

EP-DIR-AP-10001, R6**ADEP DOCUMENT CONTROL**Effective Date: 6/25/13

Procedure Owner:	Signature:	Date:
Deborah Guffee	/s/Deborah Guffee	6/24/13

HISTORY OF REVISIONS

Document No./Revision No.	Issue Date	Action	Description
EP-DIR-AP-10001, R6	6/25/13	Major Revision	<ul style="list-style-type: none"> • Updated DAR form with P315 DAR changes. • Numerous editorial changes • Clarified Scope
EP-DIR-AP-10001, R5	2/13/12	Major Revision	<ul style="list-style-type: none"> • Added Procedure Feedback Process instructions • Added PCR# block to DAR in Section 2. • Added submittal process and clarification for efficient control of ADEP IWDs • Added information regarding Shift Operations Manager/Designee responsibilities for Controlled Copies • Added information pertaining to forms protection and filling.
EP-DIR-AP-10001, R4	9/15/11	Major Revision	<ul style="list-style-type: none"> • Added ADEP to document title • Changed document template • Updated other definitions • Added Sec. 5, Responsibilities • Updated Sec. 6.1, Processing Controlled Documents • Revised Sec. 6.3, Controlled Copy Distribution Section • Updated Sec. 6.5, Document Periodic Review Notification • Added Sec 7., Records Processing
EP-DIR-AP-10001, R3	6/6/11	Major Revision	<ul style="list-style-type: none"> • Document updated to reflect change from Domino to new SharePoint ® Document Control System. • Changed requirement to use the Quality Verification Checklist as required to “use as necessary.” • Removed explanation of how to perform Immediate Procedure Changes (IPCs). • Updated Document Action Request (DAR) to include DUSA reviews.

HISTORY OF REVISIONS (continued)

Document No./Revision No.	Issue Date	Action	Description
EP-DIR-AP-10001, R2	2/15/11	Major Revision	<ul style="list-style-type: none"> Removed reference to training documents in Section 4.2.5 on page 6.
EP-DIR-AP-10001, R.1 IPC-1	12/16/10	Immediate Procedure Change	<ul style="list-style-type: none"> IPC put DAR back into the document as an attachment rather than a link since the content changed somewhat from DAR in P315 R.1. Added DC reviewer to DAR form Modified QVC in order to incorporate process improvements Rephrased IPC submittal process in section 4.2
EP-DIR-AP-10001, R1	12/7/10	Minor Revision	<ul style="list-style-type: none"> Changed Sec. 2.2, Precautions, to clarify use of "Working Copy." Changed Sec. 2.3.18 wording on Working Copy Added section to DAR and Quality Verification Checklist for superseded documents.
EP-DIR-AP-10001, R0	9/21/2010	New Document	<ul style="list-style-type: none"> Supersedes EP-DIR-SOP-4001, R.5 IPC-1. Changed from standard operating procedure (SOP) to administrative procedure (AP) based on procedure categories in Rev. 1 of Conduct of Ops Manual, P315. Removed PCR, incorporated Document Action Request (DAR) form from P315, R1, and updated Verification Checklist per P315, R1.

TABLE OF CONTENTS

<u>Section</u>	<u>Page</u>
TITLE PAGE	1
HISTORY OF REVISIONS	2
TABLE OF CONTENTS	3
1. PURPOSE	5
2. SCOPE	5
3. REFERENCES	5
4. DEFINITIONS AND ACRONYMS	6
4.1 Definitions	6
4.2 Acronyms	7
5. RESPONSIBILITIES	8
5.1 Document Preparer, Owner, or Designee	8
5.2 Responsible Line Manager	9
5.3 Document Control	9
5.4 Technical Writer/Editor	10
5.5 Document Reviewers	10
5.6 Controlled Copy Holder	11
5.7 EP Personnel	11
6. PLANS AND PROCEDURES	11
6.1 Creating or Revising Plans and Procedures	11
6.2 Controlled Copy Distribution	12
6.3 Using ADEP Controlled Documents	13
6.5 Deactivation/Cancellation of Controlled Documents	13
6.6 Procedure Feedback Process	14
7 INTEGRATED WORK DOCUMENTS (IWDs)	14
8 ENGINEERING DOCUMENTS	15
9. RECORDS PROCESSING	15
10. ATTACHMENTS	15

