EP-DIR-SOP-4001, Revision 4

Document Control

Effective Date: 5/14/08

Next Review Date: 5/14/2012

Procedure Owner	Signature	Date
Suzanne Coriz	Signature on File	5/14/08

HISTORY OF REVISIONS

Revision Number	Issue Date	Action	Description
0	2/22/07	Superseded QP-4.5, DIV-AP-0107, AP-WFM-002, and AP-WFM-029.	Incorporate Environmental and Waste Management Facility Operations (EWMO) and Environment & Remediation Support Services (ERSS) Document Control processes for the EP Directorate.
1	3/28/07	Revision to EP-DIR-SOP-4001, Revision 0.	Incorporate ISD 315-1, Conduct of Operations Manual requirements.
2	4/9/07	Revision to EP-DIR-SOP-4001, Revision 1.	Change all EWMO Conduct of Operations Manual references to LANL Conduct of Operations.
3	06/11/07	Revision to EP-DIR-SOP-4001, Revision 2.	Changes made to meet EP QAP requirements.
4	05/05/08	Revision to EP-DIR-SOP-4001, Revision 3.	Changes made to clearly identify roles and responsibilities between the Document Owner and the Document Control Custodian

1.0 PURPOSE AND SCOPE

The purpose of this procedure is to describe the formal process for controlling, maintaining, and distributing controlled documents within the Environmental Programs (EP) Directorate to ensure that only the latest revisions of documents are available for use in accordance with ISD 1020-2, *LANL Document Control Program,* and EP-DIR-QAP-0001, *Quality Assurance Plan for the Environmental Programs Directorate.*

2.0 BACKGROUND AND PRECAUTIONS

2.1 Background

The preparation, issuance, and change of documents that specify or prescribe quality requirements or activities affecting quality (i.e., instructions, procedures, and drawings) are controlled to assure that correct documents are being employed. Controlled documents, including changes thereto, shall be reviewed for adequacy and approved for release by authorized personnel. The following controls shall be applied to documents and changes thereto:

- ***a) controls for the identification of controlled documents;***
- ***b) controls for the specified distribution of controlled documents for use at the appropriate location;***
- ***c) controls for the identification of individuals responsible for the preparation, review, approval, and distribution of controlled documents;***
- ***d) controls for the review of the controlled document package for completeness and their approval prior to distribution; and***
- ***e) controls to ensure the correct documents are being used.***

The responsible manager approves and prescribes documents for use. Management must identify for workers the version of the document approved for use and required for compliance during current and planned work activities.

2.2 Precautions

Printed documents from the Web Page are considered working copies and must be validated each day prior to use.

2.3 Definitions

2.3.1 Approval Date – the date of the last approving authority signature.

2.3.2 Cancellation – is used to permanently remove a procedure from the document control system. Cancelled procedures cannot be reactivated.

2.3.3 Deactivation – is used to temporarily remove a procedure from the document control system to prevent use during process of facility shutdowns. Deactivated procedures are exempt from periodic reviews.

2.3.4 Controlled Distribution – the process used to issue and ensure receipt of controlled documents.

2.3.5 Controlled Document – a plan, procedure, or any part thereof, that is prepared, reviewed, issued, revised, and approved in accordance with established protocol and subject to controlled distribution and to defined change process. EP Directorate procedures are issued as controlled documents. Controlled documents and forms are controlled to ensure that correct and current documents are used and referenced.

2.3.6 Controlled Document Receipt Acknowledgement Form – a form accompanying a hardcopy controlled document to confirm receipt of the document.

2.3.7 Distribution List – a list that indicates the recipients of an electronic or hardcopy notification of a controlled document.

2.3.8 Document Package – the procedure and any documentation associated with the review and approval process for that procedure.

2.3.9 Effective Date – The date (after approval) that a document is made available for use by the procedure owner and when the document is required to be fully implemented.

2.3.10 Electronic Notification – an electronic message to training staff and personnel that there is a new, revised, or cancelled controlled document.

2.3.11 Major revision – a procedure change that affects basic process variables, personnel safety, process or equipment protection; changes that involve nuclear safety review considerations, or add/delete a hold/witness point. Procedure cannot be correctly performed as written without change.

2.3.12 Master File of Controlled Documents – the compilation of active controlled documents, maintained by the Document Control Coordinator (DCC) for the EP Directorate.

2.3.13 Minor revision – Minor revisions will not prevent proper performance of the procedure as written. Minor revisions may include additional steps that do not change the intent or scope of the procedure. Minor revisions are not used where change would:

- Increase the safety risk to personnel
- Also a source document requirement
- Alter the purpose or scope of the procedure
- Eliminate any required reviews or approvals
- Alter the operating, technical, design, process, regulatory, or quality control requirements of a procedure

2.3.14 Original – the ink-signed master hardcopy of a document.

2.3.15 Uncontrolled Copy – a hardcopy of a controlled document used for information purposes ONLY, and stamped **"UNCONTROLLED"** or **"For Information Only"**.

