



OFFICE OF CIVILIAN
RADIOACTIVE WASTE MANAGEMENT
QUALITY ASSURANCE ADMINISTRATIVE PROCEDURE

TITLE: DOCUMENT CONTROL

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Director, OCRWM <i>[Signature]</i>	Date: 8/2/89	Director, OQA <i>[Signature]</i>	Date: 7/12/89
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1.0 PURPOSE

The purpose of this procedure is to establish the responsibilities and methods for the distribution and control of documents that specify quality requirements or prescribe quality affecting activities, and for ensuring that only current and approved documents are available and in use during the performance of quality affecting activities.

2.0 SCOPE

This procedure shall be implemented for the control and distribution of Office of Civilian Radioactive Waste Management (OCRWM) Quality Assurance Program documents if and as specified in the OCRWM QA Controls Matrix, developed in accordance with QAAP 2.3, "Establishing Quality Assurance Controls" for the associated OCRWM work. Specifically included are the OCRWM Quality Assurance Manual (QAM), which includes the Quality Assurance Requirements (QAR) and the Quality Assurance Program Description (QAPD) documents, the OCRWM Quality Assurance Administrative Procedures (QAAPs), and the OCRWM Implementing Line Procedures (ILPs). OCRWM baselines and other controlled documents that fall within the scope of the OCRWM Program Change Control Procedure (PCCP) or the Program Element Change Control Procedure (PE-CCP) are covered by those procedures and are specifically excluded from this procedure.

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

- 3.1.1 "Quality Assurance Requirements for the Civilian Radioactive Waste Management Program," (QAR) DOE/RW-0214. (HQO.890109.0002)
- 3.1.2 "Quality Assurance Program Description for the Civilian Radioactive Waste Management Program," (QAPD) DOE/RW-0215. (HQO.890109.0003)
- 3.1.3 "Records Management Policies and Requirements," (RMPR) DOE/RW-0194.
- 3.1.4 "Program Change Control Procedure," (PCCP) DOE/RW-0223.

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3.2 DEFINITIONS

- 3.2.1 The definitions of standard terms may be found in the Glossary contained in reference 3.1.1.
- 3.2.2 Controlled Document - Written information that is prepared, reviewed, and approved in accordance with established procedures; has controlled distribution, and is subject to revision and voidance control. The criteria for designating documents as controlled for the purposes of this procedure are specified in Paragraph 6.1.2.

4.0 RESPONSIBILITIES

4.1 DIRECTOR, OFFICE OF QUALITY ASSURANCE (OQA)

The Director, OQA, or designee is responsible for:

- 4.1.1 Preparing and maintaining this QAAP;
- 4.1.2 Monitoring activities covered by this procedure;
- 4.1.3 Designating those documents under OQA cognizance that are to be controlled (based upon the criteria listed in Section 5);
- 4.1.4 Administering quality assurance document control functions for OCRWM;
- 4.1.5 Approving the initial distribution of those controlled quality assurance program documents;
- 4.1.6 Establishing and maintaining a controlled document index for those OCRWM documents covered within the scope of this procedure;
- 4.1.7 Maintaining controlled document distribution lists for quality assurance program documents;
- 4.1.8 Distributing all controlled OCRWM documents covered within the scope of this procedure;
- 4.1.9 Approving changes to the distribution list of controlled quality assurance program documents under OQA cognizance; and
- 4.1.10 Maintaining and controlling the Quality Assurance Manual, QAAP manual, and OCRWM ILP Manual or Manuals.



4.2 ASSOCIATE DIRECTORS

The Associate Directors or designees are responsible for:

- 4.2.1 Designating appropriate documents under their cognizance as controlled (based upon the criteria listed in Section 5);
- 4.2.2 Approving the initial distribution of those controlled documents;
- 4.2.3 Providing the Director, OQA, with their minimum required distribution list for QAAPs and ILPs under their cognizance; and
- 4.2.4 Requesting changes to the distribution list of those controlled documents.

4.3 ORIGINATORS OF A CONTROLLED DOCUMENT

Originators of potential or revised controlled documents (see criteria in Section 5) are responsible for:

- 4.3.1 Providing the Director, OQA, with the materials listed in paragraph 6.2.2.

4.4 RECIPIENTS OF A CONTROLLED DOCUMENT

Recipients of controlled documents are responsible for:

- 4.4.1 Maintaining their assigned copies;
- 4.4.2 Providing receipt acknowledgement and disposing of obsolete documents as instructed; and
- 4.4.3 Ensuring that users of controlled documents, within their area of responsibility, are using the latest version of controlled documents.

5.0 GENERAL

- 5.1 Documents that specify quality requirements or prescribe quality affecting activities shall be controlled and their distribution specified.



5.2 A document shall satisfy one or both of the following criteria before being designated as controlled, issued, and maintained in accordance with this procedure:

5.2.1 The document's user requires a current copy of the document to properly conduct their work.

5.2.2 The use of a non-current version of the document could adversely impact quality.

5.3 Controlled documents, including changes, shall be approved for release by authorized personnel, and shall be distributed to and used at the location where the prescribed activity is being performed.

5.4 Documents must be identifiable by unique title or number, revision number, and effective date.

5.5 Copies of controlled documents covered by this procedure printed on light blue paper shall be considered controlled copies, however the covers (outer binder) of these documents shall be white, to distinguish them from Program Management System-related documents, whose covers are light blue.

5.6 Copies of controlled documents covered by this procedure not printed on blue paper shall be considered uncontrolled and not used in the performance of quality affecting work.