1. PURPOSE

This procedure defines the process for initiation, revision, review, control, distribution, and cancellation of Environmental Programs Directorate (ADEP) revision controlled documents in order to ensure that only the latest revisions of documents are available for use in accordance with P1020-2, *LANL Document Control Program*; EP-DIR-QAP-0001, *Quality Assurance Plan for the Environmental Programs Directorate*; and P315, *Conduct of Operations Manual*.

2. SCOPE

This procedure governs the initiation, revision, control, distribution, and cancellation of plans, procedures, work instructions, charters, forms, quality assurance (QA) implementation documents, and other non-technical requirements documents that necessitate formal revision control.

This procedure governs the control and distribution of technical requirements documents; however, this procedure does not apply to the development or revision of technical requirements documents and implementing engineering documents, such as drawings, calculations, specifications, engineering change documents, or safety basis documents. Examples of technical documents include Unreviewed Safety Question Determinations; Integrated Work Documents, and Standing Orders.

Documents generated in support of contracting officer deliverables are not in scope for this procedure; those documents are generated, reviewed, and distributed in accordance with EP-DIR-AP-10002, *Correspondence Control and Action Tracking* and submitted as records in accordance with EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees*.

3. REFERENCES

EP-DIR-QAP-0001, *Quality Assurance Plan for the Environmental Programs Directorate*

EP-DIR-AP-10002, *Correspondence Control and Action Tracking*

EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees*

EP-DIR-AP-10007, *Environmental Programs Procedure Preparation, Revision, Review, Approval and Use*

P315, *Conduct of Operations Manual*

P781-1, *Conduct of Training Manual*

P1020-2, *Laboratory Document Control Program*

P204-1, *Controlled Unclassified Information*

Designated Unclassified Subject Areas (DUSAs) User's Guide

AP-341-403, *Master Document List*

P300, *Integrated Work Management*

4. DEFINITIONS AND ACRONYMS

4.1 Definitions

Approval Date — the date of the Responsible Line Manager (RLM's) signature.

Cancellation — a document action used to permanently remove controlled documents from the Electronic Document Management System (EDMS). Cancelled controlled documents cannot be reactivated.

Deactivation — a document action used to temporarily remove controlled documents from further use. Deactivated controlled documents are exempt from periodic reviews (PRs) but shall be reviewed using the periodic review process before reactivation, if the normal review date has passed.

Controlled Copy Distribution — the process used to issue controlled copy documents to designated document holders and to ensure that designated document holders who are issued a controlled copy of a document maintain the current, effective revision in their controlled copy holding.

Controlled Document — a document, 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. ADEP procedures and engineering design documents are issued as controlled documents. Controlled documents and forms are controlled to ensure that correct and current documents are used and referenced.

Document Action Request (DAR) — a form used to initiate an action against a controlled document

Distribution List — a list that indicates the recipients of a controlled-document electronic or hard-copy notification.

Document Control — an organization responsible for maintaining revision controlled documents.

Document Identification Number — unique number that Document Control assigns to controlled documents.

Document Owner — the RLM or designee owns and approves controlled documents.

Document History File (DHF) — the document and any documentation associated with the review and approval process for any given completed document action.

4.1 Definitions (continued)

Document Subject Matter Expert (SME) — any person who is assigned to maintain the adequacy of a document and provide technically and administratively accurate information. The subject matter expert is normally a document user and frequently the document author.

DUSAs — Designated Unclassified Subject Areas – specifically defined areas of Los Alamos National Laboratory (LANL) work that are in potentially classified subject areas but are known to neither use nor generate classified information, and are, as defined, unclassified.

