

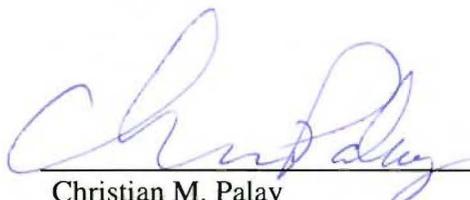


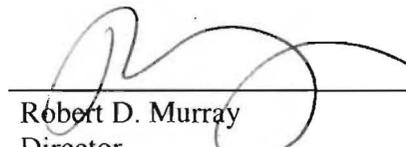
**Office of Environmental Management (EM)**

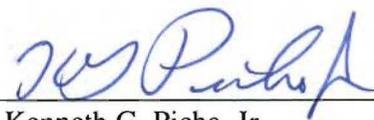
**Subject: Document Control**

Administrative Procedure

---

Preparer:  4/26/2011  
Christian M. Palay  
Office of Standards and Quality Assurance  
Date

Approved:  4-27-2011  
Robert D. Murray  
Director  
Office of Standards and Quality Assurance  
Date

Concurrence:  4-27-2011  
Kenneth G. Picha, Jr.  
Acting Deputy Assistant Secretary  
Safety and Security Program  
Date

## 1.0 PURPOSE

- 1.1 The purpose of this procedure is to establish responsibilities and processes for controlling documents applicable to the oversight of high-level waste (HLW) or used nuclear fuel (UNF) programs at Environmental Management (EM) sites.

## 2.0 SCOPE

- 2.1 The scope of this procedure is controlled documents for the Environmental Management (EM) High Level Waste (HLW) and Used Nuclear Fuel (UNF) Independent Oversight Program.

## 3.0 APPLICABILITY

- 3.1 This procedure applies to EM personnel and contractors that participate in quality assurance (QA) oversight activities for the EM HLW and UNF Independent Oversight Program.

## 4.0 REQUIREMENTS and REFERENCES

### 4.1 Requirements

- 4.1.1 Quality Assurance Requirements and Description (QARD), DOE/RW-0333P, Revision 20
- 4.1.2 EM-QA-002, Quality Assurance Program Plan (QAPP)

### 4.2 References

- 4.2.1 AP-17.1Q, Quality Assurance Records

## 5.0 DEFINITIONS and ACRONYMS

N/A

## 6.0 RESPONSIBILITIES

- 6.1 Director, Office of Standards and Quality Assurance
- 6.1.1 Responsible for the review and approval of controlled documents.
- 6.2 QA Lead, Office of Standards and Quality Assurance
- 6.2.1 Responsible for identifying the need for a controlled document.
- 6.2.2 Responsible for the writing and assembly of controlled documents.

6.3 EMCBC Office of Logistics Management

6.3.1 Responsible for maintaining configuration control, change control, and coordination of periodic reviews of controlled documents.

6.3.2 Responsible for the maintenance/use, storage, protection, retrieval and final disposition of controlled documents.

7.0 GENERAL INFORMATION

7.1 This procedure prescribes the Office of Standards and Quality Assurance process for controlling documents. It describes a system for ensuring that correct versions of documents meeting the definition of a controlled document are distributed to appropriate personnel, in either hard copy or electronic form, and are available for use at the locations where the work is being performed.

8.0 PROCEDURE

8.1 Issuance of a Controlled Document

8.1.1 The author shall provide the following to document control:

- Approved original document in its entirety;
- Electronic version of the original document in Microsoft Word;
- Any applicable support documentation.

8.1.2 The EMCBC Office of Logistics Management reviews the original document package for legibility, correctness, and completeness. For example:

- Approval signatures (document changes, other than those defined as editorial changes, shall be reviewed and approved by the same organization that performed the original review and approval).
- Editorial changes (approval is only required by the organization responsible for preparing the document and a QA reviewer, along with an explanatory note).
- Document completeness (document type, number and revision, and place to fill in effective date, correct pagination, change bars, and electronic copy).
- Reviews and comment resolutions are documented in Form 6.1-1, Document Review and Comment (DRC) Sheet.

8.1.3 Issues of legibility and completeness will be resolved with the author before distribution. After determining that the package is complete, the EMCBC Office of Logistics Management updates the controlled documents database.

## 8.2 On-Line Documents

8.2.1 The EMCBC Office of Logistics Management will place the approved controlled document (electronic version) on-line with “read-only” access. The on-line document will reflect the approval authorizations and the effective date. As part of placing the document on-line, the staff will ensure a notation similar to the following is placed near the top of the first page of the document: “IMPORTANT NOTICE: The current official version of this document is available via the EMCBC on-line documents webpage. A printed copy of this document may not be the version currently in effect.”

8.2.2 The EMCBC Office of Logistics Management will print the document, compare the on-line document against the signed original to ensure that the hard copy and the on-line document are identical, and resolve any discrepancies.

8.2.3 Only documents residing on-line or those issued with red controlled document numbers are official controlled documents. If an on-line document is printed, it is not considered to be a controlled document. It is considered to be an “Information Only” copy.

## 8.3 Hard Copy Distribution

8.3.1 If a hard copy distribution is necessary, the EMCBC Logistics Staff shall:

- Reproduce the necessary number of copies according to an appropriate distribution list.
- Stamp or print each copy with the “Controlled Document” label and using red ink assign a unique control number.
- Generate Form 6.2-2, Transmittal/Recall Acknowledgement of a Controlled Document, for each copy of the document, attach it to the corresponding controlled document, and distribute.

