

### MQP Level 3

## IO/DA Documentation Exchange and Storage

The purpose of this working instruction is to describe the process for exchanging and storing the electronic documentation which is issued by the DAs in the scope of PAs/TBMAs/TAs, set-up the documentation requirements for the delivery of DA documentation and provide the IO PA TROs/TBMA ROs/TAROs and the DA ROs with the instructions relative to the exchange and storage of the electronic documentation.

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<i>Change Log</i>			
<b>IO/DA Documentation Exchange and Storage (35BVQR)</b>			
<b>Version</b>	<b>Latest Status</b>	<b>Issue Date</b>	<b>Description of Change</b>
v1.0	In Work	23 Jul 2010	
v1.1	Signed	23 Jul 2010	Formatting adjustments.
v1.2	Signed	20 Sep 2010	<ul style="list-style-type: none"> <li>- Extensive language revision</li> <li>- Incorporated many comments from staff belonging to DOC, IKM, QA, IT and SES</li> <li>- Changed reviewer and approver list as decided by the MQP board</li> <li>- Changed title as decided by the MQP board</li> <li>- Updated flowcharts</li> </ul>
v1.3	Signed	13 Oct 2010	<p>This revised version takes into account the comments issued by CCS (Tim Watson) and Magnet Division (Neil Mitchell). Section leaders of magnets have been interviewed and they basically agreed with the proposal (see: Magnets Division <a href="https://user.iter.org/?uid=3USM2D">https://user.iter.org/?uid=3USM2D</a>).</p> <p>The main changes are related to:</p> <ul style="list-style-type: none"> <li>- Simplification of text, definitions (acceptance and approval have been revised following the input from QA) and flowcharts</li> <li>- Simplification of process (no double upload of documents, only shortcuts with different methodology)</li> <li>- Folder structure and access rights have been clarified</li> </ul> <p>A simple presentation consisting of a 4 pages working instruction is attached to the procedure (1 flowchart, 1 slide for the main stakeholders)</p>
v2.0	Signed	08 Dec 2010	<p>- Modifications implemented as decided in ITER_D_42HN9B - Restricted Meeting on Exchange of Documentation with DAs</p> <p>Main changes:</p> <ul style="list-style-type: none"> <li>- Removal of acceptance process</li> <li>- Clarification on the usage of the list of deliverables and placeholders (version 0.0) creation</li> <li>- Clarification of roles and responsibilities</li> </ul>
v2.1	Approved	13 Dec 2010	<p>Editorial correction. The first paragraph of the purpose section was removed: "ITER is an international organization comprising the ITER Organization (IO) and seven Domestic Agencies (DAs): the People's Republic of China, the European Union, India, Japan, the Republic of Korea, the Russian Federation and the United States. Moreover, numerous institutions and companies are involved in ITER activities as IO and DA contractors and subcontractors. In such a complex technical project as ITER, cooperation and collaboration are vital aspects which should be strictly regulated. An important aspect of these cooperative activities is the exchange of documentation. "</p>
v3.0	Signed	18 Oct 2017	<p>The new version is categorised as MQP L3 document supporting Document and records process and propagating the requirements of ITER_D_22K5JQ - Document Management Procedure.</p> <p>The main changes are:</p> <ul style="list-style-type: none"> <li>- Change of title to: Working instruction for the exchange and storage of documentation between ITER Domestic Agencies and ITER Organization</li> <li>- Update of the MQP template;</li> <li>- Merge with ITER_D_2DKFR2 - Procurement Arrangement Related Documentation Access and Storage Conventions , ITER_D_64YW2W - Working Instruction for Scheduling Documentation and Data Exchange between IO and DAs</li> </ul>

			<ul style="list-style-type: none"> <li>- Clarification of scope regarding CAD data, work of specific units (e.g.: Project Teams);</li> <li>- Modification of folder structure for Outgoing Documents to include: For Information, For implementation folders to improve the distribution of IO documents to DAs;</li> <li>- Clarification on the submission of documentation under Export Control.</li> </ul>
v3.1	Revision Required	31 Oct 2017	This version includes the comments from IO In-kind Coordinator to improve the understanding of the process (no requirements change or new requirements), and to correct minor typo mistakes.
v3.2	Approved	08 Nov 2017	This version incorporates the comments from EPNS Division Head regarding the defined requirements for the management of PIA and PIC related documents. The details are outlined in Chapter 5. Basic Principles. No other changes have been done to the version 3.2 compared to version 3.1
v4.0	Revision Required	14 Jun 2019	<p>As per approved MQP doc Request - YP6Q8M, the list of changes are:</p> <p>Change 1/ For the submission of DA IP Declarations:  Chapter 5.2.4 Submission of Declaration of Intellectual Property;  Chapter 5.5.2 Folder Descriptions, 05. IP Register;  Chapter 6.2.2 Document transfer by DA to IO, Requirement 2 – Documentation uploading.</p> <p>Change 2/ For the processing of Non-Conformity reports:  Chapter 2 Scope, highlighted in green;  Chapter 5.2.5 Submission of Non-conformity Reports.</p> <p>Essential data: <a href="https://user.iter.org/?uid=YQFSSE">https://user.iter.org/?uid=YQFSSE</a> .  Implementation Plan: <a href="https://user.iter.org/?uid=YK3U6F">https://user.iter.org/?uid=YK3U6F</a> .  Draft with changes highlighted in color attached to this request</p>
v4.1	Approved	16 Jul 2019	<p>Chapter 5.2.1 Preliminary joint IO-DA review (pages 8-9 of 28) is added to respond to the approver's comment:</p> <p>"update this document so as to include joint review as an option in accordance with the comment of the reviewer, and review the updated one, focusing on the joint review."</p>
v4.2	Approved	06 Dec 2019	Revision as per MQP doc Request - 2D3EMF
v5.0	Approved	16 Oct 2020	<p>As per approved MQP doc Request - 3SMXHD, this version 5.0 mainly includes:</p> <ul style="list-style-type: none"> <li>* the merge of the requirements from IO/DA Documentation Exchange and Storage for Project Teams (QYTN6D v5.0) with this updated MQP document.</li> <li>* the update of the chapter IO-DA Joint Review.</li> </ul> <p>The following chapters are modified:</p> <ul style="list-style-type: none"> <li>* Chapter 2 Scope;</li> <li>* Chapter 3 Definitions and Acronyms;</li> <li>* Chapter 4.2 Reference documents;</li> <li>* Chapter 5 Basic Principles;</li> <li>* Chapter 5.1 Documentation Exchange Folder Structure;</li> <li>* Chapter 5.2.1 IO-DA Joint review;</li> <li>* Chapter 5.2.3 Submission of the DA / ITER Member's diagrams and drawings;</li> <li>* Chapter 5.2.5 Submission of Declaration of Intellectual Property;</li> <li>* Chapter 5.3 IO outgoing documentation transmission to DA / ITER Member;</li> <li>* Chapter 5.4 Access Rights;</li> <li>* Chapter 5.5.2 DA Documentation storage and processing bypassing the DA-IO Documentation Exchange Area;</li> <li>* Chapter 5.5.5 Security settings;</li> <li>* Chapter 6.1.3 Documentation exchange preparation and transfer when bypassing the DA-IO Documentation Exchange Area;</li> </ul>

			<ul style="list-style-type: none"> <li>* Chapter 6.2.1 Documentation Exchange preparation, Requirements 1, 2, 3;</li> <li>* Chapter 6.2.2 Document transfer by DA to IO;</li> <li>* Chapter 7.6 DA PA TRO / TBMA RO / TARO;</li> <li>* Chapter 9 Output.</li> </ul> <p>The draft with tracked changes is available in the MQP doc Request - 3SMXHD.</p>
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# 1 Purpose

The purpose of this working instruction is to:

- ☐ Describe the process for exchanging and storing the electronic documentation which is issued by the DAs and ITER Members in the scope of PAs/TBMAs/TAs;
- ☐ Set-up the documentation requirements for the delivery of DA/ITER Members documentation;
- ☐ Provide the IO PA TROs/TBMA ROs/TA ROs and the DA/ITER Members ROs with the instructions relative to the exchange and storage of the electronic documentation.

# 2 Scope

This Level 3 MQP working instruction supports Document and Records process and propagates the requirements of [2].

The use of this working instruction is mandatory for all documentation stakeholders within the document exchange processes in order to minimise errors, optimise documentation exchange and storage and to make an efficient, controllable and secure process.

This document is applicable to any official document exchanged between DAs/ITER Members and IO, which include but not limited to:

- ☐ Technical documents, including those under Export Control, demonstrating that the works or a physical item are delivered according to the agreed technical requirements;
- ☐ Management documents, including those under Export Control, demonstrating that a DA/ITER Member performs the works or provides a physical item in accordance with the necessary quality, risk, schedule requirements, and applicable legal regulations;
- ☐ Intellectual Property documents, such as Background IP declarations and Generated IP declarations as defined in relevant documents.
- ☐ DAs'/ITER Members' scheduling documents and relevant data exchanged between the DAs/ITER Members and IO through IDM and further managed by Primavera software solution.

This working instruction specifies the folder tree structure fully applicable to the storage of PA related documents, whose review process is defined in [3]. It can be also used for the storage of TBMA documents and TA related documents.

The exchange and storage of confidential documentation and the exchange of correspondence are out of the scope of this working instruction.

Processing of CAD data (drawings, diagrams, models) are out of the scope of this working instruction.

The processing of Non-conformity reports is out of the scope of this document. Non-conformities reports (NCR) will be submitted to IO directly, using NCR database, as defined in [4].

This document is applicable to documentation exchange and storage in the scope of any PA/TBMA/TA between DAs/ITER Members and IO, unless different provisions are authorized by specific derivative instructions.

Such instructions shall be aligned with the requirements of this working instruction. If, for any justified reason, the specific derivative instructions deviate from the requirements of this document, they shall go through [5].

Risk and Opportunities data are out of the scope of this procedure. They shall be submitted as required in [6] using the dedicated application. Risk Management Plans are still required to be submitted in the exchange folder.

This document also applies to the work of Project Teams. The specific provisions for Project Teams are described further in this working instruction.

