NGEC Review Panel. The Review Panel remains responsible for reviewing NGEC 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, NGEC-participating States and the FRA. Consultants under contract to the NGEC, 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 NGEC specification Review Panel will be used (with support from NGEC, 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**

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### **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**

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### **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**

Submit by Email

Print Form

**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)*

To be filled out by Originator

<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)***

**DCR Number:**  
(assigned by RCC)

## Document Change Request

<b>RCC</b>	<b>Date Sent to DCC</b>   <b>Date:</b> <input type="text"/>	<b>Date Returned to Originator</b>   <b>Date:</b> <input type="text"/>
	<i>RCC's Digital Signature 1</i> <input type="text"/>	

<b>Change Criteria Category:</b>	Minor <input type="checkbox"/>	Major <input type="checkbox"/>	Urgent <input type="checkbox"/>
<b>Change Recommendation:</b>	Approved <input type="checkbox"/>	Rejected <input type="checkbox"/>	Approved as Amended <input type="checkbox"/>

<b>DCC</b>	<b>Explanation of Recommendation:</b>	<input type="text"/>
	<b>Date Sent to DCB</b>   <b>Date:</b> <input type="text"/>	<i>DCC's Digital Signature 1</i> <input type="text"/>

<b>Disposition:</b>	<b>Date:</b> <input type="text"/>	Accepted <input type="checkbox"/>	Rejected <input type="checkbox"/>	Accepted as Amended <input type="checkbox"/>
<b>Explanation of Rejection/Amendment:</b>	<input type="text"/>			

<b>DCB</b>	<b>Approved Amended Language:</b>	<input type="text"/>
	<b>Date Sent to DCC</b>   <b>Date:</b> <input type="text"/>	<i>DCB's Digital Signature</i> <input type="text"/>

<b>DCC</b>	<b>Date Sent to RCC</b>   <b>Date:</b> <input type="text"/>	<i>DCC's Digital Signature 2</i> <input type="text"/>
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<b>RCC</b>	<b>Specification Revised by:</b> <input type="text"/>	<b>Date:</b> <input type="text"/>
	<b>New Revision Level:</b> <input type="text"/>	<b>Date Originator Notified</b>   <b>Date:</b> <input type="text"/>
		<i>RCC's Digital Signature 2</i> <input type="text"/>

**Abbreviations:**

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

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



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

Effective April 17, 2012

**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

<b>Document Control Board</b>	
<b>Area</b>	<b>Assignment</b>
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

<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

**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

<b>Document Control Board</b>	
<b>Area</b>	<b>Assignment</b>
As required	As required

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

## D.1 Purpose

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This Appendix describes the process for handling a Document Change Request (DCR) that addresses accessibility requirements in any of the Next Generation Equipment Committee (NGEC) equipment specifications. The method by which this is done is called “Twin Loops,” based on process flows around the accompanying Figures D-1 and D-2.

The text in this chapter provides details of the process shown in Figures D-1 and D-2. These figures provide a summary of how accessibility-related DCRs 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 intended to parallel the conventional DCR process as closely as possible to minimize confusion.

## D.2 Process Description

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### D.2.1 DCR Flow

Down the left side of Figures D-1 and D-2, 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).

When the DCC receives an accessibility-related DCR, a deviation from the normal DCR handling process occurs. Rather than forwarding the DCR to the Document Control Board (DCB), (s)he shall forward the DCR to the Accessibility Policy Group (APG). The DCB portion of the DCR form (Appendix A) shall be used by the DCC to record the forwarding of the DCR. Next, the DCR is managed by the procedure beginning with the APG as represented by the entry point in the flow chart in Figure D-1.

### D.2.2 Policy Portion

#### D.2.2.1 Accessibility Policy Group

Upon receipt of a DCR from the DCC, the APG shall begin an evaluation of the proposed change. There are three possible outcomes from this review:

- **Accept/No Requirements Document Change Needed:** If the APG determines that the proposed change is already accommodated by PRIIA policy/regulatory requirements, a change to the affected specification’s Requirements Document is not required.
- **Accept/Requirements Document Change Needed:** If the proposed change is not addressed by the requirements of existing regulations or PRIIA policy, the APG can make a recommendation to the Executive Board to approve the proposed change. Doing this will require writing, via an additional DCR, a proposed change to the affected specification’s Requirements Document. As part of this option, the APG should consider, among other things, the potential impact of such a change on basic train operations, Life Safety/emergency response impacts and whether or not an economic analysis of the impact of the change is warranted, with the goal being not to inadvertently impose a huge cost/“unfunded mandate” upon PRIIA vehicles.

