Quality Procedure (QP) Interim Change Notice (ICN)

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Add and change the following sections:

6.7.3 The DCC shall initiate an ECR Document Signature Form to accompany the procedure review form.
6.7.4 If the procedure is deemed adequate, the DCC shall note this on the procedure revision log in the procedure along with the date and name of person approving.
6.7.5 The DCC shall transmit a hard copy of the final procedure review form along with its associated document signature form to the Records Processing Facility (RPF).
6.7.6 The DCC shall update the procedure status in the MDL date and comment section for the specified procedure upon receipt of the procedure-review form.

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Clarification of process for procedure review to provide more precise records and control.

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(Print name, then sign.) (Date)

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10. Team Leader: Phil Noll (Signature on file) 10/6/05
(Print name, then sign.) (Date)

11. Technical Reviewer: Phil Noll (Signature on file) 10/6/05
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12. QPPL: Fred Briggs (Signature on file) 10/6/05
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Author: **Cheri Vidlak**	

Los Alamos NATIONAL LABORATORY EST. 1943

Environmental Stewardship—
Environmental Characterization and Remediation

Quality Procedure

for

Document Control and Distribution

☑ **NES Approved**

Responsible Division Leader: Doug Stavert	Signature & Date 12/17/05
Responsible Line Manager: Alison Dorries	Signature & Date 12/14/05

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Revision Log

Revision No.	Effective Date	Prepared By	Description of Changes	Affected Pages
0	8/25/99	Barry Drennon	New Procedure	All
1	9/25/02	E. Jeanne Hamilton	Complete rewrite; document current-improved process.	All
2	7/27/05	Cheri Vidlak	Complete rewrite; title change, revised to new format, include new programmatic and process changes.	All
2,ICN1	10/6/05	Cheri Vidlak	Clarification of process for procedure review to provide more precise records and control.	10

Document Control

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List of Acronyms and Abbreviations

BEP	building emergency plans
CFR	Code of Federal Regulations
DCC	document control coordinator
DI	desk instruction
DD	design document
DM	document manager
ECR	Environmental Characterization and Remediation Group
ERS	Environmental Remediation and Surveillance Program
ENV	Environmental Stewardship Division
HCP	hazard control plan
HSRM	health and safety requirements manual
ICN	interim change notice
LANL	Los Alamos National Laboratory
MDL	master document list
QMP	quality management plan
QP	quality procedure
SME	subject matter expert
SOP	standard operating procedure
SWRC	Solid Waste Regulatory Compliance Group

Document Control

1.0 PURPOSE

This quality procedure (QP) states the responsibilities and describes the process for controlling, maintaining, and distributing controlled documents within the Los Alamos National Laboratory (LANL) Environmental Stewardship (ENV) Division— Environmental Characterization and Remediation (ECR) Group to ensure that only the latest revisions of documents are available for use. This procedure integrates the criteria of the "ENV-ECR Quality Management Plan," hereinafter referred to as the "Quality Management Plan (QMP)."

This procedure provides the mechanism to comply with document control requirements in 10 CFR 830 Subpart A, Quality Assurance Requirements and ENV-IMP, Integrated Management Plan.

2.0 SCOPE

This QP applies to all documents generated by all ECR organizational elements that establish policy, specify requirements, or prescribe activities, operations, maintenance, safety and security, or quality processes and that are made available either through electronic media or distributed in hard copy form.

Documents in use when this procedure becomes effective will be acceptable for use until that document is revised.

3.0 TRAINING

3.1 **Participants** shall train (e.g., by reading and/or classroom) to and use the current version of this QP; contact the author of this QP if the text is unclear.

3.2 **Participants** using this QP shall document training in accordance with QP-2.2, "Personnel Training Management," using the training documentation link below if they possess a CRYPTOCard and administrative authority to the Laboratory employee development system (EDS), or using the Training Documentation Form located in the forms section of the ENV-ECR web page.

3.3 The responsible **project leader (PL)** shall monitor the proper implementation of this procedure.

3.4 The responsible **team leader** shall ensure that the appropriate personnel complete all applicable training assignments.