### 3 Definitions and acronyms

#### 3.1 Definitions

<b>Process Owner</b>	Refer to [7]
<b>IO IDM Document Storage Area</b>	A folder in IO IDM, typically in <a href="#">Plant Breakdown Structure</a> , where shortcut links to the Incoming documents are created and access to the documents is managed.
<b>ITER Member</b>	As per [19], Domestic Agency or any designated Entity by the ITER Member, acting as TBM Leader for a given XXXX-TBS. In the framework of this document: entity designated by an ITER Member (can be a Domestic Agency) acting as Leader for a given XXXX-TBS.

#### 3.2 Acronyms

<b>AD</b>	Active Directory
<b>ANB</b>	Agreed Notified Body
<b>ARO</b>	Administration Responsible Officer
<b>CAD</b>	Computer Aided Design
<b>DA</b>	Domestic Agency
<b>DG</b>	Director General
<b>DH</b>	Division Head
<b>DIPH</b>	Head of Department for ITER Project
<b>DIRO</b>	Design Integration Responsible Officer
<b>DMS</b>	Document Management System
<b>DO</b>	Design Office
<b>DOC</b>	Document Control Section
<b>DORO</b>	Design Office Responsible Officer
<b>EC-CP</b>	Export Control Contact Person
<b>ECMB</b>	Export Control Management Board
<b>FBD</b>	Finance and Budget Division
<b>GG</b>	Global Group (in IDM)
<b>I&amp;C</b>	Instrumentation and Control
<b>IDM</b>	ITER Document Management system
<b>IO</b>	ITER Organization
<b>IP</b>	Intellectual Property
<b>IPCP</b>	Intellectual Property Contact Person
<b>IRO</b>	Interface Responsible Officer
<b>LG</b>	Local Group (in IDM)
<b>MQP</b>	Management Quality Programme
<b>NB</b>	Notified Body
<b>NSO</b>	Nuclear Safety Officer



<b>OBS</b>	Organisation Breakdown Structure
<b>PA</b>	Procurement Arrangement
<b>PARO</b>	Procurement Arrangement Responsible Officer
<b>PCO</b>	Project Control Office
<b>PCR</b>	Project Change Request
<b>PSRO</b>	Planning & Scheduling Responsible Officer
<b>PT</b>	Project Team
<b>QA</b>	Quality Assurance
<b>QARO</b>	Quality Assurance Responsible Officer
<b>QC</b>	Quality Control
<b>RO</b>	Responsible Officer
<b>ROMO</b>	Risk & Opportunity Management Officer
<b>SL</b>	Section Leader
<b>SRO</b>	Safety Responsible Officer
<b>TA</b>	Task Agreement
<b>TBM</b>	Test Blanket Module
<b>TBMA</b>	Test Blanket Module Arrangement
<b>TBS</b>	Test Blanket System
<b>TRO<sup>1</sup></b>	Technical Responsible Officer
<b>UID</b>	IDM Unique Identification Number

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<sup>1</sup> The Vacuum Vessel Project Team uses the terms Technical Coordinator in place of the IO TRO and Project Manager in place of the DA TRO.

## 4 Applicable and References Documents

### 4.1 Applicable documents

- [1] [ITER\\_D\\_44GQ5V - ITER Confidential information - Rules and Controls for Handling and Protection](#)

### 4.2 Reference documents

- [2] [ITER\\_D\\_22K5JQ - Document Management Procedure](#)
- [3] [ITER\\_D\\_2EXFXU - Sign-Off Authority for Project Documents](#)
- [4] [ITER\\_D\\_22F53X - Procedure for management of Nonconformities](#)
- [5] [ITER\\_D\\_2LZJHB - Procedure for the management of Deviation Request](#)
- [6] [ITER\\_D\\_22F4LE - Risk and Opportunity Management Procedure](#)
- [7] [ITER\\_D\\_22K4QX - ITER Quality Assurance Program \(QAP\)](#)
- [8] [ITER\\_D\\_44GRMV - Information Protection - Security Classification Policy](#)
- [9] [ITER\\_D\\_28B3SF - Annex B Template Technical Functional Specification](#)
- [10] [ITER\\_D\\_YQ7U33 - Working Instruction for Implementation and Management of a Document Production Plan \(DPP\) in PLM](#)
- [11] [ITER\\_D\\_KFMK2B - Procedure for the Management of Diagrams and Drawings in pdf Format Using the SMDD Application](#)
- [12] [ITER\\_D\\_JE3N8C - Export Control Procedure](#)
- [13] [ITER\\_D\\_3XXPWG - Procedure for Categorizing, Approval, Reporting, Assessment and Closure of Task Agreements](#)
- [14] [ITER\\_D\\_TZY8BS - Procedure for Configuration Management Planning](#)
- [15] [ITER\\_D\\_32HSJL - Work Instruction for the Storage of PAs](#)
- [16] [ITER\\_D\\_26J2MM - Guidelines for the Management of Procurements In Kind](#)
- [17] [ITER\\_D\\_7AHAL5 - List of Deliverables Working Instruction](#)
- [18] [ITER\\_D\\_2W4F7A - Procedure for the Preparation, Review, Approval and Award of Procurement Arrangements](#)
- [19] [ITER\\_D\\_3T4H23 - MQP Procedure for the TBM Arrangement \(TBMA\)](#)
- [20] [ITER\\_D\\_TZV743 - Procedure for Configuration Identification and Configuration Status Accounting](#)
- [21] [Manual of CAD](https://user.iter.org/?uid=2FQDLM) (https://user.iter.org/?uid=2FQDLM)
- [22] [ITER\\_D\\_VF6DS9 - Project Teams – Generic Terms of Reference](#)
- [23] [ITER\\_D\\_RU2TEC - Sign Off Authority \(SOA\) for VV PT, ITER\\_D\\_RF64DS - Sign Off Authority \(SOA\) for BIPS PT,](#)

## 5 Basic principles

As a general rule, the exchange of DA/ITER Members documentation for official review shall always be carried out through IDM.

The Information security class shall be marked on every document deliverable. If a DA/ITER Member's document is explicitly marked with a security class, the relevant IO internal MQP document shall be applied to handle such document deliverables. In IO, the document [8] shall be used for the general guidance.

If this marking is absent, the deliverable is considered by default as "For internal use".

The defined requirements for managing PIA/PIC related documents are stated in the chapters listed below:

5.1 Documentation Exchange folder structure

5.2 DA incoming documentation transmission to IO

5.2.1 Submission of DA/ITER Members scheduling documentation

5.2.4 Submission of DA/ITER Members documents under Export Control

## 5.5 DA documentation storage and processing

### 5.5.1 Folder structure for PA Document storage area

#### 6.2.1 Documentation exchange preparation, Requirement 1 – List of deliverables

#### 6.2.2 Document transfer by DA/ITER Member to IO, Requirement 2 – Documentation uploading

In order to ensure the provisions of [22], a Project Team may decide whether or not to use the exchange area for the submission of document deliverables and scheduling documentation and data.

## 5.1 Documentation exchange folder structure

The following folder structure is set up for DA/ITER Members' documentation

When bypassing the exchange area within the work of a Project Team, IO DOC provides support to transfer the document deliverables and scheduling documentation and data into the relevant exchange folder.

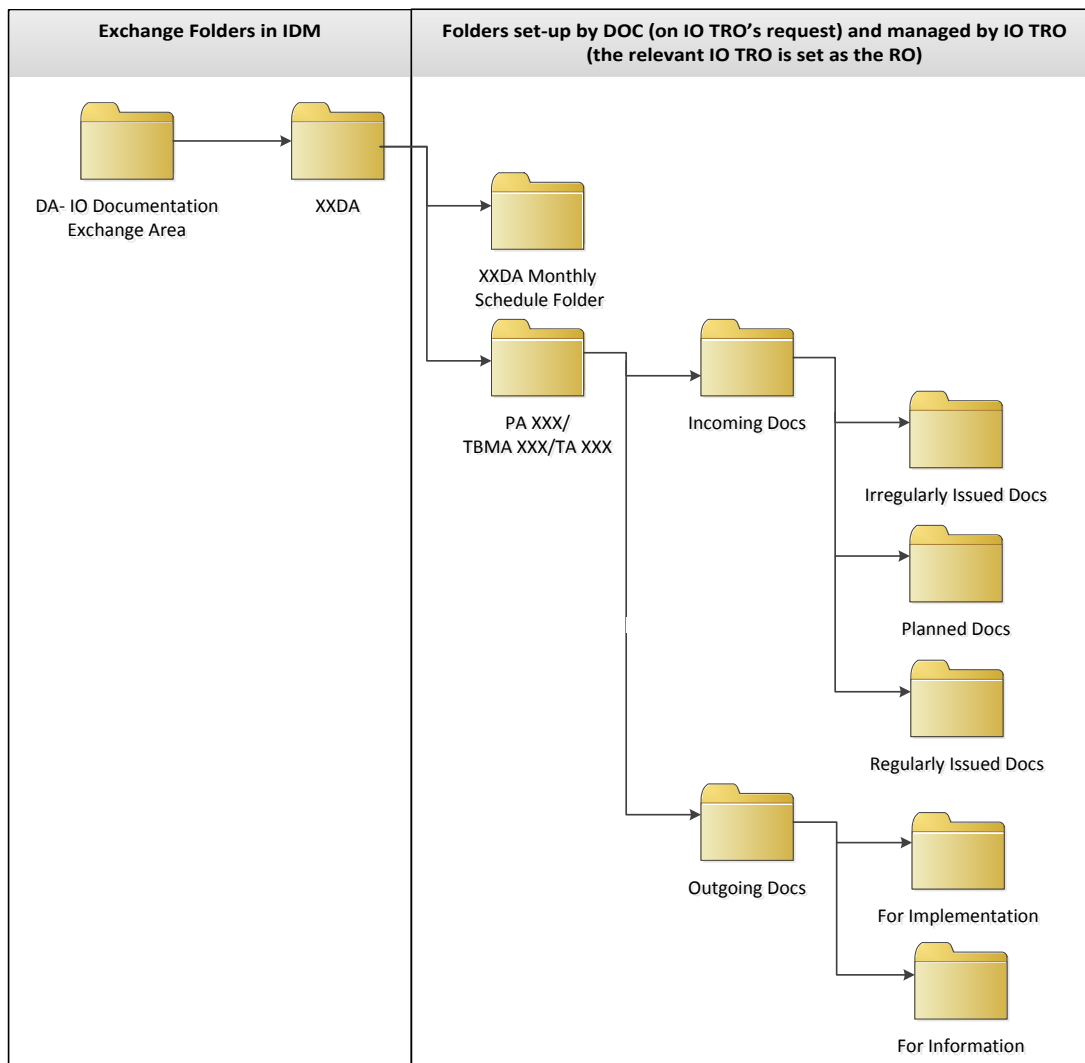


Figure 1 Document Exchange Folder Structure

## 5.2 DA/ITER Member's incoming documentation transmission to IO

DA/ITER Member's documentation transmitted by a DA/ITER Member to the IO shall be previously approved (for transmission to IO) and uploaded to the relevant folder in [DA - IO Documentation Exchange Area](#). All documents uploaded to the [DA - IO Documentation Exchange Area](#) in IO IDM shall have "Signed" status which will implicitly prove that the documentation has followed the DA's/ITER Member's quality plan for ITER project.