Conversely, if the proposed change is required by regulations, the above considerations cannot be used as grounds for rejection unless it is discovered that the change is physically impossible or would otherwise violate the laws of physics, (e.g., fitting a square peg into a round hole.) The APG may consider seeking advice from the

Accessibility Working Group (AWG) regarding the technical feasibility of the requested change, realizing that without the existence of technical specifications to implement the change, the AWG will have to develop specifications sufficient to include in PRIIA vehicle specifications.

- **Reject:** If the proposed change is not addressed by the requirements of existing regulations or PRIIA policy, the APG can make a recommendation with justification to the Executive Board to reject the proposed change.

#### D.2.2.2 Executive Board

The APG's recommendation is then brought to the Executive Board for a discussion and vote. The Executive Board vote can have three outcomes:

- **Proceed:** The Executive Board can approve the APG's recommendation. In this case, the DCR for the change itself as well as the DCR for the specification's Requirements Document (if required) shall be returned to the DCC. The DCC shall coordinate with the RCC to ensure the Requirements Document is properly changed, and then forward the original DCR to the AWG for the technical portion of the effort.
- **Review:** The Executive Board can reject the APG's recommendation, and send the DCR back to the APG for more study, or provide a different recommendation, e.g., accept the DCR and provide a DCR to change the Requirements Document.
- **Do Not Proceed:** The Executive Board can determine that no further action on the DCR is warranted because either:
  - It concurs with the APG's recommendation to reject the DCR, or
  - It disagrees with the APG's recommendation to implement the change.

In either of these cases, the rationale for rejection shall be inserted in the Explanation of Rejection/Amendment block of the DCR form. The DCR is returned to the DCC, and the originator will be informed of the rejection in accordance with the procedures in Appendix B. In addition, the rejected DCR will be processed as described in section D.2.4 of this Appendix; this provides a second look of the DCR by the normal DCR approval chain for any accessibility-related DCR.

#### D.2.3 Technical Portion

The flow of the Technical Evaluation is shown in Figure D-2. The AWG is serving in the role of the DCB for the evaluation of the DCR. It is for this reason that the process flow in Figure D.2 begins at the "pre-DCB" DCC block, and ends at the "post-DCB" block. It is expected that the AWG may have to reach out to the Technical Working Groups, or perhaps outside entities or agencies, for technical assistance.

Important to note, however, is that the AWG's job is solely to develop appropriate DCR language for inclusion in the technical specification. It is recognized, however, that the APG's review of the DCR may have missed a technical/physical aspect making the change impossible to implement. If this occurs, AWG must still do its best to formulate the required technical language, but the "square peg in a round hole" problem must be conveyed in its report to the Technical Subcommittee (TSC). When the DCR language is finally determined, either by accepting the original language as is, or providing amended language, the recommendation is forwarded to the TSC for review. As in the case of the Executive Board's approval, the TSC's vote can have three possible outcomes:

- **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 Board. The TSC may also vote to amend the recommendation to address shortcomings identified by the full TSC membership. The DCR will be given to the DCC, and at this point the normal DCR flow described in Appendix B will be followed.

- **More Study Needed:** If the TSC agrees in principle with the proposed change, but believes more work is needed before the technical specification can be changed, it can request that the AWG perform this additional work.
- **Reject:** Even though the Executive Board has approved the implementation of the desired change, if, as mentioned earlier, the technical impossibility of the change was not caught by the APG, e.g., the square peg into a round hole problem, the TSC may reject the DCR at this point. Again, the reason for rejection shall be inserted in the Explanation of Rejection/Amendment block of the DCR form. The DCR is returned to the DCC, and the originator will be informed of the rejection in accordance with the procedures in Appendix B. In addition, the rejected DCR will be processed as described in section D.2.4 of this Appendix; this provides a second look of the DCR by the normal DCR approval chain for any accessibility-related DCR. In particular, it gives the Executive Board an additional opportunity to discuss the DCR, and determine a new course of action.