8.3.2 Document recipients acknowledge the receipt of a document by completing Form 6.2-2 as instructed, and returning it to the EMCBC Office of Logistics Management within a reasonable time frame (preferably less than 30 days). The completed form must have the appropriate box checked, a signature, and a date. Upon receipt of Form 6.2-2, the EMCBC Office of Logistics Management shall update the controlled documents database.

8.3.3 If the recipient retains a superseded document, the front page shall be marked "Superseded." Such copies shall be kept physically separate from the most current, active controlled document.

#### 8.4 Changes to Hard Copy Distribution

8.4.1 The document recipient or author shall complete Form 6.2-1 and submit the form to the EMCBC Office of Logistics Management if:

- A replacement of a hardcopy controlled document is needed;
- An addition to hardcopy distribution is required;
- A deletion from hardcopy distribution is required.

8.4.2 Requests for a document may be made by telephone or e-mail. The EMCBC Office of Logistics Management shall prepare a Form 6.2-1 at the time of the request.

8.4.3 The EMCBC Office of Logistics Management shall update the controlled documents database and distribution lists and makes any necessary distribution as requested on the form.

#### 8.5 Recall of a Controlled Document

8.5.1 When a controlled document and its unique document control number is no longer needed or used, the author or QA Lead shall complete Form 6.2-1 and submit it to the EMCBC Office of Logistics Management who are responsible to:

- Update the controlled documents database.
- Generate and distribute the Transmittal/Recall Acknowledgement of a Controlled Document, Form 6.2-2, to recipients of hard copies.
- Notify the personnel by e-mail for further dissemination.
- Remove the document from the on-line documents webpage.

8.5.2 Document recipients acknowledge the recall of a document by completing Form 6.2-2 as instructed, and returning it within a reasonable time frame (preferably less than 30 days). The completed form must have the appropriate box checked, a signature, and a date. Upon receipt of Form 6.2-2, the EMCBC Office of Logistics Management shall update the controlled documents database.

- 8.5.3 If the recipient retains a recalled document, the front page shall be marked “Recalled”. Such copies shall be kept physically separate from current, active controlled documents.

9.0 RECORDS MAINTENANCE

- 9.1 The forms and controlled documents generated through implementation of this procedure shall be prepared and submitted to the EMCBC in accordance with AP-17.1Q, Quality Assurance Records.

10.0 FORMS USED

Form 5.1-1, Record of Revision

Form 6.2-1, Distribution/Recall of a Controlled Document

Form 6.2-2, Transmittal/Recall Acknowledgement of a Controlled Document

11.0 ATTACHMENTS

N/A

12.0 FLOWCHART

N/A

**Form 6.2-1 – Distribution/Recall of a Controlled Document**

	<b>Distribution/Recall of a Controlled Document</b>	<b>Form Number: 6.2-1 Page 1 of 1</b>
Please type or print. If new or revised document, include one (1) ORIGINAL copy of the document to be copied for distribution and associated review documentation, if any, and electronic copy, preferably in Word.		
<b>Requester's Name</b> _____ <b>Org</b> _____		
<b>Document Title(s)</b>	<b>Document Type/Number</b>	<b>Revision</b>
<b>Please check all that apply:</b> This is a/an <input type="checkbox"/> entirely new document. <input type="checkbox"/> revision; change bars are included (previous revision is superseded). <input type="checkbox"/> recall Document _____ Revision _____. It is being replaced by the Document listed above. (a copy of this form will also be placed in the records package of the recalled document) <input type="checkbox"/> recall. Reason for recall: _____ <input type="checkbox"/> request for replacement of hardcopy of the Controlled Document(s) listed above. <input type="checkbox"/> request to be added to the hardcopy distribution list for the Controlled Document(s) listed above. <input type="checkbox"/> request to be deleted from the hardcopy distribution list for the Controlled Document(s) listed above.		
<b>List any form(s) within the document appendices to be made into templates:</b>  _____ _____		
<b>List of Recipients who need controlled paper copies:</b> (Fill out this section only if recipients do not have access to the web)		
<u>Recipient</u>	<u>Address</u>	
_____ Requester's Signature	_____ Date	

Form 6.2-2 – Distribution/Recall Acknowledgement of a Controlled Document

<b>Transmittal/Recall Acknowledgement of a Controlled Document</b>		<b>Form Number: 6.2-2 Page 1 of 1</b>
Date _____		
To _____ Org _____		
From: Document Control		
Document ID _____ Revision _____		
Document Title _____ _____		
Number of Pages _____		
Control Number _____		
Instructions:		
↑ This is a new controlled document.		
↑ This is a new controlled document replacing _____ Revision _____ (which is now considered recalled). Discard the recalled document or prominently mark as "Recalled" place in a location separate from other controlled documents)		
↑ This document supersedes _____ Revision _____		
Discard the superseded document or prominently mark as "Superseded" and place in a location separate from the most current, active controlled document.		
↑ The EMCBC Staff is recalling this document. Discard the recalled document or prominently mark as "Recalled" and place in a location separate from other controlled documents.		
Please check all that apply, sign and date.		
↑ I acknowledge receipt of this document.		
↑ I have performed the above action(s) and, if applicable, superseded/recalled documents have been discarded or marked "Superseded/Recalled" and placed in a location separate from other controlled documents		
↑ I do not require this document; please remove me from distribution. Document has been destroyed		
_____ <i>Signature</i>		_____ <i>Date</i>
Please return this form by _____ To: _____		

**RECORD OF REVISION**

**DOCUMENT: AP-6.2Q, Document Control**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

---

<b>Rev. No.</b>	<b>Description of Changes</b>	<b>Revision on Pages</b>	<b>Date</b>
0	Original	All	04/27/2011