Environment & Remediation Support Services

Standard Operating Procedure

for **DOCUMENT DEVELOPMENT**

APPROVAL SIGNATURES:

Subject Matter Expert:	Organization	Signature	Date
Saundra Martinez	ERSS	*Signature on File*	3/15/07
Quality Assurance Specialist:	**Organization**	**Signature**	**Date**
Laura Ortega	QA-IQ	*Signature on File*	3/19/07
Responsible Line Manager:	**Organization**	**Signature**	**Date**
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1.0   PURPOSE AND SCOPE

This procedure provides the process for producing documents for the Environment & Remediation Support Services (ERSS). The complete document process includes scheduling, developing, editing, formatting, reviewing, signing, controlling, producing, distributing, and archiving documents. A flow chart of the process is included in Section 5.0. In addition, the full process may not be appropriate for all types of documents (see Attachment 1, Using the Accelerated Approach).

This procedure does not describe preparation, review, approval, or revision of procedures. For this information, refer to EP-DIR-SOP-5001, Procedure Development.

2.0   BACKGROUND AND PRECAUTIONS

2.1   Background

For more document and/or procedure-related information and details, refer to the following procedures:

- EP-DIR-SOP-4001, Document Control;
- EP-ERSS-SOP-4003, Records Management;
- EP-ERSS-SOP-4005, Peer Review Process; and
- EP-DIR-SOP-5001, Procedure Development.

2.2   Precautions

- The Project Leader/Author is ultimately responsible for the document's quality and schedule and for getting required approvals; however, a Project Leader-designated author may take on some of the document responsibilities. The Project Leader/Author and the Document Manager should work together to complete the process.

- One type of Peer Review, the decision Peer Review, may be conducted before document preparation or at the key decision phase. A complete draft of the document is used for the document Peer Review.

- Documents that do not meet the requirements of this procedure will be returned to the Project Leader/Author and may delay anticipated deadlines.

- If subcontractor staff does all editing and compositing, the tools listed in Section 3.0 must still be used. Depending on the document type, the Project Leader is responsible for ensuring that each subcontractor submits final files to the Document Manager for archiving and records.

- The Records Processing Facility does not issue ER ID numbers for documents that have not yet been written except under special circumstances and only with the approval of Records Processing Facility.

- If a document needs editing, compositing, or other document resources and in-house editing and compositing services are waived; the Document Manager may insert a statement to that effect on the inside front cover of the document.

- Generally the compositor maintains the master electronic document files. However, the compositor may turn the files over to the Project Leader/Author for incorporating Peer Review comments or for extensive rewrites. (This needs to be expressly coordinated.)

- The New Mexico Environment Department (NMED) must approve outlines that vary from the March 1, 2005, Compliance Order on Consent available at http://www.nmenv.state.nm.us/hwb/lanl/OrderConsent/03-01-05.

- A document due on the weekend shall be delivered the previous Friday.

- Identify if the document needs to be delivered to others at the same time it is delivered to the regulator.

- Check that the compositor generates a title page with signature lines and a certification page, if applicable.

3.0   EQUIPMENT AND TOOLS

Use this procedure as your checklist for developing documents and use the following tools, which are available at *http://erinternal.lanl.gov* under the Document Development section or from the Document Manager:

- Acronyms and abbreviation list;

- Checklists;

- Document Map Guidelines;

- Document review, approval, and signature matrix;

- Document services request form;

- Editing and compositing guidelines;

- EndNotes Bibliography database;

- Glossary;

- Peer Review Request form;

- Templates; and

- Updating the Master Reference Set Guidelines.

4.0   STEP-BY-STEP PROCESS DESCRIPTION

4.1   Planning Document

Project Leader	1.	Before a document is written, review and assess available information for adequacy and completeness.
	2.	Consider a decision peer review per procedure EP-DIR-SOP-4005, Peer Review Process.
	3.	Determine document type, content, and any missing information (i.e., data, maps).
	4.	Consult with the data and Geographic Information System (GIS) teams about document requirements as early in the process as possible.
	5.	Check review and approval requirements for type of document on the Document Review, Signature, and Approval Matrix located at: (http://erinternal.lanl.gov/procedures/docs/document_approval_requirements.pdf).
	6.	Ask the Document Manager for a sample of a document type to follow (if necessary), and draft the document.
		[NOTE: Remember other outlines may need NMED approval.]