#### **D.2.4 Final DCR Processing**

The DCC will now include the accessibility-related DCR in a Summary Sheet (normal DCR handling), or forward it directly (for Urgent handling) in accordance with Appendix B procedures. A final TSC vote, Review Panel and Executive Board approval of the DCR will occur in accordance with the conventional DCR procedure.

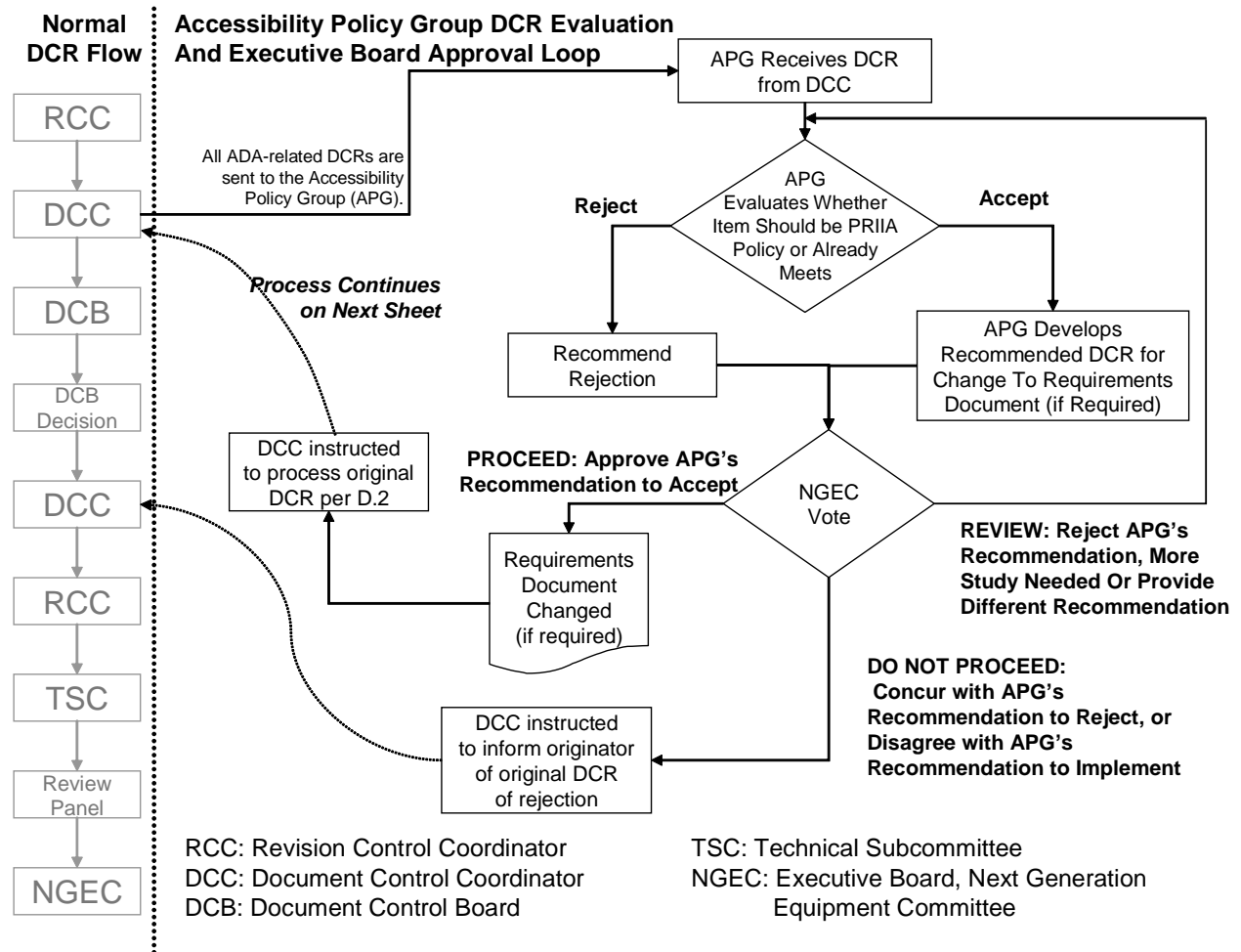


Figure D-1: Policy Flow

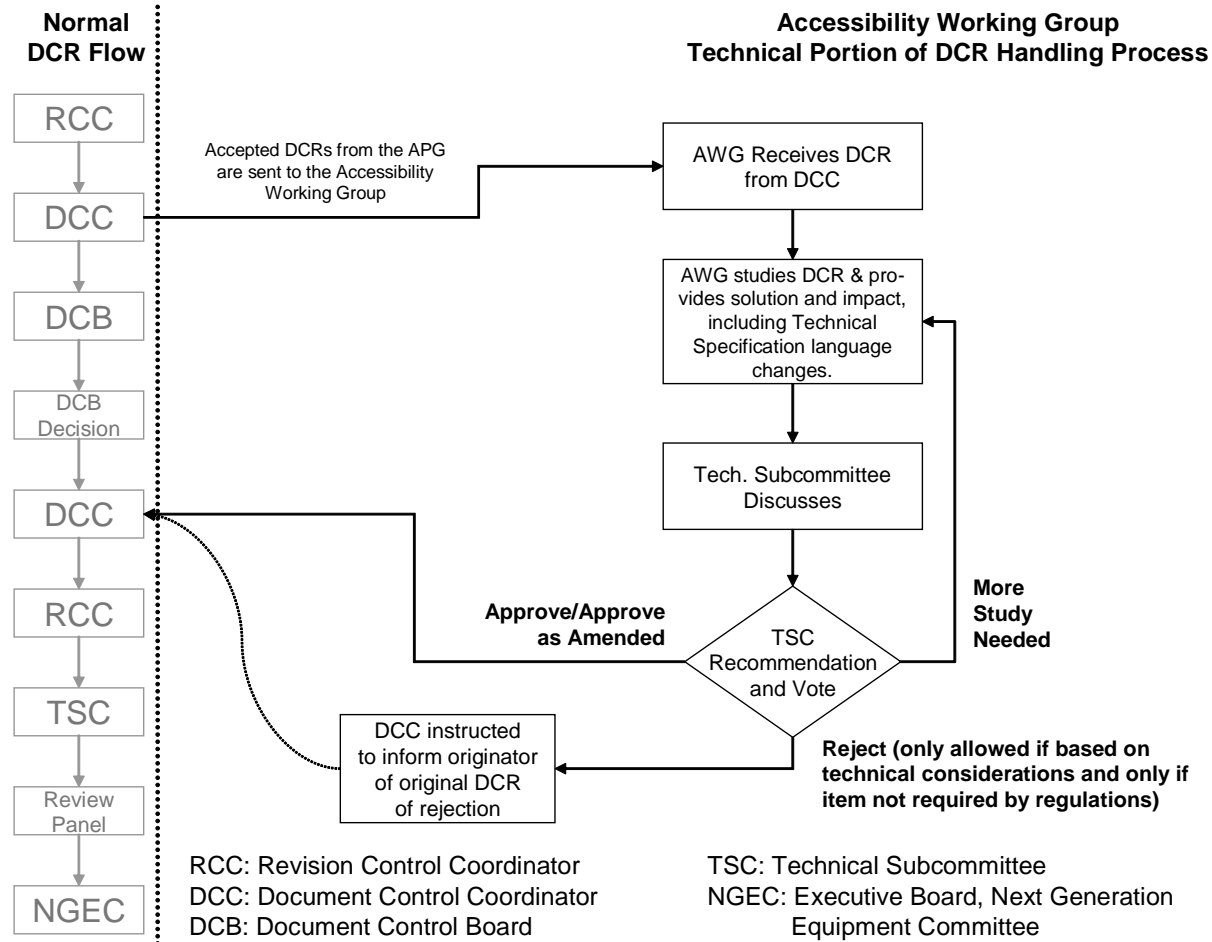


Figure D-2: Technical Flow

\* End of Procedure \*