Effective Date — the date that a document is made available for use by the RLM and when the document is required to be fully implemented. The effective date is determined by the RLM or designee and may not precede the approval date or the date that the document is posted.

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

Master File of Controlled Documents — the compilation of the native file, electronic copies of active controlled documents, maintained by Document Control for ADEP.

/s/ — this symbol is used to indicate that a signature is on file, either via email or by an actual signature.

Master Document List — an index that identifies engineering documents and provides information about a particular document, such as what the document is, where it is located, and if there are any pending changes to the documentation.

4.2 Acronyms

ADEP – Associate Directorate for Environmental Programs

DAR – Document Action Request

DC – Document Control

EDMS – Electronic Document Management System

DHF – Document History File

DUSA – Designated Unclassified Subject Area

EWMO – Environmental and Waste Management Facility Operations

EP – Environmental Programs

4.2 Acronyms (continued)

IPC –Immediate Procedure Change

IWD – Integrated Work Document

LANL – Los Alamos National Laboratory

MDL – Master Document List

PCR – Procedure Change Request

PCRS – Procedure Change Request System

PDF - Portable Document Format

PR – Periodic Review (form)

QA – Quality Assurance

QVC – Quality Verification Checklist

RPF – Records Processing Facility

RLM – Responsible Line Manager

SME – Subject Matter Expert

USQ –Unreviewed Safety Question

5. RESPONSIBILITIES

5.1 Document Preparer, Owner/Designee

- Incorporates pending, accepted Procedure Change Requests (PCRs) when revising procedures and indicates incorporated PCR numbers in the applicable block provided on the DAR form for Electronic Document Management System (EDMS) closure of completed PCRs.
- Performs PRs of assigned documents.
- Submits approved controlled documents and the document history file (DHF) to ADEP DC for issuance in the EDMS.
- Notifies DC when controlled-copy distribution is required for a document.

5.1 Document Preparer, Owner/Designee (continued)

- Proposes whether a revision is major or minor.
- Ensures that procedure or instructions describe activities at a level of detail commensurate with the complexity of the activity and the need to ensure consistent and acceptable results.
- Determines the level of detail in written procedures or instructions based upon the complexity of the task, the significance of the item or activity, work environment, and worker proficiency and capability (education, training and experience).
- Ensures that documents identify special processes, skills and equipment.
- Prepares or revises the document.
- Ensures that a document's technical content is adequate, accurate, and complete, and that procedures are useable.
- Initiates round table review for comment resolution, if appropriate.
- Dispositions reviewer comments and signs document review form.

5.2 Responsible Line Manager

- Authorizes/Rejects document action requests.

5.3 Document Control

- Manages the overall process of developing or revising a document
- Initiates PRs; processes PRs*
- Ensures current documents are available (distributed) via the ADEP EDMS
- Maintains documentation generated in the course of developing or revising a document*
- Initiates the document review cycle*
- Assigns comment review due dates with concurrence from Document Owner/Designee*
- Submits final documents to a derivative classifier for classification review prior to obtaining signatures*
- Notifies training team when documents are ready for training development*
- Ensures that documents are prepared and revised in accordance with EP-DIR-AP-10007, Environmental Programs Procedure Preparation, Revision, Review, Approval and Use*
- Assigns document numbers for controlled documents
- Notifies the appropriate users when new documents are approved and effective or when the status of a document has changed

5.3 Document Control, continued

- Submits approved and effective versions of controlled documents to the Records Processing Facility (RPF) in accordance with EP-DIR-AP-10003, Records Management Procedure for ADEP Employees
- Reviews submitted document packages for completeness
- Generates a document impact report from the EDMS indicating active controlled documents that reference the document number being changed, cancelled, or deactivated.
- Enters a PCR in the Procedure Change Request System (PCRS) for each document in the impact report notifying the Document Owner/Designee of the change impacting the Document Owner's document.
- Notifies Document Owner/Designee when periodic review dates are coming due*
- Closes each PCR indicated on a DAR form in the EDMS PCRS module.

