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Environmental Programs

Standard Operating Procedure

for **DOCUMENT DEVELOPMENT AND DELIVERABLES COMPLIANCE PROCESS**

APPROVAL SIGNATURES:

Subject Matter Expert:	Organization	Signature	Date
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Title: Document Development and Deliverables Compliance	No.: SOP-4006	Page 2 of 14
	Revision: 0	Effective Date: January 6, 2009

1. PURPOSE AND SCOPE

This procedure provides the process for producing documents. The complete process includes scheduling, developing, editing, formatting, reviewing, signing, controlling, producing, distributing, and archiving documents. A flow chart of the process is included in section 6.0. 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 or revision of procedures. For this information, refer to SOP-4007, Procedure Development.

2. 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-DIR-SOP-4003, Records Management

SOP-4005, Peer Review Process

SOP-4007, 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, an author designated by the project leader 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 edits and composites the document, the tools listed in section 3.0 must be used. Depending on the document type, the project leader is responsible for ensuring that each subcontractor submits final files to the Records Processing Facility (RPF) for archiving.

The RPF does not issue Environmental Remediation Identification (ER ID) numbers for documents that have not yet been written except under special circumstances and only with the approval of the RPF.

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 option needs to be coordinated with the document manager).

The New Mexico Environment Department (NMED) must approve outlines that vary from the outlines prescribed in the March 1, 2005, Compliance Order on Consent, available at

http://www.nmenv.state.nm.us/hwb/documents/LANL_3-1-2005_Consent_Order_Revised_6-18-2008.pdf

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

The project leader must identify if the document is to be delivered to others at the same time it is delivered to the administrative authority and/or regulator.

A certification page is required for remedy completion reports and closure reports.

3. EQUIPMENT AND TOOLS

Use this procedure as your checklist for developing documents and use the following tools, which are available at <http://int.lanl.gov/orgs/wes/rs/doc-develop.shtml> or from the document manager:

- Document matrix
- Document services request form
- Signature form
- Writing resources
 - Acronyms and abbreviations
 - Glossary
 - Technical Area Descriptions
 - Map Guidelines
 - Reference Set Guidelines
 - Editing and compositing guidelines
 - List of WES references with ER IDs (a Word file; users may request a copy of the EndNote bibliographic database)
 - Checklists
 - Templates
 - ADC/QA Contacts

4. STEP BY STEP PROCESS DESCRIPTION

The following process is used for **all types** of peer reviews.

4.1 Request Peer Review

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| Project Leader | 1. | Before a document is written, review and assess available information for adequacy and completeness. |
| | 2. | Schedule a decision peer review per procedure SOP-4005, Peer Review Process. |
| | 3. | Use the dqo process per procedure SOP-5229 for all documents that propose an environmental sampling campaign. |
| | 4. | Determine document type, content, and any missing information (e.g., data, maps). |
| | 5. | Consult with the data and Geographic Information System (GIS) teams about document requirements as early in the process as possible. All data developed to support documents will be stored in EP databases prior to document submittal to NMED. |

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| Project Leader
(Continued) | 6. | Check review and approval requirements for type of document on the Document Review, Signature, and Approval Matrix located at http://int.lanl.gov/orgs/wes/docs/writing/doc_matrix.pdf |
| | 7. | Ask the document manager for a sample of a document type to follow (if necessary) and draft the document.

[NOTE: Modified outlines require NMED approval.] |
| | 8. | Give the document manager adequate notice (at least one [1] month depending upon document size and due date) and fill out the online Document Services Request Form for all document-related requests.

[NOTE: If a document does not require editing or compositing, see Attachment 2. The Document Services Request Form is located under document development on the Waste and Environmental Services (WES) web page.] |
| | 9. | Meet with the document manager, in-house editor and compositor, and subcontractor 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. |
| | 10. | Develop a schedule that includes deadlines for writing assignments, reviews, comment incorporation, final draft submission, final editing and composition, and signatures. |
| Document Manager | 11. | E-mail this schedule to staff working on the document. |
| | 12. | Assign editor and compositor resources to the document and give each a copy of the document services request form. |
| Project Leader | 13. | Add document(s) to schedule. |
| | 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 e-mail (for more information, contact the document manager). |
| Document Manager | 15. | Notify the project leader/author to coordinate with the document control coordinator to get a controlled number if the document type requires one. |

4.2 Preparing First Drafts

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| Project Leader | 1. | Choose subject matter experts to contribute to the document, if desired. |
| | 2. | Assign outline sections and due dates to contributors if more than one author is working on the document. |
| Project Leader
(Continued) | 3. | Review sections as they are completed. |

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4. If subcontractors prepare a document, ensure they are using existing templates and following current guidelines.

[NOTE: Existing templates are located under document development on the WES web page.]

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5. Coordinate file transfer with the editor and/or compositor.