**Note:** All IO documents submitted in the Incoming Documents folders related to PA Documentation exchange folders under DA documentation exchange folder will be tagged automatically as related to the relevant PA.

Typical duration for the review/approval of a PA deliverable by IO should be set as defined in [9]:

The IO shall have ten (10) working days from the receipt of the DA's documents to review, comment and/or approve them, as the case may be;

- ☐ The DA shall have eight (8) working days from the receipt of commented documents to update and resubmit them to the IO; and
- ☐ The IO shall have five (5) working days from the receipt of the DA's submission to review and return the documents
- ☐ On submission of documents for acceptance: if no comments are made within the defined time frame, the document is deemed to be accepted by the IO.

The review duration of TA/TBMA document deliverables is defined by the relevant applicable procedures.

Prior to the DA documents submission to IO IDM, a DA can decide (in agreement with IO) to organise joint reviews in the DA Document Management System for all the technical documents of a specific PA.

### 5.2.1 IO-DA Joint Review

The IO-DA Joint Review is an alternative methodology of PA Technical Deliverables validation by IO in a DA DMS prior to their transmission by a DA to IO. The overall objective of the IO-DA Joint Review is to streamline the review cycles of the PA Technical Deliverables, both at IO and DAs, combining them in the IO-DA Joint Review taking mainly place in the DA Document Management System (DMS).

The IO-DA Joint Review does not change either the responsibilities of the External Parties (DAs) or those of the Nuclear Operator (IO). Indeed, based on the requirements below, IO retains the responsibility over the final approval of PA Technical Deliverables in IO IDM, based on the level of review and approval specified in [3]; whereas DAs retain the responsibilities over the approval of the contract deliverables with its Supplier as well as over the traceability of the review comments.

This alternative IO-DA Joint Review can be adopted for any PA/TA/TBMA. If the IO-DA joint review methodology is adopted and the decision is documented, it shall be consistently implemented for all PA/TA/TBMA related technical document deliverables.

The following requirements shall be fulfilled if the IO-DA Joint Review methodology is adopted:

1. The methodology shall be adopted for a PA or TA or TBMA, and not on document-by-document basis;
2. Technical documents, normally planned in accordance with [10], shall be reviewed through the IO-DA Joint Review methodology.  
The IO-DA Joint Review methodology is normally not applied to non-technical documents;

3. The decision on the adoption of IO-DA joint review shall be documented using a template provided by IO Document Control section and submitted in the folder **15. Communication** in the PAs folder structure (or other equivalent folder for TAs/TBMAs). In case a Deviation Request (DR) related to IO-DA Joint Review has been already approved for a given PA, this step can be replaced by simply shortcutting the approved DR in the PA communication folder (without any additional communications).
4. The DA shall ensure:
  - a) The relevant DA MQP regulating the Supplier Deliverable Acceptance are compatible with this IO-DA Joint Review methodology;
  - b) Activation and management of IO reviewers' accounts in the DA DMS;
  - c) Monitoring of action performances avoiding or minimizing any delay in documentation submission to IO related to the IO-DA Joint Review with respect to the typical review/approval duration, as described in **5.2 DA incoming documentation transmission to IO**;
  - d) The full traceability of comments provided by IO and DA during the IO-DA Joint Review. The DA shall be able to generate for each PA Technical Deliverable a review report containing, as a minimum, the following information: title and UID of the document; version number; version signatures; version history (number of submitted versions and their status); history of comments. IO does not require a specific format of this report, as long as it contains all the data listed above.  
An example of the required set of data presented in the report can be viewed at: [https://reports.iter.org/ReportServer/Pages/ReportViewer.aspx?/Document+Control+Centre/%2fsubreport%2fViewReportIDM&UID=35BVQR](https://reports.iter.org/ReportServer/Pages/ReportViewer.aspx?/Document+Control+Centre/%2fsubreport%2fViewReportIDM&UID=35BVQR;);
5. The names of IO reviewers, in the framework of IO-DA Joint Review, shall be provided by the IO-PA-TRO in accordance with [3]. IO PA TRO, if considered necessary, can add additional IO reviewers.
6. DAs shall ensure that the IO reviewers have access to all the documents stored in DA DMS and referenced in the document under review.  
DAs shall ensure that the IO reviewers have access to the relevant DA Quality System documentation;
7. During the IO-DA Joint Review in the DA DMS the following requirements shall be fulfilled:
  - a) The DA PA TRO (or delegated member of the DA) shall upload and sign the document in the DA DMS, and include the relevant DA reviewers (as per DA procedure in the DA Quality System).
  - b) The IO reviewers shall be added according to the list described in point 5 above;
  - c) The IO-PA-SRO review (for PIC/PIA related documents) shall remain independent and comments regarding any aspect of the Nuclear Safety need to be addressed, during this first review cycle in the DA DMS;
  - d) IO designated approver of the PA Technical Deliverable in IO IDM, as per IO-SOA, shall be added as reviewer but specifying the "Scope" of the review (IO Approver);
  - e) Adding the DA Approver of the document.
8. The IO Reviewer in DA Document Management system, who will perform the Approver's role in IO IDM has the authority to:
  - ☐ Authorise the approval of the document by the F4E Approver even if some IO reviewers have not performed the action;
  - ☐ Replace some IO Reviewers in case they are absent;
  - ☐ Authorise the F4E Approver of the document to ignore specific IO comments (WITH THE EXCEPTION OF THE IO-SRO), when considered not relevant.
9. On the completion of IO-DA Joint Review in the DA DMS, the following steps shall be undertaken:

- a) The DA shall transmit to IO the final version of the approved Technical Deliverable, without any open comments from reviewers, unless the IO PA-TRO agrees otherwise;
- b) The document review report shall be also submitted in IO IDM together with relevant review files, emails and communications;
- c) The DA TRO (or a delegated DA Staff Member) shall upload the approved version in IO IDM, in the relevant documentation exchange folder to obtain the formal approval by the Nuclear Operator;
- d) The IO-Approver of the document in IO IDM shall be set according to [3].
- e) The IO Approver of the Technical Deliverable (normally the IO PA TRO for PAs) shall designate a single IO Reviewer who shall confirm that all the relevant records of the IO-DA Joint Review in the DA DMS (as per the bullet point 9b above) have been imported in the IO IDM and all the relevant comments have been addressed; For PIC & PIA related documentation, the IO PA SRO shall be also included in this second review cycle in IO IDM. The IO PA SRO shall verify that all his/her comments provided during the first review cycle in the DA DMS have been correctly addressed.

**NOTE:** The PTs are defined in [22], which enables PTs to use the joint review cycle.

### *5.2.2 Submission of DA scheduling documentation*

A placeholder for each DA schedule with all the necessary settings is set in the relevant folders in the [DA - IO Documentation Exchange Area](#).

The DA Monthly Schedule folders contain only one placeholder.

DAs shall upload the documentation and data directly into the relevant DA Monthly Schedule placeholder. Only the document version uploaded and signed in IDM by DA is considered as the official one.

The DA Schedulers shall provide a XER file as a new version of the document and the relevant PDF format as an attachment to this version.

Each new DA schedule shall be uploaded as a major version, i.e. if the latest version was 1.0, the next one shall be 2.0; “minor version” feature shall be used if a modification is needed to a schedule already uploaded.

If the [DA - IO Documentation Exchange Area](#) is not used, the PT shall organise a specific folder for the storage of Scheduling documentation and data.

### *5.2.3 Submission of DA/ITER Member's diagrams and drawings*

Diagrams and drawings in pdf format shall be submitted as required in [11].

A record of the submission of drawings shall be done in the individual PA/TBMA/TA exchange folder in IDM.

If the [DA - IO Documentation Exchange Area](#) is bypassed the PT shall set a placeholder directly in the IO IDM Document Storage Area for the submission of this record.

This record shall contain a Bill of Drawings extracted from SMDD with the delivery and workflow status.

In exceptional cases drawings can be submitted directly in IDM. For example, when a drawing is a part of a document and is necessary for the understanding of this document. The formatting requirements are outlined in chapter **5.6 DA Documentation formatting requirements**.

However, submission of drawings as individual deliverables shall be avoided.

### *5.2.4 Submission of DA documents under Export Control*

The rules of the handling of information under Export Control are established in [12].

The DA/ITER Members' documents under Export Control shall be checked and registered by the EC-CP, who further should authorise the distribution of these documents to the appropriate stakeholders.

Within the process described by this working instruction, when DA Export Controlled documents are checked and authorised for distribution by the EC-CP, they should be submitted in the relevant exchange folder and processed as described further in this working instruction and required by [3].

An exception is done to the DA/ITER Members' Export Controlled documents supplied during final design reviews, i.e.: the DA/ITER Members' Export Controlled documentation can be delivered directly to the relevant exchange folder without prior check and authorization for distribution by the EC-CP. In this case, the EC-CP shall be notified on the delivery of each document.

