



Rocky Mountain
Remediation Services, L.L.C.
... protecting the environment

PROCEDURE

DOCUMENT CONTROL PROGRAM

DC-06.01

Revision 0

Date Effective: 02/17/97

APPROVED: _____

[Signature]
Sr. Vice President, Administration

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1.0 PURPOSE

This procedure provides direction for the identification, revision control, issuance, receipt, and disposition of RMRS controlled documents. These instructions ensure that controlled documents are identified, protected, distributed to and used at the locations where the prescribed activities are performed.

This procedure implements DOE Order 5700.6C, Quality Assurance; 10 CFR 830.120, Quality Assurance Requirements; DOE Order 5480.19, Conduct of Operations; and Section 6.4.1 of the RMRS Quality Assurance Program Description (QAPD) (RMRS-QAPD-001).

2.0 SCOPE

This procedure applies to all RMRS employees and subcontractors involved in the preparation and/or use of RMRS controlled documents for quality affecting activities or processes. This procedure only applies to documents developed and controlled for use within RMRS or RMRS subcontractors.

Note: Document identification numbers for all controlled documents are assigned and maintained by the RMRS Document Control (DC) staff. DC maintains a block of document and Document Modification Request (DMR) numbers provided by the K-H Policy & Procedures organization for Site level documents generated by RMRS personnel. (Electronic copies of the DMR are also available through RMRS DC.) DC facilitates transmittal of Site-level documents to Site Document Control for maintenance and distribution.

This document does not apply to correspondence control, drawing control, or forms control.

3.0 DEFINITIONS

The following definitions are specific to this procedure. Other terms used may be located in the Quality Assurance Glossary of Terms in the Site Quality Assurance Manual, or in the RFETS Site Documents Requirements Manual (SDRM) Glossary of Terms. (Both of these documents are available in the RMRS Model Offices.)

Controlled Copy. A copy of an active, current, approved, controlled document used by an individual to perform work.

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Controlled Copy Number. The unique number assigned to an individual's copy of a controlled document

Controlled Document. For the purposes of this procedure, a controlled document is an active, current, approved document generated to support RMRS activities and is used to describe how work is to be accomplished, to produce quality affecting data, and to support and affect a Rocky Flats Cleanup Agreement (RFCA) decision or deliverable. This includes, but is not limited to, policies, program directives, manuals, procedures, instructions, plans. (See SDRM for new definitions of these document categories.) A controlled document is also used when national security, health, safety, and the environment is impacted and when identified by RMRS organizations as requiring control. Refer to RMRS Controlled Document Type List, Appendix 1.

Controlled Document Distribution List. A list prepared and updated by the Responsible Manager, and maintained by RMRS DC, that identifies the individuals designated to receive a specific controlled document and any changes.

RMRS Document Control. The functional organization in RMRS responsible for the maintenance and distribution of RMRS controlled documents.

Document Control Log. A log maintained either electronically or in hard copy maintained by the RMRS DC that identifies all RMRS controlled documents.

Information Only Copy. A copy of a controlled document that is distributed for information purposes only. Such documents are stamped "INFORMATION ONLY," and are excluded from capture in the RMRS DC Log. Work cannot be performed to an Information Only copy.

Canceled or Obsolete Document. A document that is no longer required for program/project use, will not be superseded, and is removed from controlled distribution.

Site-Level Controlled Document

A document that has Site-applicable requirements and instructions and is used site-wide.

Superseded Document. A previously released controlled document that has been replaced in its entirety by another controlled document or revision.

4.0 RESPONSIBILITIES

4.1 Responsible Manager (functional title)

- Identify documents within respective organization that are to be controlled.
- Ensure that controlled documents are generated, reviewed, and approved in accordance with applicable procedures.
- Obtain unique document identification number and/or revision indicator from RMRS Document Control.
- Ensure documents meet records acceptance criteria stated in 1-V41-RM-001, Records Management Guidance for Records Sources, Section 6.3. (May refer to the last eight items in Appendix 3.)
- Provide master document, DHF, and electronic copy of document to RMRS Document Control for distribution and maintenance.