3.5 **Participants** may request any needed assistance with implementation of this procedure from the ECR Document Control Coordinator (DCC) or the ECR Document Manager (DM).

4.0 DEFINITIONS

Note: Definitions specific to this procedure

4.1 *controlled document*—a written or pictorial compilation of information that prescribes processes, specifies requirements, establishes design and are issued either electronically or in hard copy. Controlled documents should not be confused with records or other documents that may be work products. Controlled documents are "controlled" (meaning the next revision is made available to those who need it) to guide or specify how processes must be performed.

4.2 *controlled document file*—The controlled document file contains the final approved copies of the document to be controlled and provides the copies from which hard copy distribution is made. An electronic file is also maintained for controlled documents.

4.3 *effective date*—the date an approved controlled document becomes available for use.

4.4 *master document list (MDL)*—a controlled reference system (maintained by the DCC) that is used to determine the latest revision of a document. This list also includes information related to the issue history of controlled documents, (e.g., superseded and deleted documents.)

5.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities identified in this procedure:

- document control coordinator (DCC)
- document manager (DM)
- document or procedure preparer (author)
- participants
- project leader (PL)
- team leader

6.0 PROCEDURE

Note: All ERS/ECR document types listed in the table below are considered controlled documents and will receive a unique controlled document number.

Controlled Document Types (not all inclusive)
Building Emergency Plans
Conduct of Operations Policy Manual (CoOps)
Design Documents
Desk Instructions
Document Approval Requirements Matrix
Hazard Control Plans
Health and Safety Requirements Manual
Quality Management Plan
Quality Procedures
Standard Operating Procedures
Work Plans (ACA, ACM, IMP, IWP, SAP, etc)

Table 6-1

6.1 Requesting Controlled Documents

6.1.1 **Participants** may obtain electronically controlled documents by accessing the ECR Web Page via the Internet.

6.2 Distributing Controlled Documents

Note: Distributions of controlled procedures are made for three major reasons: a new procedure is being released, a current procedure is being replaced by a revision, or an individual has requested a copy of one or more existing procedures.

Note: Any individual outside ECR may request to be notified when a new controlled procedure is issued by contacting the DCC.

6.2.1 The **DCC** maintains a log of group procedures and their numbers in the master document list (MDL).

6.2.2 When a request for a new number is made, the **DCC** issues new numbers to the document preparer of a controlled document and records the new title and number in the MDL.

6.2.3 The **DCC** receives the final approved controlled document ready for distribution from the document preparer.

6.2.4 On the Word version of the document, the **DCC** shall type in the effective date on the first page header and in the Revision Log on the second page (if appropriate).

6.2.5 The **DCC** shall notify the document manager (DM) about the new or revised controlled document.

6.2.6 The **DM** shall notify the group Training Coordinator about the new or revised procedure.

6.2.7 The **DCC** shall convert the Word version of the new document to PDF format.

6.2.8 The **DCC** shall move the PDF version and the Word version of the document to the Controlled Document file on the ECR Group network server.

6.2.9 The **DCC** shall move superseded documents (both Word and PDF versions) from “current” folders into “superseded” folders.

Note: Only certain individuals have electronic permission to add or delete files in this folder.

6.2.10 The **DM** shall request the web administrator to post the new or revised PDF document (and remove superseded documents) to the group web page where controlled documents are available.

6.3 Maintenance of Superseded Controlled Documents

Copies of superseded documents are available for reference, if needed. These copies are maintained by the DCC and are available on the group’s internal server in the “Controlled Documents” file.

Note: Only certain individuals have electronic permission to access files in this folder.

6.4 Document Approval Requirements Matrix

Note: The document approval requirements matrix designates the review and approval requirements for the ENV-ECR document signature form.

6.4.1 The **DCC** shall control, update, and maintain the document approval requirements matrix.

6.4.2 The **DCC** shall ensure any changes to the document approval requirements matrix are approved by the appropriate authorities (e.g., ERS program manager, ECR group leader, LANL legal counsel, SWRC group leader, etc.).