Other arrangements are possible subject to the authorisation of the EC-CP (Officer).

### *5.2.5 Submission of Declarations of Intellectual Property*

The DA Declarations of Intellectual Property shall be submitted, in principle, by the DA TRO. In addition to the DA TROs, and if such a decision has been formally notified to IO by the competent authorities of the DA, DA Declarations of Intellectual Property can also be submitted by the Intellectual Property Contact Persons (IPCP) of the DA.

The DA Declarations of Intellectual Property can be submitted in the specific folder organised in the relevant Exchange Folder under [DA - IO Documentation Exchange Area](#).

In case of submission by the DA IPCP, the relevant DA Intellectual Property Contact Person should request that the necessary settings in IDM be made to that effect. The IO Document Control Section will take the necessary steps internally, including seek confirmation from IO LGA, and will notify that the process can start.

If the [DA - IO Documentation Exchange Area](#) is bypassed in the scope of work of a Project Team, the Project Team shall set the necessary access for the relevant DA IPCP in the dedicated "05a. Background IP Register" folder as shown in **Figure 2 Document Storage Folder Structure**.

### *5.2.6 Submission of Non-conformity Reports*

The Non-conformity reports shall be submitted according to [4] directly in the [NCR Database](#) (<https://user.iter.org/?action=IODashboard&uid=4GES4A>).

NCR procedure provides flexibility to allow equivalent or better NCR mechanism established by the PERFORMERS and accepted by the IO. This alternative (for not using NCR database) is not applicable for DAs in the scope of PAs implementation.

## **5.3 IO outgoing documentation transmission to DA/ITER Member**

The IO documentation identified as needed to perform an agreed work by a DA/ITER Member shall be transmitted by IO to the relevant DA/ITER Member through [DA - IO Documentation Exchange Area](#), using the Outgoing Documents folder as shown in **Figure 1 Document Exchange Folder Structure**. The documentation to be shared with DAs/ITER Members shall be made available in this folder mainly through shortcuts. Unless the documentation is provided "for information only", it shall undergo an internal IO review and approval process before it is transferred to the DAs/ITER Members.

Such IO documentation shall be communicated using one of the folders under Outgoing Documents folder:

- ☐ For implementation (applicable documents)
- ☐ For information (documents for information only)



**Note:** All IO documents shortcut into the Outgoing Documents folders related to PA Documentation exchange folders under DA documentation exchange folder will be tagged automatically as related to the relevant PA.

This section does not apply to the work of the Project Teams who bypass the [DA - IO Documentation Exchange Area](#).

## 5.4 Access rights

Access rights shown in **Table 1 Document Exchange Folder Access Rights** are applied only to [DA - IO Documentation Exchange Area](#).

Folder	RO	View access	Add access
DA-IO Documentation Exchange Area	DOC	AD: ITER, DA ADs	
XXDA	DOC	AD: ITER, Concerned DA AD	
XXDA Monthly Schedule Report	Building & Construction Project Control Section Leader	DA Planning and Scheduling Officers IO Project controls	Relevant DA Lead Scheduler and TRO
PA XXX/TBMA XXX/TA XXX	Concerned IO TRO	Concerned DA TRO; DA members nominated by DA Heads*	
<b>Incoming documentation</b>	Concerned IO TRO	DA members nominated by DA Heads*	Concerned DA TRO
Irregularly issued documentation	Concerned IO TRO	DA members nominated by DA Heads*	Concerned DA TRO
Planned documentation	Concerned IO TRO	DA members nominated by DA Heads*	Concerned DA TRO
Regularly issued documentation	Concerned IO TRO	DA members nominated by DA Heads*	Concerned DA TRO
<b>Outgoing documentation</b>	Concerned IO TRO	Concerned DA TRO, DA members nominated by DA Heads*	
For Implementation	Concerned IO TRO	Concerned DA TRO, DA members nominated by DA Heads*	
For Information	Concerned IO TRO	Concerned DA TRO, DA members nominated by DA Heads*	

**Table 1 Document Exchange Folder Access Rights**

\*A specific access group shall be established by IO for each DA. This group shall contain the relevant DA members who need access to all the relevant DA Exchange folders, nominated by the DA Heads. The DA shall provide IO with the updates of the group membership on a regular basis together with the evidence that these updates are agreed by the DA Head. The IO shall update the access group in IDM accordingly.



This section does not apply to the work of the Project Teams who bypass the [DA - IO Documentation Exchange Area](#).

## 5.5 DA documentation storage and processing

### 5.5.1 DA/ITER Members' documentation storage and processing using the [DA - IO Documentation Exchange Area](#)

As a general rule, the DA/ITER Members' documentation submitted in the framework of PA/TBMA/TA shall be transferred to the relevant documentation **IO IDM Document Storage Area** using IDM shortcuts. Typically, this IO IDM Document Storage Area is organised under [Plant Breakdown Structure](#).

The instructions below are fully applicable to the documentation in the framework of PAs, and can be used fully or partly for the storage of TBMA. The documentation related to TAs should be stored according to [13].

IO TRO shall ensure that all the documents uploaded to [DA - IO Documentation Exchange Area](#) are shortcut in the relevant IO IDM Document Storage Area.

Documentation which is sent “for information only” or documentation requiring further review and approval shall be defined specifically for each PA/TA/TBMA. Applicable procedures and instructions shall apply unless otherwise specified, such as [3], [14], etc.

If a document is sent **for information only**, the PA TRO/TBMA RO/TARO shall shortcut it without changing the metadata.

A document requiring further review and approval shall be shortcut and the metadata shall be updated by adding relevant IO reviewers and approver.

Roles and responsibilities related to DA/ITER Members' documentation review and approval are outlined in [3].

The documents/ data uploaded to DA Monthly Schedule folder shall be approved by Building & Construction Project Control Section Leader.

If necessary, the shortcuts should be placed in the relevant IO IDM Document Storage Areas, as needed.

Further processing of data is ensured by an automated process.

### 5.5.2 DA Documentation storage and processing bypassing the [DA - IO Documentation Exchange Area](#)

When the [DA - IO Documentation Exchange Area](#) is bypassed, the DA documentation shall be submitted directly into IO IDM Document Storage Area, as described in chapter 6.1.3.

The instructions below are fully applicable to the documentation in the framework of PAs. The documentation related to TAs shall be stored according to [13].

DOC shall periodically transfer the DA documentation in [DA - IO Documentation Exchange Area](#) and ensure the consistency with this work instruction.

Documentation which is to be sent “for information only” or documentation requiring further review and approval shall be defined specifically for each PA/TA. Applicable procedures and instructions shall apply unless otherwise specified, such as [14], [23], etc.

Documents submitted for information do not need any further processing.

Documents directly submitted to the IO IDM Document Storage Area shall follow the review/approval cycle defined in [23].

Roles and responsibilities related to DA documentation review and approval are outlined in [23].

The documents/data uploaded to DA Monthly Schedule folder shall be approved by Head of Component Delivery Project Control.

If necessary, the shortcuts shall be placed in the relevant IO IDM Document Storage Areas, as needed.

Further processing of data is ensured by an automated process.

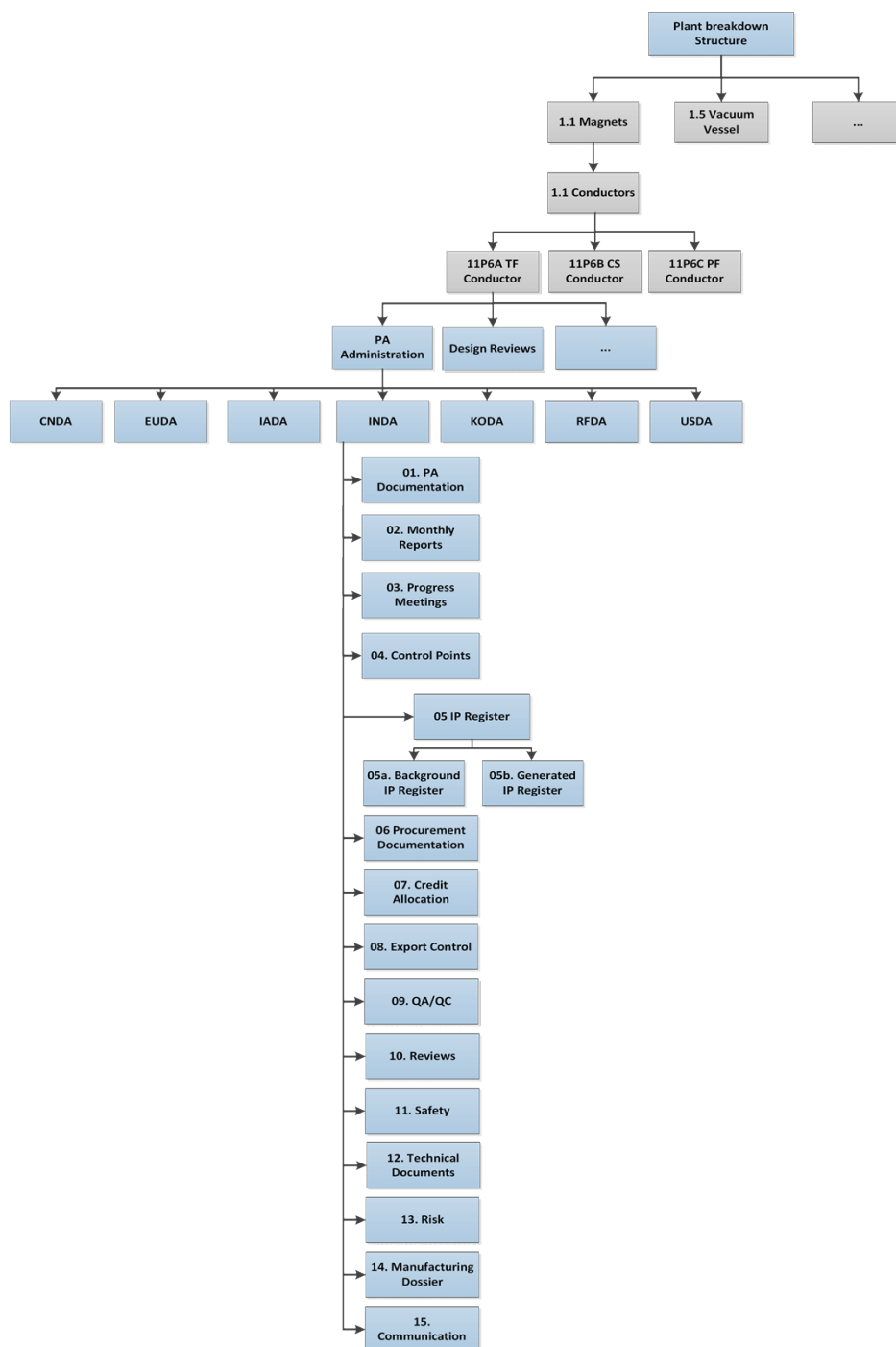
If a PT does not use the [DA - IO Documentation Exchange Area](#), the scheduling documentation and data shall be validated as described in the applicable sign-off authority documents [23].