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6. Submit electronic Microsoft (MS) Word files of the document, including tables and figures, to the editor and compositor. Submit source files for maps (i.e., Adobe Illustrator or Acrobat) for archival, and submit any other files needed for delivery to the administrative authority (e.g., data files).

[NOTE: These files are now the master files, and any changes must be coordinated through the assigned editor and compositor. Inform the editor and compositor if the editing should be done in tracked changes.]

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7. Via e-mail, verify that the editor and compositor received the files.

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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.]

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9. Request the reporting data set per SOP-01.13, R0, 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.

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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 quality pre-peer review edit, reconcile any queries with the project leader/author, and then hand off to the compositor for formatting.

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13. Whether or not the quality pre-peer review editing and compositing are done in-house or by a subcontractor editor and compositor, use the editing and compositing guidelines and checklists (see <http://int.lanl.gov/orgs/wes/writing.shtml>).

[NOTE: This cycle of quality pre-peer review edit and query is required unless program management notifies the document manager in writing that the accelerated approach is necessary.]

Compositor

14. Format and provide project leader/author with hard copy and/or electronic files (check with project leader/author to see which is preferred) and insert "Peer Review Draft, date" in the header and on cover of the document.

Project Leader/Author

15. Read the peer review draft and respond to editor queries.
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16. Return the draft to the assigned editor.

Editor and Compositor and/or subcontractor	17. Produce a final electronic peer review draft. If it is large and complex document, produce one hard copy for each peer reviewer and provide the copies to the document manager.
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Document Manager	18. Fill out Technical Information Release (TIR) form. [NOTE: Contact the document manager for a TIR form.]
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19. Obtain review by Authorized Derivative Classifier. See list of ADC reviewers at <http://int.lanl.gov/orgs/wes/writing.shtml?2>.

20. Make a copy of the signed TIR form.

21. Hand-deliver the document to the Laboratory's classification office for a Los Alamos Unlimited Release (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 if applicable, the project leader/author.

4.3 Review Proceedings

Project Leader/ Author	1. The request for peer review is indicated on the Document Services Request Form in accordance with procedure 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 quality pre-peer review editing and compositing and at least three [3] weeks for final editing and composition and obtaining signatures.]
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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://int.lanl.gov/orgs/wes/writing.shtml and draft the submittal letter. [NOTE: The document manager can help with this process.]
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2. Add to the standard distribution list and indicate any additional hard copies to be made.

[NOTE: The document manager orders supplies in advance to use resources efficiently.]

	3.	Submit the draft submittal letter to the document manager to edit.
Compositor	4.	Print a copy of the final document, assemble a complete deliverable (including compact disks [CD] and plates), and notify the document manager when the document is ready for a final document quality check.
	5.	Update the master reference set and table of contents and put new references on a CD to be delivered to NMED at the same time the document is due.
Editor	6.	Request another team member to perform a quality check according to the quality checklist. [NOTE: The quality checklist is available at http://int.lanl.gov/orgs/wes/writing.shtml]
Compositor	7.	Make any corrections based on the quality check.
	8.	Produce final document for project leader/author to approve.
Project Leader/ Author	9.	Review final and approve document for production.
Compositor	10.	Produce three final copies.
	11.	If the document is an NMED deliverable, prepare two copies go for NMED, and keep one copy in the document package to be used as the project leader/author copy during distribution.
Document Manager	12.	If the document is a controlled document, obtain signatures on the cover page and submit it along with the signed Procedure Review and Concurrence Comment Forms, if applicable to the document control coordinator for management and safety review, posting to the web, and submittal to the RPF.

4.5 Distribution and Archiving

All	1.	See Attachment 3, Document Distribution, for instructions on distributing documents.
Production Assistant	2.	Complete the distribution according to the list on the correspondence.
	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.

Title: Document Development and Deliverables Compliance	No.: SOP-4006	Page 8 of 14
	Revision: 0	Effective Date: January 6, 2009