2.3.16 Working Copy – a hardcopy of a controlled document that is printed from the controlled documents Web page and used for completing work activities.

3.0 EQUIPMENT AND TOOLS

None.

4.0 STEP-BY-STEP PROCESS DESCRIPTION

4.1 Identification of Controlled Documents

4.1.1 Types of EP documents to be controlled, including, but not limited to, the following:

- ***Administrative Procedures (APs);***
- ***Building Emergency Plans (BEPs);***

- ***Design Documents (DDs);***
- ***Quality Assurance Plan (QAPs);***
- ***Quality Program Implementing Matrices (QPIMs);***
- ***Standard Operating Procedures (SOPs);***
- ***Detailed Operating Procedures (DOPs), and***
- ***Integrated Work Documents (IWDs).***

4.2 Responsibilities

Document Owner

1. For new documents and revised documents
   - Request a controlled number from the DCC

   For Major Revision
   - Contact DCC to ensure consistency of document number use
   - Request an electronic copy from the DCC
   - Shall be reviewed and approved by the same organization that performed the original review

   For a Minor Revision
   - Contact DCC to ensure consistency of document number use
   - Request an electronic copy from the DCC

   For Immediate Procedure Change (IPC)
   - Refer to LANL Conduct of Operations Manual (ISD 315-1).

   NOTE: It is the document owner's responsibility to ensure that document numbers are received from the DCC. This will ensure document numbering consistency throughout the directorate and the history of the document will be maintained.

2. Prepare the document in accordance with ISD 315-1, *Conduct of Operations Manual*, Chapter 16.0, Tier 3 Operations Procedures, Section 16.1, Procedure Administration, Subsection I, *Procedure Development and Change Process*.

3. Update the Revision History, including the reasons for the change(s).

4. Submit procedure for review, using the *Procedure Review and Concurrence Form* (see ISD 315-1, *Conduct of Operations Manual*, Section 16.1, Attachment 5).

5. Resolve review comments.

6. Submit the draft document to Publications for editing/formatting, at your discretion.

7. Ensure document contains the title, document number, revision number, effective date and page number on each page, this includes attachments/appendices, forms, etc.

8. Determine whether to generate a PCR form or DAR form for approvals.

9. For procedures, complete applicable sections of the Procedure Change Request (PCR) form (see ISD 315-1, *Conduct of Operations Manual*, Section 16.1, Attachment 3). **Indicate N/A on any item(s) not applicable.** The training requirement determination box (Section #4) must be completed and signed by a Central Training (CT) Manager or designee.

Document Owner (Continued)

10. For other types documents, complete Sections 1 through 5 of the Document Action Request (DAR) Form - Attachment 1. **Indicate N/A on any item(s) not applicable.** The training requirement determination box (Section #4) must be completed and signed by a CT Manager or designee.

11. Compile the Document Package, which includes the following:

- a completed PCR or DAR Form, which includes approval signatures, Unreviewed Safety Question (USQ), ADC review, etc.;
- a final hardcopy document (containing original signatures);
- any forms or attachments, if applicable;
- completed Procedure Review and Concurrence Form (see ISD 315-1, *Conduct of Operations Manual*, Section 16.1, Attachment 5);
- completed Procedure Validation Checklist (see ISD 315-1, *Conduct of Operations Manual*, Section 16.1, Attachment 6);
- an e-mail notification to DCC indicating the periodic review frequency; and
- all documentation associated with the review and approval process of the document.

12. Submit the following to the DCC for posting to the Web Site:

- the document package;
- an electronic version of the final document which includes any forms and attachments;
- a separate MS Word file of the final forms; and
- an e-mail notification to DCC indicating the periodic review frequency not to exceed five (5) years.

[NOTE: If the document package is incomplete, it will be returned to the document owner for correction. This step could delay its availability on the Web Site.]

Document Control Custodian

13. Review the document package for completeness, including:

- original approval signatures;
- the hard copy version of the document and any forms are included; and
- electronic files of final document and file of forms, if applicable, have been received.

Document Control Custodian

14. Update the final document with the effective date on the cover page and document header.

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15. Print the updated document.

16. Scan the cover sheet and PCR/DAR Form.

17. Replace the cover page and revision history page of the associated .PDF document.

18. Update and maintain the Document Control database with the following tracking information, at a minimum:
    - the document title;
    - the document number;
    - the revision number;
    - the effective date;
    - the date of the periodic review; and
    - the name of the document owner.

19. Notify the Web Master when posting documents to the controlled document EP web page.

20. Send electronic notifications when documents are posted to all personnel working in the EP Directorate.

    [NOTE: The Periodic Review for all documents, including procedures will be determined by the Document Owner, not to exceed five (5) years.]