### *5.5.3 Folder structure for PA Document Storage Area*

The mandatory folder structure is shown in **Figure 2 Document Storage Folder Structure**. This folder structure cannot be altered, although an IO TRO can add any necessary subfolders under the lowest-level mandatory folders. E.g.: a number of subfolders can be set under **02. Monthly Reports**, or under **05a. Background IP Register**<sup>2</sup>.

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<sup>2</sup> The mandatory folder structure starts with the folder PA Administration and all below. The folders shown above the PA administration folder are from the magnets PBS and are included here as an example only.



**Figure 2 Document Storage Folder Structure**

The folder structure can be set-up manually by an IO TRO. Alternatively, a request for automatic set-up can be submitted by an IO TRO to IO DOC Section.

#### 5.5.4 Folder descriptions

**01. PA Documentation:** This folder includes shortcuts to PA documents: Main, Annexes, Attachments and Appendices including the final signed version of the Main and any applicable Amendments that are stored in a centralised folder, under the responsibility of PCO in line with [15].

**02. Monthly Reports:** This folder includes the Monthly Reports that are called for as a standard provision in each PA.

**03. Progress Meetings:** This folder includes all notes, memoranda, agendas, records of decisions or minutes of progress meetings held in the frame of the execution of the specific PA, as far as possible stored in a single PDF file.

**04. Control Points:** This folder includes all documents that constitute part of deliverables as set out in the PA.

**05. IP Register:**

Document types to be used in this folder are: [\[IP\]-Background IP Declaration](#) and [\[IP\]-Generated IP Declaration](#).

Documents incorporating confidential and/or proprietary information shall not be stored in this folder, but shall follow [1].

This folder is divided into 2 subfolders:

☐ Background IP Register:

This subfolder includes declarations of Background Intellectual Property by potential suppliers to the DA prior to contract award.

☐ Generated IP Register:

This subfolder includes declarations of Generated Intellectual Property: *IP generated or acquired with full ownership by a Member, acting through a DA or Entity, or by the IO or jointly pursuant to and in the course of the performance of the ITER Agreement* (Annex on Information and IP of the ITER Agreement).

**06. Procurement Documentation:** This folder includes Procurement Descriptions and their revisions, Call for Tender documents and contractual documents related to DA suppliers.

**07. Credit Allocation:** This folder includes Credit Requests from the DAs and Credit Notes by the FBD.

**08. Export Control:** This folder will list export control licences and indicate where they are filed together with an indication of how they are being dealt with. The nature of export control issues mean that they will be dealt with outside of IDM by the ECMB Secretary.

**09. QA/QC:** This folder includes Quality Descriptions, Quality Plans, Manufacturing and Inspection Plans, Deviation Requests, Release Notes, Welding Documentation, Qualification Documentation, and information related to Audits. When a Deviation Request leads to a PCR, a link to the related PCR Folder shall be provided.

**10. Reviews:** This folder includes all documents related to Design Reviews, such as Agendas, input data and documentation, Minutes, Chits, etc., as well as other Reviews, such as Readiness Reviews, Status Reviews, Product Quality Reviews, etc. Regarding the Design Review technical documents, a shortcut to the related folder may be used.

**11. Safety:** This folder contains safety-related documents, including documents related to Safety Audits, French Safety Authority and NB/ANB/Third Party.

**12. Technical Documents:** This folder includes all related technical documents, except those in the **QA/QC**, **Control Points** or **Reviews** folders.

**13. Risk and Opportunities:** This folder shall contain the shortcuts to the Risk Management Plan(s) and to the discretion of the IO PA TRO, this folder can contain the hyperlinks to the Risk and Opportunities data registered in the dedicated application.

**14. Manufacturing Dossier:** This folder includes the collective acceptance documentation as specified in [16] comprehensive file is approved by the IO as part of the Receiving Inspection and its requirements are set out in the PA.

**15. Communication:** This folder includes all formal correspondence between DA and IO that cannot be categorized in one of the above folders and cannot be registered in ITER Correspondence Management System.

In case emails contain relevant information related to the submitted document, the email needs to be stored in IDM as well. This responsibility is independent of whether the documentation is generated by the IO or the DA, i.e. independent of who has produced, authored or is responsible for a certain document.

### 5.5.5 Security settings

#### 5.5.3a Access rights

The access rights for folders regarding PA documentation shall be set by default in line with **Table 2 Document Storage Folder Access Rights**. As a general rule, default access rights for the **PA Administration** folder are inherited from the parent folder.

**NOTE:** Groups denoted with an asterisk (\*) only apply to Project Teams bypassing the [DA - IO Documentation Exchange Area](#).

<i>Folder</i>	<i>Access Type and Access Groups</i>	
<b>PA Administration</b>	<b>View Access</b>	<b>Add Access</b>
01. PA documentation	AD: ITER LG: DA PA Team	LG: IO TRO AD: PA-IO-PARO AD: PA-IO-PSRO
02. Monthly Reports	AD: ITER LG: DA PA Team	LG: IO TRO LG: DA TRO*
03. Progress Meetings	AD: ITER LG: DA PA Team	LG: IO TRO LG: DA TRO*
04. Control Points	AD: ITER LG: DA PA Team	LG: IO TRO LG: DA TRO*
05. IP Register	AD: ITER LG: DA PA Team	LG: IO TRO AD: PA-IO-PARO
05a. Background IP Register (subfolder in 05. IP Register)	LG: DA PA Team LG: SL, DH GG: Intellectual Property Administration AD: OBS-Legal Affairs (LGA)	LG: IO TRO AD: PA-IO-PARO LG: DA IPCP* LG: DA TRO*
05b. Generated IP Register (subfolder in 05. IP Register)	AD: ITER LG: DA PA Team	LG: IO TRO AD: PA-IO-PARO LG: DA TRO* LG: IPCP*
06. Procurement Documentation	LG: IO PA Team LG: DA PA Team LG: SL, DH AD: AD: OBS - Quality Management Division (QMD) AD: OBS - Environmental Prot - Nuclear Safety Division (EPNS) AD: OBS - Security and Health and Safety Division (SHS)	LG: IO TRO AD: PA-IO-PARO
07. Credit Allocation	LG: IO PA Team LG: DA PA Team LG: SL, DH AD: OBS - Finance and Budget Division (FBD)	LG: IO TRO AD: PA-IO-PARO LG: DA TRO*
08. Export Control	LG: DA PA Team LG: SL, DH GG: PA Management - Secretary of Export Control Management Board (ECMB)	LG: IO TRO AD: PA-IO-PARO

09. QA / QC	AD: ITER LG: DA PA Team	LG: IO TRO AD: PA-IO-QARO LG: DA TRO*
10. Reviews	AD: ITER LG: DA PA Team	LG: IO TRO LG: DA TRO*
11. Safety	LG: IO PA Team LG: DA PA Team LG: SL, DH AD: OBS - Environmental Prot - Nuclear Safety Division (EPNS) AD: OBS - Security and Health and Safety Division (SHS)	LG: IO TRO AD: PA-IO-SRO
12. Technical Documents	AD: ITER LG: DA PA Team	LG: IO TRO LG: DA TRO*
13. Risk	AD: ITER LG: DA PA Team	LG: IO TRO LG: DA TRO*
14. Manufacturing Dossier	AD: ITER LG: DA PA Team	LG: IO TRO LG: DA TRO*
15. Communication	AD: ITER LG: DA PA Team	LG: IO TRO LG: DA TRO*

Table 2. Document Storage Folder Access Rights

**5.5.3b Access groups**

Definitions for the various user groups are given in **Table 3 Access Groups**.

<b>Group Name</b>	<b>Description</b>
IO PA Project Team (LG: IO PA PT)	LG: IO TRO, AD: PA-IO-PARO, AD: PA-IO-QARO, AD: PA-IO-SRO, AD: PA-IO-PSRO, AD: PA-IO-DORO, AD: PA-IO-DIRO, IO ARO, IO ROMO, IO IRO(s), IO I&C RO, corresponding line management up to IO DG
DA PA Project Team (LG: DA PA PT)	DA PARO, DA TRO, DA QARO, DA PSRO, DA SRO/NSO, DA IP Contact Person
AD: ITER	Only-staff and external collaborators working on site at Cadarache

Table 3 Access groups

**NOTE: the IO TRO may restrict or broaden the access rights for folders 1, 2, 3, 4, 9, 10, 12, 13, 14 and 15.**

For example, if an IO TRO decides that folder 2. Monthly Reports should be visible to Only-staff and a group of selected EXTs, he/she should remove AD: ITER from the list of access groups, add AD: Only-Staff and create a local group with relevant EXTs.

**5.5.3c Detailed group specifications**

**IO PA Project Team Local Group is defined as follows:**

- The functions IO SL, IO DH, IO DIRH, IO DIPH, IO DG, IO DORO, IO DIRO, IO ROMO, IO IRO(s), and IO I&C RO shall be added as individuals, by selecting the name of each person responsible for the relevant PA in IO;
- The Local Group (LG: IO TRO) and the Active Directory Groups (AD: PA-IO-PARO, AD: PA-IO-QARO, AD: PA-IO-SRO, AD: PA-IO-PSRO AD: PA-IO-DORO, AD: PA-IO-DIRO) shall be added as groups.