** Steps may be performed by the Technical Writer/Editor for LTP*

5.4 Technical Writer/Editor

- Collects comments from reviewers for new and revised documents.
- Works with Document Owner/Designee to resolve and incorporate reviewer comments.
- Maintains and uses current ADEP document templates to ensure formatting consistency.
- Uses technical content provided from Document Owner/Designee to develop draft documents.
- Proofs documents to ensure correctness of style, format, spelling, punctuation, grammar, terminology, readability, and consistency.
- Proofs documents to ensure that references are current and that sections within the document are appropriately numbered.
- Cross-checks and ensures correctness of acronyms, and references to figures, tables, attachments, appendices, and other documents.
- Works with Document Owner/Designee and reviewers to clarify inconsistencies.

5.5 Document Reviewers

- Review ADEP revision controlled documents for adequacy, completeness, technical content, accuracy and usability.
- Looks for overlaps (conflicts/changes) with other documents.
- Interacts with Document Owner/Designee and technical writer/editor to address review comments.
- Participates in comment resolution meetings, as requested.
- Completes review of document by the assigned due date.

5.6 Controlled Copy Holder

- Completes actions identified in EDMS email notification to establish and maintain controlled copies of documents as needed to support operations.

5.7 EP Personnel

- Ensure that they are working to the latest approved revision of a document by viewing the document in the EDMS or by contacting DC.
- Provide feedback to document owners when process improvement opportunities or corrections are observed in the course of using a procedure by issuing a PCR in the DCS.

6. PLANS AND PROCEDURES**6.1 Creating or Revising Plans and Procedures****Document Preparer, or Document Owner/Designee**

- Completes Section 1.0 and 2.0 of the Document Action Request (DAR), (Attachment 1); submits the DAR to DC.
 - Ensures detailed change/justification information is specified.
 - If the document replaces or supersedes an existing document then identify the existing document on the DAR in Section 2 and include in Revision History

Document Control

- For new documents – assigns a document number and provides a link to or sends the document template to the Document Owner/Designee.

Document Preparer, Document Owner/Designee

- Prepares plans and procedures in accordance with EP-DIR-AP-10007, *Environmental Programs Procedure Preparation, Revision, Review, Approval and Use*.
- For revisions – obtains the current document file from the EDMS.
- Electronically submits the draft document to DC.
 - It is preferable that the draft document be a redlined version.

Document Control or LTP Technical Writer/Editor

- Prepare document for review; commence review in accordance with EP-DIR-AP-10007, *EP Procedure Preparation, Revision, Review, Approval, and Use*

Document Preparer, Owner/Designee or LTP Technical Writer/Editor

- Compiles the Document History File (DHF)
 - Review comments/comment disposition
 - Original approval signatures on DAR and procedure
 - Other quality records such as validation and verification documentation.

6.1 Creating or Revising Plans and Procedures (continued)**Document Control**

- Prepares the document for posting to the EDMS
- Inserts training links, as required.
- Reviews the DHF for completeness; submit to the RPF in accordance with EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees*.
- Closes each PCR indicated on the DAR in the EDMS PCRS module.

6.2 Controlled Copy Distribution**Document Preparer, Document Owner/Designee**

- Notifies DC (e.g., via email) when a controlled copy of a document is required for a particular site or individual; designates a document holder for a particular site.

Document Control

- Issues controlled copy electronically in SharePoint
- Monitors and follow up on delinquent document holder acknowledgements.

Controlled Copy Holder

- Completes actions identified in the controlled copy distribution and follow instructions in the notification (e.g., via email) to acknowledging receipt and completion.