6.4.3 The **DCC** shall update the controlled electronic file of the matrix on the ER intranet.

6.4.4 The **DCC** shall send a .PDF version of the revised matrix to the DM for web publishing.

6.4.5 The **DCC** shall update the document control signature form approval requirements, if necessary, in the controlled access master document (MD) database located on the ER intranet.

Note: Any changes to the MD database automatically change the approval requirements on the document signature form.

6.5 Retirement of a Controlled Document

6.5.1 Upon retirement of a controlled document, the **DCC** shall remove the document from the active file and place it in the appropriate archive file of the MDL.

6.5.2 The **DCC** shall notify the DM and the training coordinator that the document has been retired.

6.6 Document Records

6.6.1 The **DCC** shall ensure a hard copy of the final document and its associated document signature form are delivered to the peer review task leader.

6.6.2 The **DCC** shall transmit a hard copy of the final controlled document or procedure along with its associated document signature form to the Records Processing Facility (RPF).

6.7 Periodic Procedure Review

Note: Procedures must be reviewed periodically for accurateness.

6.7.1 The QPPL shall request each procedure owner to review the process to determine if the procedure accurately describes the process followed.

6.7.2 If the procedure needs revision, the **procedure owner** shall initiate the procedure review form (Attachment A) and submit it to the DCC.

6.7.3 The **DCC** shall initiate an ECR Document Signature Form to accompany the procedure review form.

6.7.4 If the procedure is deemed adequate, the **DCC** shall note this on the procedure revision log in the procedure along with the date and name of person approving.

6.7.5 The **DCC** shall transmit a hard copy of the final procedure review form along with its associated document signature form to the Records Processing Facility (RPF).

6.7.6 The **DCC** shall update the procedure status in the MDL date and comment section for the specified procedure upon receipt of the procedure-review form.

7.0 LESSONS LEARNED

7.1 Before performing work described in this QP, **participants** should go to the Department of Energy Lessons Learned Information Services home page, located at http://www.tis.eh.doe.gov/ll/ll.html, and/or to the LANL Lessons Learned Resources web page, located at http://www.lanl.gov/projects/lessons_learned/, and search for applicable lessons.

7.2 During work performance and/or after the completion of work activities, **participants**, as appropriate, shall identify, document, and submit lessons learned in accordance with the LANL, Lessons Learned System.

8.0 RECORDS

The **DCC** shall submit the following records to the Records Processing Facility, in accordance with QP-4.4:

- New documents, revisions to documents, interim change notices and procedure review forms
- Associated document signature form

9.0 REFERENCES

To implement this QP properly, **participants** should become familiar with the contents of the following documents:

- 10 CFR 830 Subpart A, Quality Assurance Requirements
- ENV-ECR, Quality Management Plan (QMP)
- ENV-IMP, Integrated Management Plan
- QP-2.2, Personnel Training Management
- QP-4.4, Record Transmittal to the Records Processing Facility

10.0 ATTACHMENTS

The **participant** using this QP may locate all forms associated with this procedure at http://erinternal.lanl.gov/Quality/user/forms.asp.

Attachment A: Procedure-Review Form, 1 page

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 ENV-ECR training specialist.

Procedure-Review Form

I reviewed [Procedure ID] _____, Rev. __, [Title] _____
_____, [Effective Date] _____, and determined that the procedure

☐ documents current processes and is adequate for intended use.
(Complete checklist below before checking this box.)

- ☐ Organization, personnel titles, and personnel responsibilities align with current organizational structure.
- ☐ References, documents, records, and forms align with current practices/processes.
- ☐ Process flow charts, tables, and figures represent current practices/processes.
- ☐ Methods and procedures align with current practices/processes.

☐ requires revision.
(Complete information below before checking this box.)

_____:
(Revision Author)

_____:
(Projected Completion Date)

Comments:

_____
_____
_____
_____
_____
_____
_____
_____

_____
(Print name and sign.) (Date)

QP-4.5, R2	**Los Alamos National Laboratory** **ENV-ECR**