IO PA TRO/TBMA RO/TARO shall ensure the creation of Local Groups manually.

**DA PA Project Team Local Group is defined as follows:**

The functions DA PARO, DA TRO, DA QARO, DA PSRO, DA SRO/NSO, and DA IP Contact Person should be added as individuals, by selecting the name of each person responsible for the relevant PA in DA.

### **5.5.3d Access rights deviations**

Deviations are to be agreed between the IO TRO and QARO in consultation with the Document Control Section Leader and corresponding process owner.

Any modification to the security settings as stated in Tables 1 and 2 is considered as a deviation.

If such a modification takes place, the IO TRO (or a person designated on his/her behalf) shall make an Access Rights Deviation Declaration following the instructions:

- 1) State all the deviations (specify the access type for each group, i.e. View and/or Add Access).
- 2) Send the declaration to the process owner (copy QARO and Document Control Section Leader).
- 3) If the process owner does not raise any objection within one week, the deviations are considered approved and can be implemented.

The access rights deviation requests shall be maintained by the corresponding process owner in an appropriate register.

IO DOC may provide support to this activity, if requested by the process owner.

## **5.6 DA Documentation formatting requirements**

These requirements should always be applied to the documents uploaded to IDM for official review.

### ***5.6.1 Document file format***

#### **Requirement 1 - PDF format**

Documents shall be in electronic form and uploaded in PDF format. It is not allowed to submit the documents in PDF Portfolio format. If a set of document has to be sent as a single deliverable, these documents shall be combined in a flattened PDF file.

Note: Due to the specificity of data, some exceptions are acceptable.

For example, Structural Integrity Reports should be delivered in .doc or .docx only.

Also, an exception was agreed to submit XER file as primary upload and PDF as an attachment for the submission of DA monthly schedules.

#### ***Explanation***

*PDF is an ISO standard non-proprietary format which is an accepted means of document transmission and reproduction.*

#### **Requirement 2 – PDF version**

The format version of the PDF file should be 1.4 or above.

#### ***Explanation***

*PDF version 1.4 is the lowest version compatible with PDF versions used by IO.*

#### **Requirement 3 – Providing source file**

Source file shall also be provided. It shall be added as an attachment to the primary upload in IDM.

Note: DA TRO is responsible for checking that there are no discrepancies between master PDF files and the sources file(s).

**Explanation**

*The source file for generating a PDF file shall also be provided (e.g. word document, excel file, etc.) as an attachment in IDM. A single native file shall be added as an attachment directly; a package of native files shall be added as a single .zip file. The master PDF file will always be considered as the official document.*

**Requirement 4 - Source file format**

Source file formats will be one of those acceptable by IO. Authorized source files are defined at document type level.

Note: If a source document is a hard-copy, it has to be submitted as a scanned PDF rendition.

**Explanation**

*The source file formats should be those recommended by DOC in cooperation with IT for each specific type of document.*

*If a native file is not accessible, for example when a document should contain hand-written signatures and only a scanned version can be submitted as an official version, no attachment is required to provide native files.*

**Requirement 5 – Non-paper materials**

Special processed records such as radiographic film, electronic media (such as magnetic media, optical media), archival samples, and photographs shall be handled and stored to preclude damage. At a minimum, manufacturer information for proper handling and storage should be used in preparing proper controls for these types of records. When transmitted to IO for final storage, records in special formats should be converted into high-quality digitised documents to allow long-term storage, retrieval and accessibility.

**5.6.2 Document size, resolution and other physical properties****Requirement 6 – Documents size**

Documents should use ISO sizes. The standard and preferred size for documents is A4 (210x297mm).

**Explanation**

*This size is the most convenient for daily office use.*

**Requirement 7 – Drawings size**

The drawings that are out of the scope of [11] can be sent as documents and should use ISO sizes

**Explanation**

*The largest size for drawings is A0 (841x1189mm), but A1 drawings should be used as preference, and the smallest A4 (210x297mm).*

**Requirement 8 – File size**

The maximum recommended file size should not exceed 15 MB. However, larger file can be uploaded, if needed.

**Explanation**

*15 MB size is normally required for a manageable file uploading and storage within IDM*



### 5.6.3 Document appearance

#### Requirement 9 – Originator’s logo

Logo of originator should be on the first page.

##### **Explanation**

*This is required for the purpose of proving that a document comes from this specific originator. If a document comes from a DA contractor, DA’s logo could be present on the first page. However, in all cases the logo of the company/organization which the author belongs to should be present.*

#### Requirement 10 – Author, Reviewers and Approver information

The following information shall be included in the cover page:

- Author’s name.
- Reviewers’ names.
- Approver's name.
- DA reference and version number

##### **Explanation**

*Author and reviewers’ names are necessary for document identification and traceability. The approver is the person with final responsibility for the document. In case of any documentation non-conformance or a legal issue this person will be addressed in first instance.*

#### Requirement 11 – Status information

Approval decisions shall be on the first page.

##### **Explanation**

*This will allow efficient identification of the document status.*

#### Requirement 12 – Document identification and version information

UID and version number shall be on every page.

##### **Explanation**

*This proves to which documents pages or parts of documents belong. Even if a document is provided as a unit, later in the work process, some parts may be used separately (especially, when printed), so these identification marks will preserve document integrity.*

#### Requirement 13 – Document description

Document title, brief description and document type shall also be reported on the cover page.

##### **Explanation**

*This requirement ensures that it is clear to the reader what content he/she is about to read.*

#### Requirement 14 – Page numbering

Each page numbered with unique values in sequential order.

##### **Explanation**

*This is required in order to avoid confusion in document reading (especially, in hard copy).*

#### Requirement 15 – Metadata information

All the data defined in Requirements 10 to 13 shall be recorded in the metadata where the document will be uploaded or associated metadata if the document is transferred via media other than IDM.

**Explanation**

*A set of minimal metadata information associated to the document or data object is necessary for efficient storage.*

**5.6.4 Document encryption****Requirement 16 – Encryption & password protection**

No encryption, password or protection should be present on the documents.

**Explanation**

*If encryption is present, further work with the document (e.g. PDF cover page addition by IDM) is difficult or impossible. Moreover, for a long-term storage the encryption or password protection of documents might become a usability issue.*

**Requirement 17 – Digital signatures**

Uploaded documents shall not contain digital signatures.

**Explanation**

*Digital signatures are not needed as the validation in IDM is sufficient to prove the identity of the stakeholders performing actions on each document.*

**Requirement 18 – Printing locking**

Locking of printing / saving functionality is not allowed for the documents to be exchanged.

**Explanation**

*IO staff shall have full access to all the basic functionalities of the document.*

**5.6.5 Drawings, diagrams and photos****Requirement 19 – PDF layers**

Drawings: The PDF file uploaded to IDM shall not contain layers.

**Explanation**

*Documents with layers are too long to display, especially if a document is composed of many drawings.*

**Requirement 20 – PDF file size**

The PDF file must respect the maximum file size specified in Requirement 8.

**Explanation**

*If the file size of parts of the document is too big, the size of those parts must be reduced to create only one PDF. The native files of those parts shall be provided separately in addition to the PDF.*

**Requirement 21 – Drawing requirements**

All drawings should comply with [21].

**Explanation**

*The ITER CAD Manual describes the necessary DO organization and the best practices to be followed to enable an efficient and effective use of the available CAD resources to permit concurrent and collaborative design between all contributors to the IO.*

**Requirement 22 – Pictures/images resolution**

Pictures placed within any document should be of acceptable minimum resolution for print

production, i.e. at least 300 dpi for halftones (pictures only) and 900 dpi for Monochrome (1-bit) images (line-art).
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**Explanation**

*To meet IO quality standards for publication, it is important to submit pictures that conform to the appropriate resolution, size, colour mode, and file format.*

## 5.6.6 Language and units

**Requirement 23 – Required language**

As a general rule, within the project, documents shall be written in ENGLISH.
---

**Explanation**

*English is mandatory, unless the host country requires French documents for ITER licensing or similar purposes. However, these translations will be managed by the IO. It is for the document originator to ensure the delivery of the document in (a) required language(s). If a translation is required, the originator must ensure that it is compliant, readable, clear and unambiguous.*

**Requirement 24 – System units**

All units and dimensions must be in the metric system unless otherwise specified.
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**Explanation**

*This is the unit system used by IO*

## 5.6.7 Document integrity, reliability, validity

**Requirement 25 – Documents Integrity**

Documents shall not be split.
-------------------------------

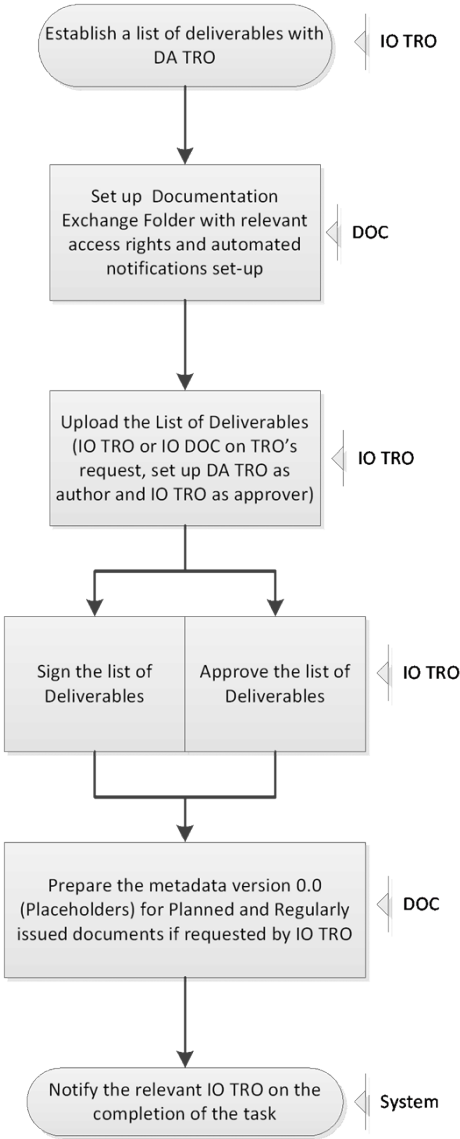
**Explanation**

*Document must be sent as a whole unit: one PDF for one document. The document originator must ensure that there are no pages missing in the document, or pages are not transferred separately. If a signed document is not sent as one complete document it will not be recognised valid by IO.*