Project Leader (Continued)	7.	Give the Document Manager adequate advanced notice (at least one (1) month depending upon document size and due date), and fill out the online document services request form even if in-house editing and compositing are not needed.
		[NOTE: If a document doesn't require any editing or compositing, see Attachment 2. The document services request form is located on the EP Web Page.]
	8.	Meet with the Document Manager to (1) set a realistic schedule with milestones, (2) determine which resources are needed (e.g., illustration), and (3) estimate the time needed for each step.
	9.	Develop a schedule that includes deadlines for writing assignments, reviews, comment incorporation, final draft, final editing and composition, and getting signatures.
	10.	E-mail this schedule to personnel who will be working on the document.
Document Manager	11.	Assign editor and compositor resources to the document and give each a copy of the document services request form.
	12.	Add document to schedule.
	13.	Give Project Leader/Author the document catalog number and tell him/her who has been assigned to work on the document.
Project Leader	14.	For very large or complex documents with several authors, set up an electronic collaboration site or at least a method for file transfer other than email (for more information, contact the Document Manager).
Document Manager	15.	Meet with the Document Control Coordinator to get a controlled number if the document type requires one.

4.2   Preparing First Draft

Project Leader	1.	Choose Subject Matter Experts to contribute to the document, if desired.
	2.	Assign outline sections and due dates to contributors if there is more than one author.
	3.	Review sections as they are completed.
	4.	If subcontractors prepare a document, ensure they are using existing templates and following current guidelines.
		[NOTE: Existing templates are located on the EP Web Page.]
	5.	Turn over complete or pieces of document to editor or compositor.
	6.	Submit electronic MS Word files of the document, and files for data, base maps, and figures, to the editor and compositor.
		[NOTE: These files are now the master files and any further changes must be coordinated through the assigned editor and compositor. Inform the editor and compositor if you want the editing to be done in tracked changes if using MS Word.]

Project Leader (Continued)	7.	Via email verify receipt of files by editor and compositor.
	8.	Ask the in-house compositor to provide a copy of the master reference list to the subcontractor, if a subcontractor is preparing the document.
		[NOTE: This step is required of all plans and reports submitted to NMED.]
	9.	Request the reporting data set per procedure EP-ERSS-SOP-5025, Initiating and Managing Data Set Requests (reporting data sets are provided to the report teams by the data steward) and request base maps from GIS team member.
	10.	Ensure that the assigned data steward has provided the final data set and that the GIS team member approves spatial data.
Editor and Compositor	11.	Set up electronic folders and discuss document particulars.
Editor	12.	Perform a pre–peer review edit, reconcile any queries with the Project Leader/Author, and then hand off to the compositor for formatting.
	13.	Whether or not the pre–peer review editing and compositing are done in-house or by a subcontractor editor and compositor, use the editing and compositing checklists (see http://erinternal.lanl.gov/resources/writing_guide.shtml).
		[NOTE: This cycle of pre–peer review edit and query is required unless program management notifies the DM in writing that the accelerated approach is necessary.]
Compositor	14.	Format and provide PL/author with hard copy and/or electronic files (check with PL/author to see which they prefer), insert "Peer Review draft, date" in the footer and on cover of the document.
Project Leader/ Author	15.	Read the peer review draft and respond to editor queries.
	16.	Return the draft to the assigned editor.
Editor and Compositor and/or subcontractor	17.	Produce a final electronic peer review draft. If a large and complex document, produce one hard copy for each peer reviewer and provide the copies to the Document Manager.
Document Manager	18.	Fill out Technical Information Release (TIR) form.
		[NOTE: Contact the Document Manager for a TIR form.]
	19.	Obtain review by Authorized Derivative Classifier.
	20.	Make a copy of the signed Technical Information Release form.
	21.	Hand-deliver the document to the Laboratory's classification office for an LA-UR number. [NOTE: Laboratory classification review takes three (3) to five (5) working days.]
	22.	Report the LA-UR number to the editor, compositor, and author.

4.3   Peer Review

Project Leader/ Author	1.	Fill out Peer Review Request form in accordance with procedure EP-DIR-SOP-4005, Peer Review Process.
		[NOTE: Most documents go through a Peer Review and comment resolution process. The length of time this process takes depends on the length and complexity of a document. Allow at least two (2) weeks for the initial pre–Peer Review editing and compositing, and at least three (3) weeks for the final editing and composition and for obtaining signatures.]
	2.	Once Peer Review comments have been addressed and incorporated, return the document to the editor.