- Ensure that documents under their cognizance are changed, revised, superseded, or canceled when needed.
- Ensure identified personnel are aware of and understand the requirements of this procedure.

4.2 RMRS Document Control (functional title)

- Assign, log, and track controlled document numbers.
- Prepare document or binder covers, if appropriate.
- Maintain and distribute RMRS controlled documents.
- Facilitate transmittal of Site-level documents generated by RMRS to Site Document Control for maintenance and distribution.
- Remove superseded or canceled documents from service.
- Ensure the maintenance and protection of current document/revision and DHFs, and transmit to RMRS Records Center when document is revised, superseded, or canceled.

Note: Documents related to the Waste Isolation Processing Plant (WIPP) Project shall be transmitted to the WIPP Project File.

4.3 Controlled Copy Holders (functional title)

- Provide receipt acknowledgment and handle documents in accordance with this procedure.

4.4 RMRS Records Center (functional title)

- Index and maintain previous controlled document revisions and DHFs.
- Transmit records to Site Records Management for archival.

5.0 INSTRUCTIONS

5.1 Identify Controlled Documents

RMRS Managers identify documents within their respective organization that are to be controlled. (Refer to Controlled Document definition above, and RMRS Controlled Document Type List, Appendix 1.)

5.2 Prepare, Review, and Approve Controlled Documents

Responsible Manager determines the need for a document or change and whether the document applies only to RMRS or has Site-applicable requirements and directions (Site-level). (Ref. QA-05.01, Preparation and Control of RMRS Documents.)

Site-Level Documents

- (1) Site personnel prepare and revise documents in accordance with the provisions of SDRM.
- (2) Distribute and control in accordance with Site procedure 1-77000-DC-001, Document Control Program. (RMRS DC will facilitate this process.)

RMRS Internal Documents

- (1) RMRS personnel prepare, revise, review, and approve documents in accordance with RMRS procedure QA-05.01, Preparation and Control of RMRS Documents.
- (2) Responsible Manager initiates document using the Controlled Document Checklist, Appendix 2. (Becomes part of the DHF when completed.)

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5.3 Control Process

Note: Logs maintained electronically will have a process to ensure daily backup.

RMRS DC

- (1) Provide document identification numbers and revision numbers from Document Control Log.
- (2) Verify document and DHF contents against Receipt Acceptance Criteria Checklist (Appendix 3).
- (3) Prepare document or binder covers, if appropriate.
- (4) Assign each copy holder a copy number.
- (5) Prepare Document Transmittal Acknowledgment Notice (DTAN), Appendix 4, and instructions.
- (6) Develop or update a Table of Contents, if appropriate.
- (7) Stamp document copies with a red ink CONTROLLED COPY stamp and write in copy holder number.
- (8) Distribute document with the DTAN and instructions to identified copy holder by the Effective Date established with the approving manager.
- (9) Distribute INFORMATION ONLY copy of document to Standards Management organization, in accordance with SDRM.
- (10) Update and maintain Document Control Log(s). The Log(s) may be in electronic or hard copy form and will contain:
 - document number and title
 - originating organization,
 - revision number,
 - controlled distribution list, and
 - date issued.
- (11) Maintain current master controlled document, disk copy, and current DHF in one-hour fire rated cabinets.
- (12) When revised, superseded, or canceled, forward document or previous revision, as applicable, and DHF to RMRS Records Center for protection and subsequent disposition. Documents related to the Waste Isolation Processing Plant (WIPP) Project shall be transmitted to the WIPP Project File.

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5.4 Copy Holder Receipt of Controlled Documents

Controlled Copy Holder

- (1) Sign and date the DTAN to acknowledge receipt of the document and compliance with instructions.
- (2) Follow all instructions on the instruction sheet, including removal and destruction of superseded or cancelled documents.
- (3) Return the DTAN to the RMRS DC **within the time specified.**

5.5 Receipt Follow-up

Document Control

- (1) If a copy holder does not acknowledge receipt of the controlled document with the time specified, issue a 2nd Notice (Appendix 5).
- (2) After an additional ten working days, notify the copy holder and the copy holder's manager that the copy holder has been removed from controlled distribution, and request return of the controlled copy.

5.6 Changes in Controlled Distribution

Note: Controlled documents are not to be transferred from one copy holder to another, unless the copy is audited for completeness and current status by DC, and the controlled distribution log is revised.

- (1) Responsible manager notifies RMRS DC of changes in controlled copy holder and location, etc.

5.7 Information Only Copies

Copies of controlled documents not used to perform work are stamped INFORMATION ONLY and are not subject to updates.

5.8 Disposition of Controlled Documents

Note: Copy holder may retain canceled or obsolete document for information only provided the document is stamped by DC.

- At 2-12-98*
- (1) Responsible Manager notifies RMRS DC to cancel a controlled document by completing and forwarding a Guidelines for Procedure Disposition form (Appendix 6).
 - (2) DC notifies all copy holders of canceled documents with instructions on a DTAN.

RMRS Records Center

- (1) Disposition controlled documents and DHFs as required.

6. RECORDS

The following documents generated during the performance of this procedure must be controlled as follows:

<u>Document</u>	<u>Record Type</u>	<u>Disposition</u>
Document History File	QA, Non-Permanent	Document Control maintain current document/revision and DHF in one-hour file cabinets until revised, superseded, or canceled. Transmit previous revision to RMRS Records Center, where retained for 12 months after document is superseded or canceled. Then formally transmit to the Site Records Management organization for long term storage in accordance with the provisions of 1-V41-RM-001, Records Management Guidance for Records Sources.
Controlled Document/Revisions	QA - AR (if CERCLA related)	Retained for 12 months after document is superseded or canceled. Then formally transmit to the Site Records Management organization for long term storage in accordance with the provisions of 1-V41-RM-001, Records Management Guidance for Records Sources. AR documents are retained by the RMRS Records Center for three years following a Record of Decision. Then formally transmit to the Department of Energy for long term storage in accordance EPA guidance.
Document Transmittal Acknowledgment Notice and Document Inquiry	QA, Non-Permanent	Maintain with current document/revision and DHF until document is revised, superseded, or canceled. Then destroy.

7. REFERENCES

- 7.1 DOE Order 5700.6C, Quality Assurance
- 7.2 10 CFR 130.120, Quality Assurance Requirements
- 7.3 DOE Order 5480.19, Conduct of Operations
- 7.4 RMRS-QAPD-001, RMRS Quality Assurance Program Description
- 7.5 1-MAN-001-SDRM, RFETS Site Documents Requirements Manual
- 7.6 QA-05.01, Preparation and Control of RMRS Documents
- 7.7 1-V41-RM-001, Records Management Guidance for Records Sources
- 7.8 1-77000-DC-001, RFETS Document Control Program

APPENDIX 1
CONTROLLED DOCUMENT TYPE LIST

Following is a list of documents to be controlled by the RMRS Document Control staff. These documents include, but are not limited to:

Categorical Exclusions
Closure Plans
Contractor Plans
D&D Plans and Final Reports
Data Management Plans
Decision Documents
Feasibility Study
Field Sampling Plan
Geologic Characterization Plans
Geotechnical Procedures
Groundwater Monitoring Plans
Guidance Documents
Hazardous Substance List (at management discretion)
Health and Safety Plans
Health Effects Assessment Summary Tables
Instruction
Log Books
Management Directive
Management Plan
Manual
Monitoring, Analysis, and Testing Plans
Operating and Maintenance Manuals
OU Work Plan
Policy
Procedure
Procurement Requirements
Project Management Plans
Quality Program Plan
Quality Assurance Program Description
RCRA Facility Investigation Work Plan
RCRA Feasibility Study
Remedial Investigation Report
Remedial Investigation/Feasibility Study
Safety Plan
Sampling and Analysis Plans
Technical Reports
Test Plans
Well Abandonment Plans
Work Plan and support documents (as appropriate)

APPENDIX 2
RMRS CONTROLLED DOCUMENT CHECKLIST

This checklist is intended to expedite the process for controlling internal RMRS documents. For documents containing Site-level requirements/users refer to the RFETS Site Documents Requirements Manual for instructions.

<u>Identify</u> need for document, revision, or change	Responsible Manager Name _____	_____
	Organization _____	Signature _____
	Writer/Originator _____	_____
	Phone _____ Pager _____ Building _____	Signature _____
	Quality Assurance Review: _____	Signature _____

Document Type (check one) Policy Management Directive Manual Procedure
 Instruction Other (if other, specify type) _____

Page Change Existing Document Number _____
Title _____
 Obtain electronic disk copy from Document Control, X5430
 Revision bars and effective date noted in margin.

New Document (Revision 0)
_____ Document Number (Obtain from Document Control, X5430)

Total Revision Existing Document Number _____
Title _____
 Obtain electronic disk copy from Document Control, X5430
 New Revision No. _____ (Obtain from Document Control, X5430)

DOCUMENT HISTORY FILE (DHF)

Draft of document or changes

Review Comment Sheets distributed to reviewers (Include list of reviewers in DHF.)
 Comments resolved and endorsements received (Include memo in DHF if all comment sheets are not returned.).
 Place original Review and Comment Sheets with signatures in DHF. If red-lined comments are included, they must identify reviewer.

Safety Determinations (Documentation required for technical documents.)
_____ Prescreen/SES/USQD Number _____ Not Applicable
Independent Safety Review Meeting Date _____ Not Applicable

Document Approval Obtained (approval cover sheet or other approval documentation)

Controlled Distribution List prepared or updated by originator.

Transmit Master document, electronic disk copy, and DHF to RMRS DC

_____ **Effective Date** (Allow time for training and distribution by RMRS Document Control. Effective date may not precede issue date.)

Received by RMRS Document Control _____ Date Issued _____

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APPENDIX 3
RECEIPT ACCEPTANCE CRITERIA

Document Control personnel shall review controlled documents for the following criteria prior to their release:

- Unique identification number is assigned and on every page
- Revision indicator, if applicable, is correct
- Approval signature(s) are present and correct
- Site-level document/revision is authorized by a "Document Modification Request" (DMR) Form with all blocks completed or marked NA.
- RMRS document/revision is accompanied by completed Document Control Checklist.
- Completed Patent Clearance Forms, if applicable.
- Completed Security Classification Authorization signature, if applicable.
- Completed Safety reviews exemption or concurrence, if applicable.
- Controlled distribution list, or update if applicable, is provided.
- Document owner is designated
- The attached cover/approval sheet is correct for the document type.
- All pages, as stated, are included and correct.
- Written/typed documents are legible, reproducible, with imaging quality as follows:
 - Clear and distinct image of the characters or pictorial information on the recording medium (paper) must be formed.
 - Prepared in indelible medium, preferably black ink against a light background. (Pencil lead is not acceptable.)
 - Contains no correction fluid or correction tape of any type.
 - Information is not scratched out or obliterated or other extraneous information hand written on the document.
 - Text is not obliterated with stamps or other marks.
 - No portion of any page shall be missing due to tearing or folding of record edges that may obliterate recorded information.
 - If a photocopy of a document is to be submitted, the generation of the copy submitted for processing must be as close to the original as possible.

NOTE: If the document does not meet the above criteria, return the document to the identified owner for correction.

APPENDIX 4
DOCUMENT TRANSMITTAL ACKNOWLEDGMENT NOTICE



Document Transmittal
Acknowledgement Notice

1st Notice

<p>Copy no.</p>	<p>Sent by: RMRS DOCUMENT CONTROL Building 116 Kathy Manzanares Ph.: (303) 966 - 5430 FAX: (303) 966 - 4641</p>
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If you do not **need** or **want** the document(s) noted below, please write your cancellation request below the instructions and return the entire package to RMRS Document Control, Building 116.