4.3 Document Control Files

Documents Control Custodian

1. A complete document package is maintained by DCC personnel until the document is either revised or cancelled. Then, the complete document package and any other supporting documents (PCR, comments, etc.) will be submitted for Records Processing.

4.4 Document Distribution

Team Leaders

1. Notify DCC when a hardcopy controlled document is required for a particular site.

2. Provide DCC with distribution list for controlled hard copies

Document Control Custodian

3. Issue controlled hard copies of approved documents on an as-requested basis.

4. Retrieve the document from the controlled website and print “Controlled Copy” in red on the document. Each controlled copy will be issued a unique controlled number.

	5.	Generate a Controlled Document Receipt Acknowledgement Form, which includes instructions on how to handle new or revised documents and the date the receipt is due back to the DCC.
	6.	Track the Controlled Document Receipt Acknowledgement Forms, and update system when it has been returned.
Controlled Document Holder	7.	Failure to return the Controlled Document Receipt Acknowledgement form within the specified time requested could result in removal from the controlled distribution list.
EP Personnel	8.	Obtain electronically controlled documents by accessing the Web Site. Printed documents from the Web Page are considered working copies and must be validated each day prior to use.
	9.	Dispose of obsolete or superseded documents in the workplace to ensure they are not used to perform work. [NOTE: Users are responsible for ensuring they work to the latest approved revision.]
Document Control Custodian	10.	Send electronic notifications when documents are published, revised, or cancelled to all personnel working for or in the EP Directorate.

4.5 Document Review Notifications

Document Control Custodian	1.	Send a notification to the Document Owner • Notify the Document Owner 30-days prior to the periodic expiration date.
	2.	Notify the Document Owner and Responsible Line Manager when a Document Owner has failed to update their document prior to its periodic review date.

4.6 Deactivation/Cancellation of Controlled Documents

Document Owner	1.	If a procedure is being deactivated or cancelled a PCR (for procedures) or DAR (for other documents) must be completed. Approval signatures must include the following at a minimum: • Document Owner • USQ • Document Owner Supervisor
	2.	Submit the completed PCR or DAR form to the DCC.
Document Control Custodian	3.	Check the PCR or DAR Form to ensure the document deactivation or cancellation contains approval signatures.
	4.	Update the controlled document system indicating deactivation or cancellation of the document.

5. Remove document and any associated forms from the Web Page.

6. Send electronic notifications when documents are deactivated or cancelled to all personnel working in the EP Directorate.

4.7 Records

DCC

1. Submit the following documents generated from this procedure to the Records Processing Facility:
   - each revision of controlled documents;
   - the Controlled Document Receipt Acknowledgement Form;
   - all e-mail notifications; and
   - supporting documentation related to the controlled document.

4.8 ATTACHMENTS

Attachment 1: Document Action Request (DAR) Form

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: DOCUMENT ACTION REQUEST (DAR) FORM

Document Action Request (DAR) Form

Los Alamos NATIONAL LABORATORY EST.1943

Section #1 – Type of Request

Document Number:	**Revision:**	**Title:**		
Requestor Signature:	**Print Name:**	**Phone:**	**Z Number:**	**Date:**

Section #2 – Procedure Owner Approval for Processing

☐ New Document ☐ Major Revision ☐ Minor Revision ☐ Deactivation ☐ Cancellation

Periodic Review: 1 Year ☐ 2 Year ☐ 3 Year ☐ 4 Year ☐ 5 Year ☐

If new document, describe document type:

Provide a detailed description of the requested change. (Attach additional sheets if needed. Number all additional sheets.):

☐ Approved ☐ Disapproved (Return to originator) Priority:

Procedure Owner Signature:	**Print Name:**	**Date:**

Section #3 – Review and Concurrence

Review and Concurrence: Obtain concurrence from all review organizations. (Enter N/A for not applicable.) Document all additional review organizations, if needed, on a continuation sheet. Cognizant System Engineer Program (CSE) approval is required for all technical procedures except minor revisions, and non-authorization-basis-related cancellations/ deactivations. CSE approval is always required for changes affecting safety-basis steps.

Reviewer	Print Name	Signature	Date
Subject Matter Expert			
QA Specialist			
Responsible Line Manager			
Other			
CSE USQ Number (as applicable):	Authorized Derivative Classifier: ☐ Unclassified ☐ OUO ☐ UCNI ☐ Classified Signature: _____ Date: _____		

Section #4 – Training Review

Training Required: ☐ Yes ☐ No	☐ Classroom/Briefing	☐ Just-in Time	☐ On the Job	☐ Required Reading
Training Representative Signature:		**Print Name:**		**Course #:**

Section #5 – Final Approval by Procedure Owner

Validation Required: ☐ Yes ☐ No	Hazard Category: ☐ Low ☐ Med ☐ High	Is the document authorized to serve as Part I of the Integrated Work Document? ☐ Yes ☐ No		
Approval Signature:	**Print Name:**	**Phone:**	**Z Number:**	**Date:**