4.4   Prepare Final Document and Submittal Letter

Project Leader/ Author	1.	Retrieve a sample submittal letter or an internal memorandum from http://erinternal.lanl.gov/resources/writing_guide.shtml and then draft your correspondence.
		[NOTE: The Document Manager can help with this process.]
	2.	Determine how many copies need to be produced for distribution and their format (i.e., CD).
		[NOTE: The Document Manager orders supplies in advance and works with program administrators to use resources efficiently.]
	3.	Submit the draft to the respective administrator for your program and see the Document Manager about editing correspondence.
Program Administrator	4.	Each program administrator is responsible for preparing correspondence, including assigning document catalog numbers, obtaining signatures, and coordinating final correspondence with the Document Manager.
	5.	Submit attachments to external letters that may become stand-alone documents to the Laboratory's classification group for an LA-UR number.
		[NOTE: The Document Manager can help with this process.]
	6.	Ensure that the distribution list is accurate by confirming the list with PL/author.
Compositor	7.	Print a copy of the final document, assemble a complete deliverable (including CDs, plates, covers, tabs), and notify the Document Manager that the document is ready for a quality check.
	8.	Update the master reference set and table of contents following the instructions in the Updating the Master Reference Set Guidelines (see the Document Manager) and put new references on a CD to be delivered to NMED at the same time the document is due.
Editor	9.	Request another editor to perform a quality assurance (QA) check according to the QA checklist.
		[NOTE: See the Document Manager for the quality assurance checklist.]

Compositor	10.	Make any corrections based on QA check.
	11.	Produce final document for Project Leader/Author to check.
PL/author	12.	Review final and approve document for production.
Compositor	13.	Produce three final copies.
	14.	If the document is an NMED deliverable, two copies go to NMED, and one copy is kept in the document package and later distributed as the Project Leader/Author copy.
Document Manager	15.	If the document is a controlled document, obtain signatures on the title page and submit (including the signed Peer Review Comment/Resolution forms, if applicable) to the Document Control Coordinator for management and safety review, posting to the web, and submittal to the Records Processing Facility.

4.5 Distribution and Archiving

| All	1.	See Attachment 3, Document Distribution, for instructions on distributing documents.
Program Office	2.	Complete the distribution according to the list on the submittal letter.
	3.	Distribute third copy to Project Leader/Author.
Compositor	4.	Archive files.
Project Leader/ Author	5.	Ensure that the final files are delivered to the Document Manager for archiving and future revision if a subcontractor produces the document.

4.6 Records

Document Manager	1.	Submit the following records generated by this procedure to the Records Processing Facility:
		• Completed document.