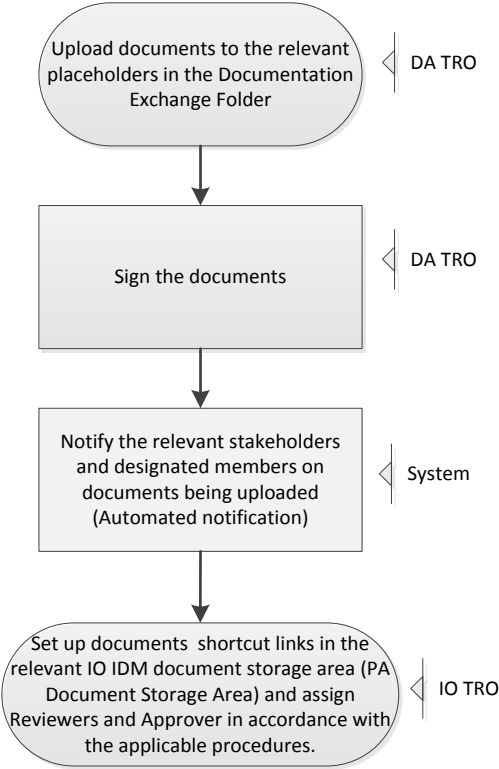
## 6 Workflow

### 6.1 Flow chart

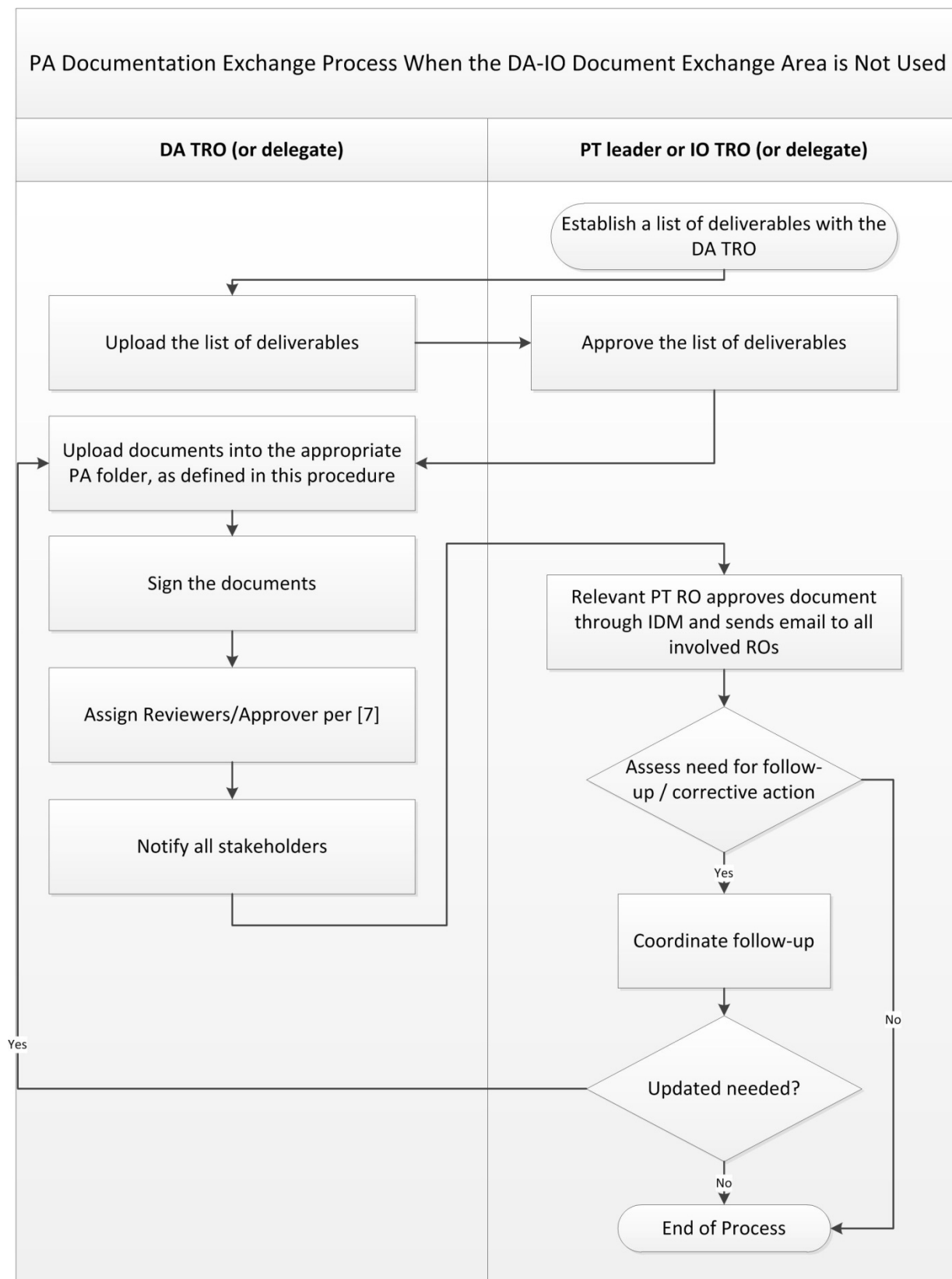
#### 6.1.1 Documentation exchange preparation



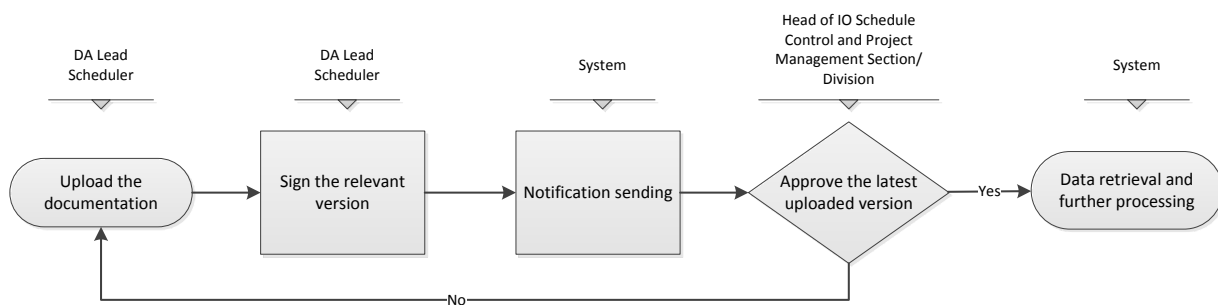
6.1.2 Document transfer by DA/ITER Member to IO



### 6.1.3 Documentation exchange preparation and transfer when bypassing the DA - IO Documentation Exchange Area



### 6.1.4 Scheduling documentation exchange process



## 6.2 Description

### 6.2.1 Documentation exchange preparation

#### Requirement 1 - List of deliverables

As a general rule, the initial list of deliverables should be specified in the relevant contractual documentation. Typically, for the PAs, the initial List of Deliverables for each PA at the correspondent design maturity is agreed between the IO and the DA, as part of the PA Annex B. All technical and management documentation deliverables are listed in Appendix 1 of the PA Annex B as defined in [9]. Thereafter as the design / manufacturing of the items advance, IO PA TRO/TBMA RO/TARO and the relevant DA/ITER Member RO shall agree and establish a more detailed list of planned document deliverables. This list shall include management and technical documentation. It shall be as complete as possible at first issue in IDM and should be amended, if required, by issuing a new agreed version. IO PA TRO/TBMA RO/TARO and the DA RO shall fill the relevant fields of this list; further DA/ITER Member RO shall submit the list of deliverables into the folder “Incoming Documentation” and sign it.

If the [DA - IO Documentation Exchange Area](#) is bypassed in the scope of work of a Project Team, the List of Deliverables can be submitted directly into the relevant IO IDM Document Storage Area.

IO PA TRO/TBMA RO/TARO shall approve the list of deliverables. The document management related information required for preparing this list could be found in [17]. IO PA TRO/TBMA RO/TARO should use this document and associated template to implement the List of Deliverables in IDM.

The list of expected deliverables will be used to set-up document placeholders in IDM for planning purposes.

When the placeholders are set, the IO PA TRO/TA RO/TBMA RO shall notify the DA PA TRO/TARO/TBMA RO that he/she can start the documentation submission.

For more instructions and support to fill in the list of expected deliverables, DOC Section should be contacted.