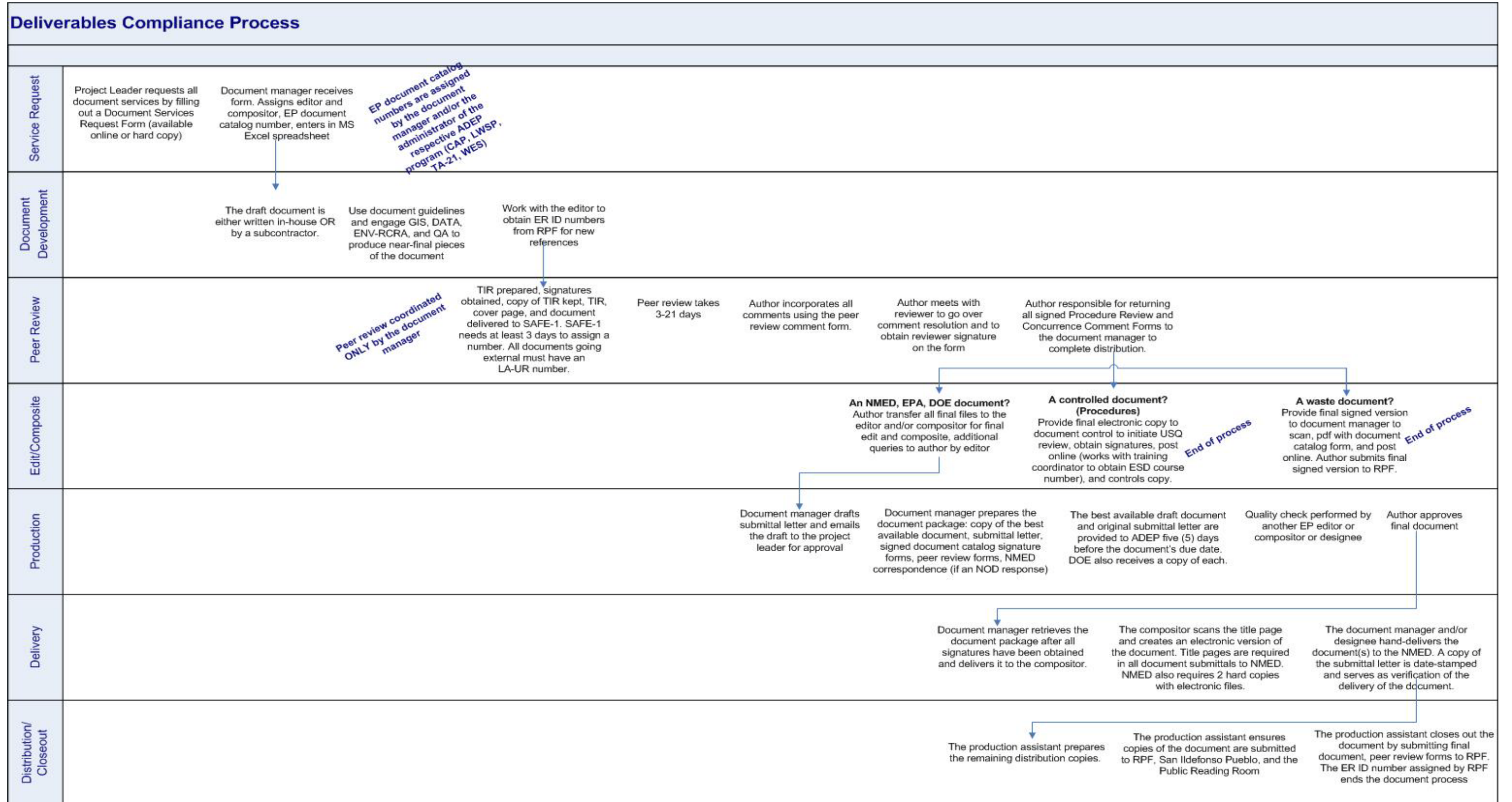
4.6 Records Management

Document Manager 1. Maintain and submit records and/or documents listed in Attachment 3 to the Records Processing Facility according to EP-DIR-SOP-4004, Records Transmittal and Retrieval Process.

5. DEFINITIONS

None.

6. PROCESS FLOW CHART



Title: Document Development and Deliverables Compliance	No.: SOP-4006	Page 10 of 14
	Revision: 0	Effective Date: January 6, 2009

7. ATTACHMENTS

Attachment 1: 4006-1 Using the Accelerated Approach (1 page)

Attachment 2: 4006-2 Preparing Documents that Do Not Require Editing/Compositing but may Require Peer Review (1 page)

Attachment 3: 4006-3 Document Distribution (2 pages)

8. REVISION HISTORY

Revision No. <i>[Enter current revision number, beginning with Rev.0]</i>	Effective Date <i>[DCC inserts effective date for revision]</i>	Description of Changes <i>[List specific changes made since the previous revision]</i>	Type of Change <i>[Technical (T) or Editorial (E)]</i>
0.0	3/23/07	Major rewrite and formerly QP 4.9	T/E
0	1/6/09	New procedure. Supersedes EP-ERSS-SOP-4002, R0.	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 EP training specialist.

ATTACHMENT 1:

SOP-4006-1

Using the Accelerated Approach

What is it and when to use it?

Records Use only



Documents that have been reviewed previously and approved or that have a shorter than usual timeline 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/or direction and updated pages.

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| Project Leader/Author | <ol style="list-style-type: none"> 1. Perform a modified peer review (shorter review time and fewer reviewers) for documents going through the accelerated process.
 2. Complete a new classification review to obtain a LA-UR number; perform legal, ENV-RCRA, and DOE reviews; and achieve final editing and compositing. <p>[NOTE 1: For revisions, approval with modifications and/or direction, or updated/replacement 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 is in electronic form only).]</p> <p>[NOTE 2: 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.]</p> |
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ATTACHMENT 2:

SOP-4006-2

Preparing Documents That Do Not Require Editing/Compositing But May Require Peer Review

Records Use only



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

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| Project Leader/Author | 1. | Draft document. |
| | 2. | Contact the document manager for a document catalog number. The document control coordinator or the Laboratory's Acquisition Services Management assign controlled document numbers. |
| | 3. | Schedule peer review with the document manager. |
| Document Manager | 4. | Assign a document catalog number.
[NOTE: For documents that have their own signature page, the document catalog signature will indicate "approval signatures on final document."] |
| | 5. | E-mail the document catalog signature form to the requestor. |
| | 6. | Coordinate the peer review. |
| Project Leader/Author | 7. | Allow appropriate time for the review and reconcile and incorporate comments. |
| | 8. | Finalize document and obtain required signatures on title page of document.
[NOTE: Signatures are required only on the title page of the final document and not on the document catalog signature form.] |
| | 9. | Print a copy of the document catalog signature form. |
| | 10. | Attach the document catalog signature form to the final document for later inclusion in the record package to RPF. |
| | 11. | If the document is controlled, obtain signatures on the title page of the respective document. |
| | 12. | Submit the document, including the signed Procedure Review and Concurrence Comment Forms, if applicable, to the document control coordinator for management and safety review. |
| Document Control Coordinator | 13. | Obtain management and safety reviews. |
| | 14. | Post the document on the website. |
| | 15. | Submit the document to the RPF. |

ATTACHMENT 3

SOP-4006-3

Document Distribution

Records Use only



Distribution of Regulatory Documents

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| Document Manager | 1. | Assemble the document package including the following: <ul style="list-style-type: none"> • Submittal letter • Document catalog signature form for the submittal letter and document • [NOTE: One document catalog number is used for both the submittal letter and the document; if two documents exist (e.g., work plan and report) each document will be assigned a document catalog number. Signatures are not required on the document catalog signature form for the second document.] • Certification page (for remedy completion and closure reports only) • Document • Title page • Procedure Review and Concurrence Comment Forms (project leader/author obtains signatures) |
| Compositor | 2. | Follow the compositor checklist. |
| | 3. | Prepare a copy of the document so that a pubs team member can perform a quality check. |
| | 4. | Scan the signed title page. |
| | 5. | Convert document with signed title page and appendixes into a portable document file (pdf). |
| | 6. | Create CDs for all distribution copies. |
| | 7. | Work with the editor to prepare the three original copies. |
| Document Manager | 8. | 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 administrative authority/regulator). |
| | 9. | Coordinate delivery of the document to the administrative authority/regulator. |
| | 10. | Obtain a date-stamped on a copy of the submittal letter. |
| | 11. | Convert the date-stamped copy into a pdf. |
| | 12. | File the electronic copy of the date-stamped letter at p:\Nmed_submittals_letters\Date_Stamped Ltrs NMED.
[NOTE: If the deliverable to the administrative authority/regulator is a submittal letter with attachments, ensure that all attachments are included with the date-stamped letter.] |

Distribution of Regulatory Documents (Continued)

ATTACHMENT 3

SOP-4006-3

Document Distribution

Records Use only



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| Production Assistant | <ol style="list-style-type: none"> 13. Produce copies for distribution. 14. Coordinate production with the Laboratory's printing office for large documents. 15. Enter RPF and regulatory closeout dates in the online document catalog signature forms (submittal letter and document). 16. For document submittals with more than one document catalog number, ensure that the document catalog numbers for the submittal letter and document(s) are cross-referenced on online Document Catalog Signature Forms. 17. Complete distribution and ensure that the RPF and the Public Reading Room receive final copies and the remaining distribution is hand-delivered to the respective program office to complete the remaining distribution. 18. Use the distribution checklist and sign off on applicable items. 19. Deliver the document package to the program administrator for the remaining distribution activities. |
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Distribution of Controlled Documents

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| 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 Procedure Review and Concurrence Comment Forms, if applicable) to the document control coordinator. |
| Document Control Coordinator | <ol style="list-style-type: none"> 3. Initiate management and safety review. 4. Provide the final document to the author. 5. Obtain a training number from the training coordinator, post the controlled document online, and submit the document to the RPF. 6. Use effective dates only on controlled documents. |

Distribution of Nonregulatory Documents

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| Project Leader/Author | 1. If the document was produced by the Laboratory's publication group, request appropriate number of copies and provide them to the respective program administrator for distribution with the memorandum (if applicable). |
| Production Assistant | 2. If the document was produced in-house, produce three original copies and follow steps 2 through 6 from Distribution of Regulatory Documents |