5.0   PROCESS FLOW CHART

Document Development, Review, and Production
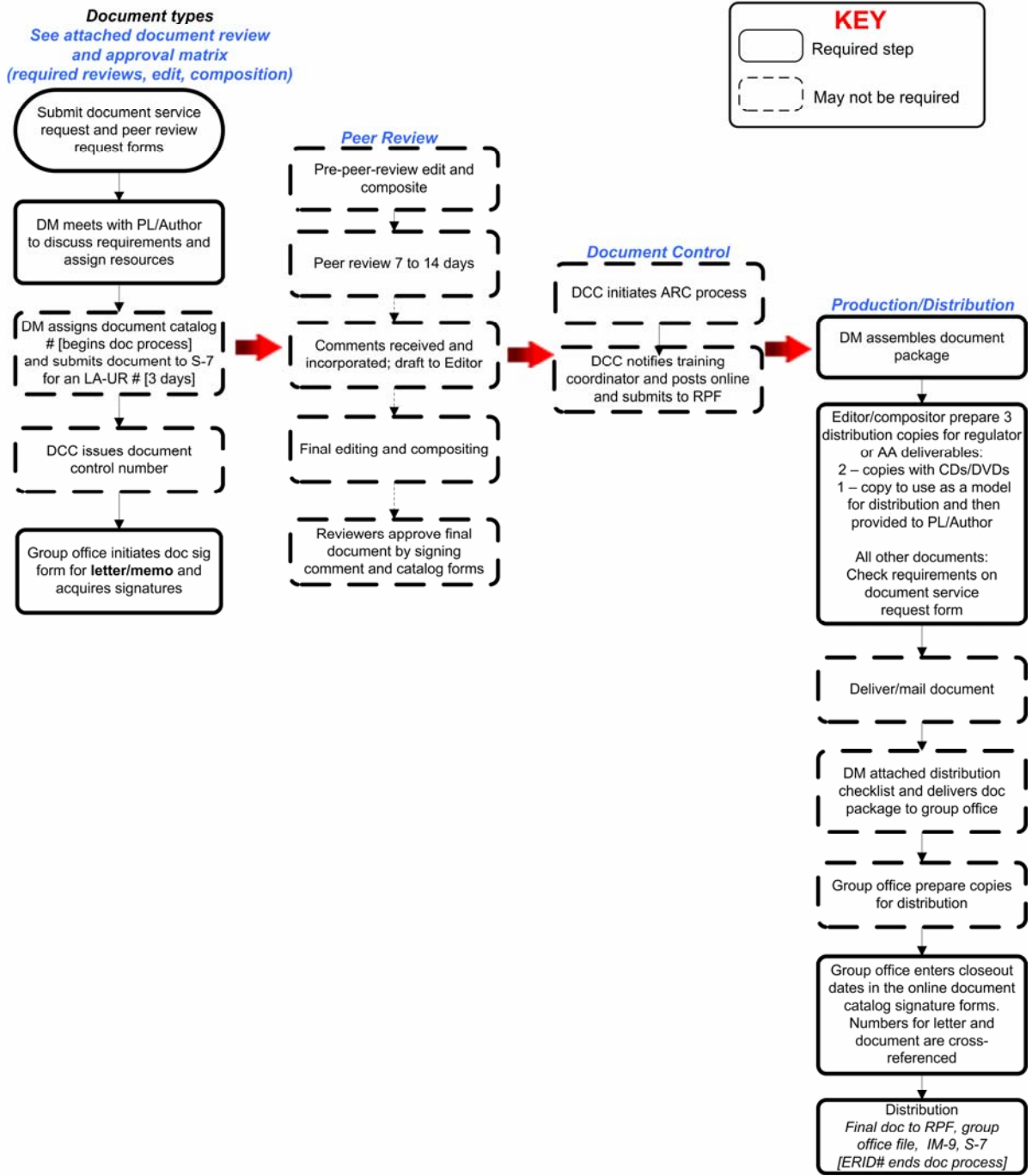
CONTROLLED DOCUMENT
Users are responsible for ensuring they work to the latest approved revision.
Printed or electronically transmitted copies are uncontrolled.

6.0 ATTACHMENTS

Attachment 1: 4002-1 Using the Accelerated Approach (1 page)

Attachment 2: 4002-2 Preparing Documents that Do Not Require Editing/Compositing (1 page)

Attachment 3: 4002-3 Document Distribution (2 pages)

7.0 REVISION HISTORY

Author: Saundra Martinez

Revision No. *(Enter current revision number, beginning with Rev.0)*	Effective Date *(DCC inserts effective date for revision)*	Description of Changes *(List specific changes made since the previous revision)*	Type of Change *(Technical [T] or Editorial [E])*
0.0	3/23/07	Major rewrite and formerly QP 4.9	T/E

Using a CRYPTOCard, click here to record "self-study" training to this procedure.
If you do not possess a CRYPTOCard or encounter problems, contact the ERSS training specialist.

ATTACHMENT 1: USING THE ACCELERATED APPROACH

4002-1 Using the Accelerated Approach What is it and when to use it?	Records Use only Los Alamos NATIONAL LABORATORY — EST. 1943 —

Documents that have been previously reviewed and approved or that have a shorter-than-usual schedule follow the accelerated approach.

Some examples include remedy completion reports, accelerated corrective action reports, 30- and 45-day responses to NMED, and revisions, including approvals with modifications and updated pages.

Project Leader/Author	1.	Documents going through the accelerated process may also require a modified PR (shorter review time and fewer reviewers).
	2.	All documents must receive a new classification review for a Los Alamos Unlimited Release (LA-UR) number; legal, ENV-RCRA, and DOE reviews; and final editing and compositing.
	3.	For revisions, approval with modifications, or updated pages: A document is reissued in its entirety as a "Revision 1" when the content has changed or materials are added (major changes). A strikeout copy that shows changes made as a result of regulator comments may accompany the revision. (This strikeout version may be in electronic form only.)
	4.	Minor changes such as the following do not require the same level of review and approval as the original document: correcting grammar or spelling; renumbering sections, pages, or attachments; or clarifying changes that do not affect content

ATTACHMENT 2: PREPARING DOCUMENTS THAT DO NOT REQUIRE EDITING/COMPOSITING

4002-2

Preparing Documents That Do Not Require Editing/Compositing

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— EST.1943 —

Documents for which editing and compositing are *optional* include statements of work, integrated work documents, site-specific health and safety plans, facility-tenant agreements, and standard operating procedures.