Shift Operations Manager/Designee

- If the normal controlled distribution methods (electronic controlled document or EDMS) are not available, a Shift Operations Manager or designee may issue a controlled hardcopy document as follows:
 - Prints the required document from a controlled document source, (e.g., Environmental and Waste Management Facility Operations (EWMO) Facility Procedure Manuals), ensuring it is the current revision. It is the Shift Operation Manager's or designee's responsibility to ensure that the controlled document in use is current at all times;
 - Identifies distribution list
 - Marks the document cover sheet as a controlled copy – "Controlled Copy" and initial and date/time the cover sheet.
 - If the document is a new document, then on the next scheduled work day, the Shift Operations Manager or designee notifies the Document Control that a "Controlled Document" was issued. Document Control processes the document in accordance with this procedure.

6.3 Using ADEP Controlled Documents

EP Personnel

Obtains electronically controlled documents by accessing the EDMS or through a designated controlled copy holder.

The EDMS is located at the following online address:

<http://adep.lanl.gov/epdc/EPDCS/default.aspx>.

Printed copies of controlled documents are either working copies or information-only copies; working copies must be marked as such. Working copies must be verified as current against the EDMS or a “controlled” copy before use. Information-only copies are for reference purposes only and are not to be used to perform work.

- Disposes of cancelled and superseded documents or mark the documents as “Information Only” in the workplace to ensure they are not used to perform work.

6.4 Document Periodic Review Notifications

Document Control

NOTE: The EDMS provides view capability for periodic reviews due in 90/60/30 days as well as for overdue for periodic review documents. Document Owner/Designees are encouraged to use these views to monitor periodic review requirements.

- Notifies the RLM, Document Owner/Designee, and Procedure Development Office of documents coming up for or due for periodic review via a monthly report or email indicating reviews due in 90/60/30 days and reviews overdue or documents currently overdue for a periodic review as defined in P315, Conduct of Operations Manual.
- Upon receipt of a Periodic Review Form (PR) form, scans the PR as a Portable Document Format (PDF) and inserts it at the beginning of the document for loading.
- Changes the next review date in the EDMS.
- Includes the PR form in the DHF for submittal to records.

6.5 Deactivation/Cancellation of Controlled Documents

Document Preparer, Document Owner/Designee

- If a controlled document is being deactivated, completes a DAR or a Master Document List (MDL) Action Request (MDLAR) Action Request for the document action and obtains concurrence from the Document Owner/Designee.
- If a controlled document is being cancelled, completes a DAR or a MDL Action Request (MDLAR) for the document action and obtains concurrence from the disciplines that provide a review of the same type and level as a major revision.
- Submits the completed DAR or MDLAR form with DHF to DC.

Document Control

- Reviews the DAR or MDLAR form and DHF to ensure that the document deactivation or cancellation contains approval signatures.
- Updates the EDMS indicating deactivation or cancellation of the document.

6.5 Deactivation/Cancellation of Controlled Documents (continued)

- Sets metadata such that an auto notification is sent to the affected ADEP personnel.
- See Section 6.2 for Controlled Copy Distribution.

6.6 Procedure Feedback Process**Procedure User**

- If process improvement opportunities or corrections are observed in the course of using a procedure,
 - accesses the PCRS in the ADEP EDMS,
 - adds a PCR to the system providing a clear description of the change requested and justification for the change, and
 - receives notification of document owner disposition of the PCR via email from the EDMS.

Document Control

- If processing a procedure revision involving a number of changes or a procedure cancellation or deactivation,
 - generates a document impact report from the EDMS indicating the active controlled documents that reference the document number being changed, cancelled, or deactivated, and
 - enters a PCR in the EDMS PCRS for each document in the impact report notifying the Document Owner/Designee of the change impacting the Document Owner's document.

Document Preparer, Owner, or Designee

- Receives notification of a PCR posted against their document via email through the EDMS.
 - accesses the PCR by PCR number in the EDMS PCRS.
 - updates the PCR entry to reflect disposition plans for the request including "Accept/Reject," (*Immediate Attention Required* or *At Next Revision*) and "Rejection Explanation," as applicable.

7 INTEGRATED WORK DOCUMENTS (IWDs)

IWDs are generated, reviewed, and approved in accordance with P300, *Integrated Work Management*.