#### Explanation

*In order to monitor and keep the flow of information under control, it is necessary to have a plan of expected deliverables.*

*The list of deliverables is needed only for planned, single issued documents and may occasionally contain regularly issued documents (monthly reports, etc.). The expected delivery date should be an estimated date when the first official version of a document is ready to be uploaded and signed by DA/ITER Member in IDM, in order to get the document approved by the expected due date.*

### 6.2.2 Document transfer by DA to IO

Requirement 2 – Documentation uploading
<p>DAs/ITER Members shall upload the documentation directly into the relevant folder of the Documentation Exchange Area Only the document version uploaded and signed in IDM by DA/ITER Member is considered as the official one. The selectable values in the “Document Type” metadata field will be limited to those allowed by the IO for incoming documents.</p> <p>The following are the applicable Document category/type:</p> <p><a href="#">F - DA deliverables</a> (category)</p> <p><a href="#">[IP]-Background IP Declaration</a> and <a href="#">[IP]-Generated IP Declaration</a> (document types), <a href="#">[PK]-Monthly Progress Reports from DAs</a> (document type), <a href="#">[HS]-Delivery Report</a> (document type), <a href="#">[IN]-DA Manufacturing Inspection Plan</a> (document type).</p> <p>This requirement ensures the evidence of delivery and the control of responsibilities.</p> <p>If the <a href="#">DA - IO Documentation Exchange Area</a> is bypassed in the scope of work of a Project Team, the documents can be uploaded directly into the relevant IO IDM Document Storage Area, however the choice of the document types shall be done following the specific Project Team’s agreements.</p>

#### **Explanation**

*Uploading documentation in IO-DA Documentation Exchange Area with specific document type will allow full control over the deliverables and minimize the risk of errors.*

*There shall be no ambiguity on the transmitting and receiving parties in the exchange process and on which version of a document is valid and applicable (in IO the latest approved version of a document in IDM is the applicable version).*

Requirement 3 – Documentation approval at the corresponding level
<p>DAs/ITER Members shall transmit to IO only documents approved at the level defined by the corresponding quality plan and other applicable procedures and requirements specified for the relevant documentation. In order to ensure compliance of documents, DAs/ITER Members shall review and approve all documents internally. Necessary evidence shall be provided (e.g. signatures, names of authors, reviewers, approvers and/or any other proof).</p> <p>The documents are considered by IO as approved by DA/ITER Member and officially submitted for the review in IO once they have “signed” status in IO IDM.</p> <p>In order to ensure this requirement, the author/signatory of the document in IO IDM shall always be a DA/ITER Member.</p> <p>For Project Teams, the review and approval process shall be done jointly as per [23].</p>

#### **Explanation**

*IO needs to verify that the information has been validated and cleared at the relevant level.*

*To ensure the objective of Project Teams declared in [22], a joint review cycle is allowed for Project Teams through the specific PT’s sign-off authority documents.*

Requirement 4 – Documentation in different media formats
<p>Only if authorized by IO DOC Section Leader and in exceptional circumstances may the final document deliverables be provided in different media formats.</p>

#### **Explanation**

*This shall be done only under agreement with IO, and in accordance with [8].*

Requirement 5 – Notifications
<p>IO PA TROs/TBMA ROs/TAROs shall ensure that the relevant stakeholders receive the</p>



information on actions concerning documents in due time. Different notification features are available in IDM.

IO DOC shall provide necessary training and support for this on IO TRO's request.

#### **Explanation**

*Timely notification is vital for an efficient documentation exchange. The IO PA TRO/TBMA RO/TARO will be included in the group of stakeholders to be notified, by default. Additional members of the relevant team to be notified in order to ensure continuity of the processes can be set on IO PA TRO's/TBMA RO's/TARO's request.*

### **Requirement 6 – DA's contractors and subcontractors documentation**

DA/ITER Member's contractors may not transmit documents directly to the IO. They will have to transmit their documents to the relevant DA/ITER Member that will internally approve the documents to certify that the DA/ITER Member's contractors' documentation complies with IO requirements and deliver them to the IO.\*

#### **Explanation**

*DAs/ITER Members must ensure that their contractors' and subcontractors' documentation complies with IO requirements.*

\*Provisions based on specific sign-off authority documents like the ones for Project Teams [23] could be applicable, in which case these provisions will be prevailing, if the requirement of DA validation is fulfilled (e.g.: a DA representative is always part of the review in IO IDM if the specific sign-off authority document authorises external contractors to upload the deliverables).

## **7 Responsibilities**

### **7.1 IO DOC Section Leader**

IO DOC Section Leader is the person with final responsibility for the implementation and functioning of this working instruction within IO.

### **7.2 IO Document Control Section (DOC)**

Document Control Section is responsible for:

- ☐ Implementing this working instruction;
- ☐ Setting-up the folder structure, access rights and notifications in [DA - IO Documentation Exchange Area](#) according to PA TRO's/TBMA RO's/TARO's instructions;
- ☐ Verifying that the requirements for the process for exchanging and storing the documentation are implemented;
- ☐ Reporting to the IO PA TRO/TBMA RO/TARO all the identified non-conformities or deviations.
- ☐ Ensuring the effective implementation of the procedure through training activity provided to concerned IO and DA staff members.

### **7.3 DA/ITER Members' Documentation Control Offices**

DA/ITER Members' Documentation Control Offices are responsible for:

- ☐ Controlling the appropriate execution of this procedure in their DAs, as defined for IO Document Control Section;
- ☐ Assisting DA/ITER Members' ROs with documentation appropriate processing (uploading, formatting, etc.), if requested by the DA/ITER Members' ROs;
- ☐ Reporting on identified non-conformances/deviations to the relevant DA/ITER Member's RO.

## 7.4 IO PARO (equivalent for TBMA/TAs)

IO PARO (equivalent for TBMA/TAs) is responsible for:

- ☐ Following-up the timely submission of major management documentation, in accordance with the requirements of the PA/TBMA/TA and the relevant documentation.
- ☐ Supporting Document Control Section in the implementation of this procedure

## 7.5 IO PA TRO/TBMA RO/TARO

IO PA TRO/TBMA RO/TARO is responsible for:

- ☐ Ensuring the submission of the List of Deliverables;
- ☐ Setting-up the storage folder tree structure;
- ☐ Setting-up the access rights in the IO IDM Document Storage Area folders;
- ☐ Ensuring the timely transfer of documentation to the relevant IO IDM Document Storage Area;
- ☐ Shortcutting DA/ITER Member's document deliverables;
- ☐ Setting/checking reviewers and approver on PA related documents as specified in [3], [23];
- ☐ Collecting and considering comments and following-up the issue of new versions of documentation, if required;
- ☐ Notifying the relevant stakeholders on the changes in documentation or process requirements.

In case of a detected non-conformance, IO PA TRO/TBMA RO/TARO shall notify the relevant stakeholders, or, if possible, take corrective actions, or issue a deviation request, as required in [5].

IO PA TRO/TBMA RO/TARO may delegate the functions listed above to a designated Team member or to an available document controller, though final responsibility stays with the PA TRO/TBMA RO/TARO.

## 7.6 DA PA TRO/TBMA RO/TARO

DA PA TRO/TBMA RO/TARO is responsible for:

- ☐ Ensuring the submission of DA documentation or DA contractors/subcontractors' documentation and its compliance with the requirements stated in this procedure and specific requirements related to the activity/process (e.g.: design review, procurement, etc.);
- ☐ Ensuring timely uploading of documentation to the relevant folder in [DA - IO Documentation Exchange Area](#) or directly in the IO IDM Document Storage Area, when the exchange area is bypassed in the scope of work of a Project Team
- ☐ Setting reviewers and approvers in the [DA - IO Documentation Exchange Area](#) in the scope of work of a Project Team;
- ☐ Taking corrective actions or providing the justification to the relevant IO TRO in case of an identified non-conformance.

DA PA TRO/TBMA RO/TARO may delegate the functions listed above to a designated person within the DA, though final responsibility stays with the DA PA TRO/TBMA RO/TARO.

## 7.7 DA Lead Schedulers

DA Lead Schedulers are responsible for:

- Ensuring timely upload of scheduling documentation and data
- Signing the scheduling documentation and data in IDM, as specified in this document.

DA Lead Schedulers may delegate their functions to a DA team member or a document controller. The final responsibility for the compliance of the process stays with the relevant DA Lead Scheduler.

## 7.8 Head of IO Component Delivery Project Control Section/Division

Head of IO Component Delivery Project Control Section/Division is responsible for:

- Acknowledging the receipt of scheduling documentation and data by approving them in IDM.

The approval can be delegated only through the re-authorisation process, as described in [3].

## 8 Link with other processes

### 8.1 Interactions with Procurement process

DA documentation delivered according to this working instruction can be an output of Procurement Process initiated through [18] or [19] or [13].

### 8.2 Interactions with Configuration Management process

DA documentation delivered according to this working instruction can be an input to ITER baseline documentation identified in the framework of Configuration management process and identified through [20].

## 9 Outputs (Records, Deliverables, Implementation plans....)

The execution of this document requires the following outputs:

Type of output	Format (Template, form, checklist)	Location of output	Document type	Instructions for identification of the output	Responsible for managing the output	Retention period
DA Documentation Exchange folders	As required in 5.1. Documentation on exchange folder structure	IDM, <a href="https://user.iter.org/?uid=3XMJKA">DA - IO Documentation Exchange Area</a> ( <a href="https://user.iter.org/?uid=3XMJKA">https://user.iter.org/?uid=3XMJKA</a> )	<a href="https://user.iter.org/?uid=46MD8X">F - DA deliverables</a> ( <a href="https://user.iter.org/?uid=46MD8X">https://user.iter.org/?uid=46MD8X</a> ), [IP]-Background IP Declaration, [IP]-Generated IP Declaration (document types), [PK]-Monthly Progress	As required in 5.1. Documentation on exchange folder structure	DOC Section Leader	Full life of project

			Reports from DAs (document type), [HS]-Delivery Report (document type); [IN]-DA Manufacturing Inspection Plan			
List of DA deliverables	<a href="#">ITER_D_73 MVYS - List of Deliverables Form</a>	IDM, <a href="#">DA - IO Documentation Exchange Area</a> ( <a href="https://user.iter.org/?uid=3XMJKA">https://user.iter.org/?uid=3XMJKA</a> )	<a href="#">[F]-DA List of deliverables</a> ( <a href="https://user.iter.org/?uid=7KNQQC">https://user.iter.org/?uid=7KNQQC</a> )	List of Document Deliverables PA X.X.PXX.DA.0X	DOC Section Leader	Full life of project
PA Document Storage folders	As required in 5.5.1 Folder structure for PA Document Storage Area	IDM, <a href="#">Plant Breakdown Structure</a> ( <a href="https://user.iter.org/?uid=29DM8W">https://user.iter.org/?uid=29DM8W</a> )	<a href="#">F - DA deliverables</a> ( <a href="https://user.iter.org/?uid=46MD8X">https://user.iter.org/?uid=46MD8X</a> ), [IP]-Background IP Declaration, [IP]-Generated IP Declaration (document types), [PK]-Monthly Progress Reports from DAs (document type), [HS]-Delivery Report (document type); [IN]-DA Manufacturi	PA Administration PA X.X.PXX.DA.0X	PA-TRO, TARO, TBMA RO, as applicable	Full life of project

			ng Inspection Plan			
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