Project Leader/ Author	1.	Draft document.
	2.	Contact the Document Manager for a document catalog number.
	3.	Schedule Peer Review with the Document Manager.
Document Manager	4.	Assign a document catalog number.
	5.	Insert "See approval signatures on final document," on the document.
	6.	E-mail the document catalog signature form to the requestor.
	7.	Coordinate the Peer Review.
Project Leader/ Author	8.	Allow appropriate time for review and reconcile and incorporate comments.
	9.	Finalize document and obtain required signatures on title page of document. [NOTE: Signatures are only required on the title page of the final document and not on the document catalog signature form.]
	10.	Print a copy of the document catalog signature form.
	11.	Attach the document catalog signature form to the final document for later inclusion in the record package to Records Processing Facility.
	12.	If the document is controlled, obtain signatures on the title page.
	13.	Submit the document, including the signed Peer Review Comment/Resolution forms, if applicable, to the Document Control Coordinator for management and safety review.
Document Control Coordinator	14.	Obtain management and safety reviews.
	15.	Post the document on the web site.
	16.	Submit the document to the Records Processing Facility.

ATTACHMENT 3: DOCUMENT DISTRIBUTION

4002-3			Records Use only
	Document Distribution		Los Alamos NATIONAL LABORATORY — EST.1943 —

Distribution of Regulatory Documents

Document Manager	1.	Obtain submittal letter from the program office and assemble the document package, including the following:
		• Submittal letter (program office obtains signatures);
		• Document catalog signature form for the transmittal letter (program office obtains signatures);
		• Certification page (for remedy completion reports only);
		• Document;
		• Title page;
		• Document catalog signature form for the document (Project Leader/Author and/or Document Manager obtains signatures); and
		• Peer Review Comment/Resolution forms (Project Leader/Author obtains signatures).
Compositor	2.	Follow the compositor checklist.
	3.	Scan the signed title page.
	4.	Convert document with signed title page and appendixes into a PDF.
	5.	Create CDs, spines, and cover sheets for all distribution copies.
	6.	Work with the editor to prepare the three original copies.
Document Manager	7.	Make a copy of the original signed submittal letter to use as the date-stamp copy (i.e., verifying delivery of the document to the regulator).
	8.	Coordinate delivery of the document to the regulator.
	9.	Receive date-stamped submittal letter back from the regulator.
	10.	Converts the date-stamped copy into a PDF.
	11.	File the electronic copy.
	12.	Use the distribution checklist, and sign off on applicable items.
	13.	Deliver the document package to the Program Office for the remaining production and distribution activities.

ATTACHMENT 3: DOCUMENT DISTRIBUTION (CONTINUED)

4002-3

Records Use only

Document Distribution (Continued)

Distribution of Regulatory Documents

Program Office	14.	Produce copies for distribution.
	15.	Coordinate production with the Laboratory's printing office for large documents.
	16.	Enter Records Processing Facility and regulatory closeout dates in the on-line document catalog signature forms (submittal letter and document).
Program Office	17.	Ensure that the numbers for the submittal letter and document are cross-referenced.
	18.	Complete distribution and ensure that the Laboratory's classification group, records management group, and the Records Processing Facility receive final copies.
Compositor	1.	Submit the final document to the Document Manager.
Document Manager	2.	Submit the final document with signatures and the original document catalog signature form (including the signed Peer Review Comment/Resolutions forms, if applicable) to the Document Control Coordinator.
Document Control Coordinator	3.	Initiate management and safety review.
	4.	Provide the final document to the author.
	5.	Obtain a training number from the training coordinator, posts the controlled document online, and submits the document to the Records Processing Facility.
	6.	Use effective dates only on controlled documents.

Distribution of Nonregulatory Documents

Compositor	1.	If the document was produced at the Laboratory's publication group, request appropriate number of copies and provide them to the program office for distribution with the memorandum (if applicable).
	2.	If the document was produced in-house, produce three original copies and follow steps 2 through 6 from Distribution of Regulatory Documents