- Submit completed IWD to Document Control.
- identify the Unreviewed Safety Question (USQ) number, where applicable
- Submit the Pre-Job Briefing documentation to the RFP in accordance with EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees*.

8 ENGINEERING DOCUMENTS

Engineering documents are generated and revised in accordance the governing engineering procedure.

- Submit signed documents to DC for posting in the EDMS.
 - Engineering documents that are included in the MDL must be documented on the MDLAR in accordance with AP-341-403, Master Document List.
 - Changes to engineering documents that are included in the MDL must be documented on the Master Document List Action Request (MDLAR) in accordance with AP-341-403, *Master Document List*.

9. RECORDS PROCESSING

Document Control

Submits the completed DHF to the RPF in accordance with EP-DIR-AP-10003, *Records Management Procedure for ADEP Employees* in the following order:

- DAR
- Cover Sheet
- Document
- Concurrences
- Check Lists (if applicable)
- Hazard Analysis (if applicable)
- Email Notifications

Record Identification	Record Type Determination	Protection/Storage Methods	Processing Instructions
DHF	Quality Assurance (QA)	Submit records in accordance with EP-DIR-AP-10003, <i>Records Management Procedure for ADEP Employees</i> .	When the records are ready for final disposition, the record is transferred to Records Management in accordance with EP-DIR-AP-10003, <i>Records Management Procedure for ADEP Employees</i> .

10. ATTACHMENTS

Attachment 1, *Document Action Request*

[Click here for "Required Read" credit.](#)

ATTACHMENT 1
Document Action Request
Page 1 of 2

Document Action Request			
Section 1 – Originator Request			
Document No.:		Revision No.:	
Title:		Page <u> 1 </u> of <u> </u>	
Description of requested action (Attach numbered additional sheets if needed.):			
Originator Name (print):	Z#:	Organization:	Date:
Section 2 – Responsible Manager Approval for Processing (see P315, Att. 16, Section 16.5.1.c)			
<input type="checkbox"/> New Procedure	<input type="checkbox"/> Minor Revision	<input type="checkbox"/> Deactivation	<input type="checkbox"/> Perform Concurrent Periodic Review?
<input type="checkbox"/> Superseded Document(s) and Revision Number:	<input type="checkbox"/> Major Revision	<input type="checkbox"/> Cancellation	
<input type="checkbox"/> Approved	<input type="checkbox"/> Disapproved (return to originator)	Comments:	PCRs
Signature:	Print Name, Title:	Z#:	Date:
Section 3 – Hazard Grading (see P315, Att. 16, Section 16.5.1.f)			
Hazard Determination:	<input type="checkbox"/> Low	<input type="checkbox"/> Moderate	<input type="checkbox"/> High/Complex <input type="checkbox"/> N/A
Document is authorized to serve as IWD?	<input type="checkbox"/> Part I only	<input type="checkbox"/> Full IWD	<input type="checkbox"/> N/A
Section 4 – Required Reviews (see P315, Att. 16, Section 16.5.3)			
Discipline:	Name:	Signature:	Date:
Validation Required:	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Waive	Comment:	
Scope of Validation:	<input type="checkbox"/> Entire Procedure <input type="checkbox"/> Change Only		
Validation Method:	<input type="checkbox"/> Walkdown <input type="checkbox"/> Simulation <input type="checkbox"/> Tabletop		
Training Determination completed?:	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	Completed by:	
USQ/USI Number (if needed):	Signature: N/A	Z#: N/A	Date: N/A
Derivative Classifier: <input type="checkbox"/> OOU <input type="checkbox"/> UCNI <input type="checkbox"/> Classified	Signature: N/A	Z#: N/A	Date: N/A
<input type="checkbox"/> DUSA DUSA #	Signature: N/A	Z#: N/A	Date: N/A
Section 5– Final Approvals			
<input type="checkbox"/> Release <input checked="" type="checkbox"/> Hold	Details: Release on effective date.		
Responsible Manager Signature:	Print Name, Title:	Z#:	Date: