



**Rocky Mountain  
Remediation Services L L C**  
*protecting the environment*

**PROCEDURE**

**DOCUMENT CONTROL PROGRAM**

RMRS DC 06 01  
Revision 1  
Date Effective 03/29/99

APPROVED \_\_\_\_\_ 's'  
Laura Tyler Manager RMRS Records \_\_\_\_\_ Date

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**1 0 PURPOSE**

This document provides direction for the identification issuance receipt revision and disposition of RMRS controlled documents This procedure ensures 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 Section 6 4 1 of the RMRS Quality Assurance Program Description (QAPD) (RMRS QAPD 001) Quality Assurance Requirements for Nuclear Facility Applications ASME (American Society of Mechanical Engineers) NQA 1 1994 Edition Supplement 6S-1 Supplementary Requirements for Document Control and MAN 063 DC Rocky Flats Environmental Technology Site (RFETS) Document Control Program Manual

**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 by RMRS or RMRS subcontractor personnel

*Note* Document identification numbers and Document Change Form (DCF) numbers are assigned and maintained by the RMRS Document Control (DC) staff

This document does not apply to correspondence control facility Operations Orders managed in accordance with the Site Conduct of Operations Manual generated design documents (e g calculations drawings Safety Evaluation Reports etc ) design packages or forms control This document does not override the Site Engineering Requirements Manual or the Conduct of Engineering Manual

**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 )



**ADMIN RECCRD**  
SW-A-003402

1/18

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

**Controlled Copy Number** The unique number assigned to an individual who receives controlled documents and is written on that individual's copy of a controlled document. Copyholder numbers are not transferred.

**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, and instructions. (See SDRM for 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, or designee, and maintained by RMRS DC which identifies the individuals designated to receive a specific controlled document and any changes.

**RMRS Document Control** The functional organization in RMRS responsible for receiving, issuing, maintaining, and dispositioning RMRS controlled documents.

**Document Control Log** An electronic and/or hard-copy log maintained by the RMRS DC, which identifies and tracks all RMRS document and DCF numbers.

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

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

#### **RFETS Procedure And Document Tracking (PADT) Database**

The database that contains the master index of all controlled documents (and copyholders) maintained by all Document Control organizations on site.

#### **Site-Level Controlled Document**

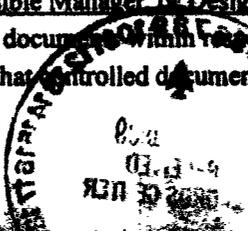
A document that has Site-applicable requirements and instructions, crosses company lines, and/or is used site-wide.

**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, or Designee (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 DCF number and/or revision indicator from RMRS Document Control
- Complete RMRS Document Control Distribution List Form (Appendix 7) for each controlled document change or revision as necessary
- Ensure documents meet records acceptance criteria stated in 1 V41 RM 001 Records Management Guidance for Records Sources
- Determine need for a classification review (See Kaiser Hill Directive CAHW 001 96 Release of Information and Documents which can be found in the RMRS Model Office )
- Ensure appropriate safety reviews are performed for technical procedures
- Provide master document Document History File (DHF) and electronic copy of document to RMRS DC for processing and maintenance
- Ensure that documents under their cognizance are changed revised superseded or cancelled when needed
- Evaluate new controlled documents changes or revisions as stated on the monthly Document Control Announcement to determine impacts to operations and identify any necessary training
- Ensure identified personnel are aware of and understand the requirements of this procedure
- Ensure controlled documents are reviewed periodically to ensure continued adequacy accuracy changes in requirements and consideration of human factors

#### 4.2 RMRS Document Control (DC) (functional title)

- Assign log and track controlled document numbers changes revisions and DCF numbers
- Issue and maintain RMRS controlled documents
- Remove superseded or cancelled documents from service
- Input controlled document information and controlled distribution lists to the RFETS PADT database when notified by Site Document Control of availability
- Ensure the maintenance and protection of current document/revision and DHFs and transmit to RMRS Records Center when document is revised superseded or cancelled (*Note* Documents related to the Waste Isolation Processing Plant [WIPP] Project shall be transmitted to the NQA 1 Waste Records Center )
- Prepare document or binder covers if appropriate
- Provide monthly Document Control Announcement of controlled document activity to RMRS managers
- Participate in periodic assessments by the Integrated Management Contractor (IMC) Records Documents and Administrative Services including resolution to any corrective actions required

#### 4.3 Controlled Copyholders (functional title)

- Receive and acknowledge approved controlled documents and update documents when changes or revisions are issued

#### 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 RMRS 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

- 11/08/99
- (1) Determine the need for a document, change or revision and prepare document in accordance with QA-05 01 Preparation and Control of RMRS Documents
  - (2) Initiate document using the Controlled Document Checklist, Appendix 2 (Becomes part of the DHF when completed )
    - For changes to WIPP documents the Responsible Manager shall identify the changes the reason for the changes, and the justification for concluding that the revised contents continue to satisfy the requirements of the WIPP Quality Assurance Program A section has been added to the checklist to accomplish this requirement.
  - (3) Complete the RMRS Document Control Distribution List form (Appendix 7) for each controlled document, including changes and revisions to existing documents, and verify or amend, as appropriate
  - (4) Obtain classification review if appropriate
  - (5) Obtain safety screening/reviews in accordance with RMRS QA-05.01, Preparation and Control of RMRS Documents
  - (6) Responsible Manager and the RMRS DC staff establish an effective date for the document. (Effective dates must be established with sufficient time to allow for training and for RMRS DC to process the document. The effective date may not precede the date the document is issued )

*Note* Documents are issued in the order received by DC

**5 3 Control Process**

*Note* Logs maintained electronically have a process to ensure daily backup

RMRS DC

- (1) Provide document identification numbers, revision numbers and DCF numbers from Document Control Log(s)
- (2) Verify document and DHF contents against Receipt Acceptance Criteria Checklist (Appendix 3)
- (3) Prepare document or binder covers, if appropriate
- (4) Assign each copyholder 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 copyholder number
- (8) Distribute document with the DTAN and instructions to identified copyholder
- (9) Update and maintain Document Control Log(s) and databases The Log(s) and databases may be in electronic or hard copy form and will contain
  - document number and title
  - originating organization and responsible manager
  - change date or revision number

controlled copyholder list  
date issued and  
periodic review date

- (10) Maintain current master controlled document disk copy and current DHF in one hour fire rated cabinets
- (11) When revised superseded or cancelled 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 NQA 1 WIPP Records Center
- (12) When notified by Site Document Control of availability input controlled document information and controlled distribution lists to the RFETS Procedure and Document Tracking (PADT) database to provide a single point of reference for all active controlled documents at RFETS

#### 5.4 Copyholder Receipt of Controlled Documents

##### Controlled Copyholder

- (1) Sign and date the DTAN to acknowledge receipt of the document and compliance with instructions
- (2) Follow all instructions on the DTAN 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

##### RMRS DC

- (1) If a copyholder 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 copyholder and the copyholder's manager that the copyholder has been removed from controlled distribution and request return of the controlled copy

#### 5.6 Changes in Controlled Distribution

- (1) Controlled Copyholder should notify RMRS DC of changes in location or when they no longer need a controlled document
- (2) Responsible manager should notify RMRS DC of changes in controlled copyholder status such as transfer or termination

#### 5.7 Document Copies

Requests for copies of controlled documents are made by completing the RMRS Copy Distribution Request Form (Appendix 8) 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* Copyholder may retain cancelled or obsolete document for information only provided the document is marked Information Only Work may not be performed to Information Only Cancelled or Superseded procedures

- (1) Responsible Manager notifies RMRS DC of changes in the status of a controlled document by completing and forwarding a Guidelines for Procedure Disposition form (Appendix 6)
- (2) RMRS DC notifies all copyholders of cancelled inactive or superseded documents with appropriate instructions on a DTAN

## RMRS Records Center

- (3) Disposition controlled documents and DHFs as required

5 9 Distribution of Document Control Announcement

## RMRS DC

- (1) By the 10<sup>th</sup> day of each month, prepare a Document Control Announcement listing the previous month's activities relating to all new RMRS documents changes, and revisions to documents, including K-H documents maintained in the RMRS Model Offices
- (2) Prepare a DTAN and distribute the DTAN and Document Control Announcement to RMRS managers

## RMRS Managers

- (3) Sign and date the DTAN to acknowledge receipt of the document and compliance with instructions to evaluate new controlled documents changes or revisions determine impacts to operations and identify any necessary training
- (4) Sign and return the DTAN to the RMRS DC within the time specified.

5 10 Periodic Review of Documents

## RMRS Managers

- (1) Identify periodic review frequency as follows
  - 1 year – Emergency Preparedness procedures
  - 3 years – Procedures that potentially affect system Category 1, 2, or 3 functions as defined in the Nuclear Safety Manual
  - 4 years – All other documents
  - Any time an inactive procedure is reactivated
- (2) Perform periodic reviews as required, and forward documentation of review to RMRS DC for the DHF (May use Guidelines for Procedure Disposition form, Appendix 6, to document review and any resulting actions)

## RMRS DC

- (3) Track periodic review dates and notify responsible manager when periodic review is due
- (4) If documentation of review has not been completed and received by RMRS DC within 90 days of notification RMRS DC may place the document in inactive status and recall all controlled copies.
- (5) If periodic review is not completed within 30 days of inactivation, RMRS DC may initiate cancellation of the document.

**6 RECORDS PROCESSING INSTRUCTIONS**

Note If a controlled document is related to CERCLA activities, provide copy of Controlled Document, changes and revisions to the Administrative Record Coordinator

The following documents are initiated, processed or maintained as a result of this procedure and shall be processed as follows

Record Identification	Record Type Determination	Protection Storage Methods	Processing Instructions
<p>Documents related to WIPP/LL/LLM Controlled Document and Revisions Document History File (DHF)</p> <p>Note Completed Document Transmittal Acknowledgment Notice (DTAN) and Document Inquiry/Second Notice are placed in DHF</p>	In Process WIPP/LL/LLM Quality Assurance Record	Document Control maintains current document/revision and DHF in one hour fire rated cabinets until revised	<p>Continue prescribed processing of document(s)</p> <p>Once revised transmit previous revision and DHF to NQA 1 Waste Records per 1 PRO 077 WIPP 005 within six months</p>
<p>Documents related to WIPP/LL/LLM Controlled Document and Revisions Document History File (DHF)</p> <p>Note Completed Document Transmittal Acknowledgment Notice (DTAN) Document Inquiry/Second Notice and Guidelines for Procedure Disposition are placed in DHF</p>	WIPP/LL/LLM Quality Assurance Record	While active Document Control maintains current controlled document and DHF in one hour fire rated cabinets	Within 6 months after document is superseded or cancelled Document Control transmits controlled document and DHF to NQA 1 Waste Records Center per 1 PRO 077 WIPP 005
<p>Documents <u>not</u> related to WIPP/LL/LLM Controlled Document and Revisions Document History File (DHF)</p> <p>Note Completed Document Transmittal Acknowledgment Notice (DTAN) and Document Inquiry/Second Notice are placed in DHF</p>	In process Quality Assurance Record	Document Control maintains current document/revision and DHF in one hour fire rated cabinets until revised	<p>Continue prescribed processing of document(s)</p> <p>Once revised transmit previous revision and DHF to RMRS Records Center in accordance with RM 06 02 Records Identification Generation and Transmittal</p>
<p>Documents <u>not</u> related to WIPP/LL/LLM Controlled Document and Revisions Document History File (DHF)</p> <p>Note Completed Document Transmittal Acknowledgment Notice (DTAN) Document Inquiry/Second Notice and Guidelines for Procedure Disposition are placed in DHF</p>	Quality Assurance Record	Document Control maintains current controlled document and DHF in one hour fire cabinets Within 90 days after document is superseded or cancelled Document Control transmits controlled document, revisions and DHF to RMRS Records Center in accordance with RM 06 02 Records Identification Generation and Transmittal	Within one year of the date of cancellation the RMRS Records Center retrieves all files related to the document and transmits the record package to Site Records Management in accordance with 1 V41 RM-001

**7 REFERENCES**

- 7 1 DOE Order 5700 6C Quality Assurance
- 7 2 10 CFR 830 120 Quality Assurance Requirements
- 7 3 RMRS QAPD 001 RMRS Quality Assurance Program Description
- 7 4 1 MAN-001-SDRM, RFETS Site Documents Requirements Manual
- 7 5 RMRS QA-05 01, Preparation and Control of RMRS Documents
- 7 6 1-V41-RM-001 Records Management Guidance for Records Sources
- 7 7 MAN-063-DC, RFETS Document Control Program Manual
- 7 8 Kaiser-Hill Directive CAHW-001-96 Release of Information and Documents

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**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
- Training Implementation Manual
- Training Manual
- Training Implementation Plans
- Well Abandonment Plans
- Work Plan and support documents (as appropriate)





**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
- RMRS document, change or revision is accompanied by completed Document Control Checklist
- Change bar dated for all page changes
- Completed Patent Clearance Form, if applicable
- Completed Security Classification Authorization signature if applicable
- Completed Safety reviews exemption or concurrence, if applicable. Documented evidence of screening activities Or exemption determination is required for all technical procedures
- Controlled distribution list or update 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

NOTE If the document does not meet the above criteria, do not accept the document; return the document to the identified owner for correction

APPENDIX 4  
(SAMPLE ONLY GENERATED ELECTRONICALLY BY RMRS DC)



Document Transmittal Acknowledgement Notice

1st Notice

	Copy Holder ID	
Name		Sent by RMRS DOCUMENT CONTROL
Company		Building 116
Bldg		Kathy Manzanares
Phone		Ph (303) 966 5430
		FAX (303) 966 4641

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.	Rev	Document Title
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Document Type

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  
(SAMPLE ONLY - GENERATED ELECTRONICALLY BY RMRS DC)



Document Transmittal Acknowledgement Notice

2nd Notice

Name Company Bldg Phone	Copy Holder ID Sent by RMRS DOCUMENT CONTROL Building 116 Kathy Manzanara Ph (303) 968 - 5430 FAX (303) 968 4641
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Our records indicate that we have not received receipt acknowledgment for the documents transmitted to you or 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 being transmitted to you are:

Document No.	Rev	Document Title
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Document Type:

Instructions.

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 this notice and return it to RMRS Document Control in Building 116 by \_\_\_\_\_

Copy Holder 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 disposition of the following procedure

Procedure Title \_\_\_\_\_

Procedure Number \_\_\_\_\_ Rev No \_\_\_\_\_

Maintain \_\_\_\_\_  Procedure is adequate as written  Procedure requires revision

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 procedure has been terminated or completed (Cancellation of this procedure does not impact any facility or activity Authorization Basis )

Supersede \_\_\_\_\_

Procedure is replaced by \_\_\_\_\_

_____	_____	_____	_____
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

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**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 canceling 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 Document History File (DHF)
  - a. Responsible Manager maintains 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 Program
  - b. Document Control notifies the controlled copyholders 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 copyholder's files. This allows any impacted holder to contact the Responsible Manager 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, including attesting to the cancellation not impacting any facility or activity Authorization Basis (AB)

APPENDIX 7



**DOCUMENT CONTROL  
DISTRIBUTION LIST**

DOCUMENT NUMBER \_\_\_\_\_

DOCUMENT TITLE \_\_\_\_\_

To be distributed to the following

**Model Office**     Yes     No

NAME	ORGANIZATION/ PROGRAM	EXTENSION	LOCATION

Forward completed distribution list to RMRS Document Control Bldg 116 Fax 4641

APPENDIX 8



DOCUMENT CONTROL  
COPY REQUEST FORM

DOCUMENT NUMBER \_\_\_\_\_

DOCUMENT TITLE \_\_\_\_\_

Requestor Name \_\_\_\_\_ Organization \_\_\_\_\_

NAME (Last, First, MI)	COMPANY	PHONE/ PAGER	BLDG/ LOC.	ORGANIZATION/ PROGRAM

Justification for placement on Distribution List: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

APPROVAL

Manager/Supervisor: \_\_\_\_\_ Date \_\_\_\_\_

Forward completed form to RMRS Document Control, Bldg. 116, Fax 4641

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