The documents being transmitted to you are:

Document No.

Document Title

Instructions:

Signing this Document Transmittal Acknowledgement Notice (DTAN) indicates you have received the document(s). Please sign the DTAN and return it. If cancelling, sign the DTAN after noting your request and return the entire package to RMRS Document Control in Building 116 by

Copy Holder Signature

Date

APPENDIX 5
SECOND NOTICE



Document Transmittal Acknowledgement Notice	2nd Notice
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	Sent by: RMRS DOCUMENT CONTROL Building 116 Kathy Manzanares Ph.: (303) 966 - 5430 FAX: (303) 966 - 4641
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Copy no. _____

DOCUMENT INQUIRY: SECOND NOTIFICATION OF DOCUMENTS TRANSMITTED TO YOU.

Our records indicate that we have not received receipt acknowledgment for the documents transmitted to you on _____. Please sign below to verify receipt of documents OR notify RMRS Document Control if you did not receive the documents.

Signed acknowledgment must be received within 14 days of the date of transmittal. Failure to respond to either the initial Document Transmittal Acknowledgment Notice (DTAN) or this 2nd Notice will result in cancellation from controlled distribution of this document(s).

The documents that were transmitted to you are:	
<u>Document No.</u> _____	<u>Document Title</u> _____

REV

Returning the Document Transmittal Acknowledgement Notice is required within 14 days of transmittal of the document(s) noted above. Please sign and return this notice. If cancellation of the document is needed, note your request, sign the notice and return it to RMRS Document Control in Building 116 by _____

Recipient's Signature

Date

APPENDIX 6

GUIDELINES FOR PROCEDURE DISPOSITION

Follow the instructions on the back and use the choices below as a guide to assist in dispositioning the following procedure(s):

Procedure Title _____

Procedure Number _____ Rev. No. _____

Procedures can be dispositioned in one of three ways. Check the appropriate space below:

Maintain _____

The procedure is presently needed to implement a contractual requirement or driver; or needed for current mission; or needed to operate existing equipment; or needed to perform an activity.

Inactive _____

The need for this procedure is indeterminate or unknown.

Cancel _____

The process or activity controlled by this document has been terminated or completed, or the document is being replaced by _____

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Responsible Manager Print Name Sign Name Date

Reactivate the procedure. _____ A periodic review SHALL be performed.

PRINT/SIGN/DATE BELOW TO REACTIVATE FROM INACTIVE STATUS

Responsible Manager Print Name Sign Name Date

INSTRUCTIONS

1. The Responsible Manager determines what action **SHOULD** be taken with procedures in his/her area of responsibility based on the criteria guidelines on this form.
2. The Responsible Manager determines the impact (DOE Order, contractual, regulatory, 10 CFR 830.120, CFR 835, etc.) by contacting any company or organization that may be affected by cancelling or placing a procedure in an inactive status.
3. The Responsible Manager fills out the form completely.
4. If determination has been made to maintain or inactivate the procedure, the Responsible Manager forwards this form to RMRS Document Control in Building 116 to be placed in the procedure history file.
 - a. Maintain the procedure by following the revision or change process in accordance with RMRS QA-05.01, Preparation and Control of RMRS Documents, and RMRS DC-06.01, Document Control Process.
 - b. Document Control will notify the controlled copy holders of any procedures placed in an inactive status. There will be a 30-day waiting period from the date of the Responsible Manager's signature before the procedure is pulled from the controlled copy holders files. This allows any impacted holder to contact the RM and stop the process. A listing of procedure changes is available from RMRS Document Control.
5. If determination has been made to Cancel the procedure, the Responsible Manager completes this form and follows the cancellation process in accordance with RMRS DC-06.01, Document Control Program.

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