5.7 An archival copy of each controlled document, and revision, shall be maintained.

6.0 PROCEDURE

6.1 DESIGNATING A DOCUMENT FOR CONTROLLED ISSUE

6.1.1 The responsible (or cognizant) supervisor (or manager) shall, before issuing a document, review and determine if that document fits the criteria (in Section 5) for a controlled document per this procedure and then act accordingly.

6.2 ISSUING A CONTROLLED DOCUMENT

6.2.1 The cognizant Associate Director or the Director, OQA, shall approve controlled distribution of documents within their primary area of responsibility.

6.2.2 The following shall be submitted to the Director, OQA for QAAPs and ILPs covered by this procedure:

a) One approved (signed) document original;



- b) The required distribution list for initial issue of the document or requested changes, if any, to the existing distribution list for the document or Manual; and
- c) Special instructions for distribution, if any, required or recommended.

6.2.3 The Director, OQA, shall ensure that:

- a) The document is accurately reproduced on light blue paper;
- b) Each controlled document has a unique title or number and effective date identified on the document;
- c) Each controlled copy is assigned a unique copy number; and
- d) Records indicate the assigned copy holder of each controlled copy by copy number.

6.2.4 The Director, OQA, shall establish and maintain a controlled document index. The index shall consist of one or both of the following:

- a) A table of contents for each manual that identifies each document in the manual by title, number, revision, and effective date. A new table of contents shall be issued each time a document is added or revised.
- b) For documents not controlled as part of a controlled manual, a list identifying each such individually controlled document. The list shall identify each document by title and number, revision, and effective date. This index, if required, shall be updated annually or as major changes occur and distributed to the document recipients.

6.3 TRANSMITTAL OF A CONTROLLED DOCUMENT

6.3.1 The Director, OQA, shall prepare a Document Transmittal (Attachment I) for each distribution of a controlled document and distribute a copy of the Document Transmittal with the controlled copy to all personnel on the approved distribution list. The Document Transmittal shall contain any necessary instructions, to include action to be taken with superseded documents and for acknowledging receipt.

6.3.2 The Director, OQA, shall forward one uncontrolled copy of each controlled document to the OCRWM Central Records Facility for inclusion in the Records Information System.



- 6.3.3 The recipient shall ensure that the controlled document is updated in compliance with the instructions provided and then shall sign and date the Document Transmittal and return it to the OQA.
- 6.3.4 The Director, OQA, shall make a record of the return of the Document Transmittal including the document number, revision number, date the recipient signed the acknowledgement, controlled copy number, and recipient that acknowledges receipt.
- 6.3.5 If the Document Transmittal has not been returned, signed, to the OQA by the acknowledgement required date identified on the Document Transmittal (should typically be 15 working days from the date of the transmittal for PROGRAM participant personnel expected to have activities covered by the transmittal document), the Director, OQA, shall issue a reminder using either the Document Transmittal or Document Transmittal Inquiry (Attachment II), to the controlled copy holder (assignee).
- 6.3.6 If the reminder Document Transmittal or Inquiry has not been returned signed to the OQA by the acknowledgement required date identified on the Document Transmittal Inquiry, the document recipient and immediate line supervisor shall be notified by the Director, OQA, of removal from controlled distribution.

6.4 ISSUING REVISIONS TO OR DELETING A CONTROLLED DOCUMENT

- 6.4.1 Revisions to controlled documents shall be issued in the same manner as the original controlled document. The effective date and revision number shall be plainly visible on the document cover sheet.
- 6.4.2 The Document Transmittal shall instruct the recipient to destroy or return superseded material or clearly label it "SUPERSEDED" and shall inform the recipient that signing the acknowledgement so attests that the action was taken.

6.5 MAINTAINING AND REVISING CONTROLLED DOCUMENT DISTRIBUTION LISTS

- 6.5.1 The Director, OQA, shall maintain a controlled distribution list for each document or Manual covered by this procedure. The distribution list includes each controlled copy holder or location and the copy number.



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6.5.2 Requests for changes to the controlled distribution lists shall be made by memorandum and directed to the Director, OQA.

6.5.3 When a document holder is removed from a distribution list, the Director, OQA, shall notify the person, via a Document Transmittal, to destroy the document, mark it "SUPERSEDED", or return it to the OQA. The document holder or other responsible person shall sign the Document Transmittal to verify that the document has been removed from use.

6.5.4 At least annually copies of the distribution list for each controlled document or group of controlled documents shall be transmitted by the Director, OQA, to the Director, OCRWM and the Associate Directors for review and updating (if appropriate).

7.0 RECORDS

7.1 Documents generated as a result of this procedure are to be maintained in accordance with the requirements contained in QAAP 17.1, QA Records Management. At a minimum, Attachments I and II are to be considered QA records.

8.0 ATTACHMENTS

Attachment I - Document Transmittal

Attachment II - Document Transmittal Inquiry

Attachment III - QAAP 6.1 Flowchart



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ATTACHMENT I

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ORIGINATING ORGANIZATION

DATE OF TRANSMITTAL

SECTION A DOCUMENT TRANSMITTAL

TO:

DOCUMENT(S) TRANSMITTED:

INSTRUCTIONS TO RECIPIENT:

RESPONSE DUE DATE

SECTION B ACKNOWLEDGMENT

COMMENTS:

ACKNOWLEDGEMENT SIGNATURE:

DATE:

RETURN SIGNED TRANSMITTAL TO:

SECTION C DISTRIBUTION

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DATE _____

DOCUMENT TRANSMITTAL INQUIRY

TO:

FROM:

SUBJECT:

DOCUMENT

INSTRUCTIONS/REMARKS

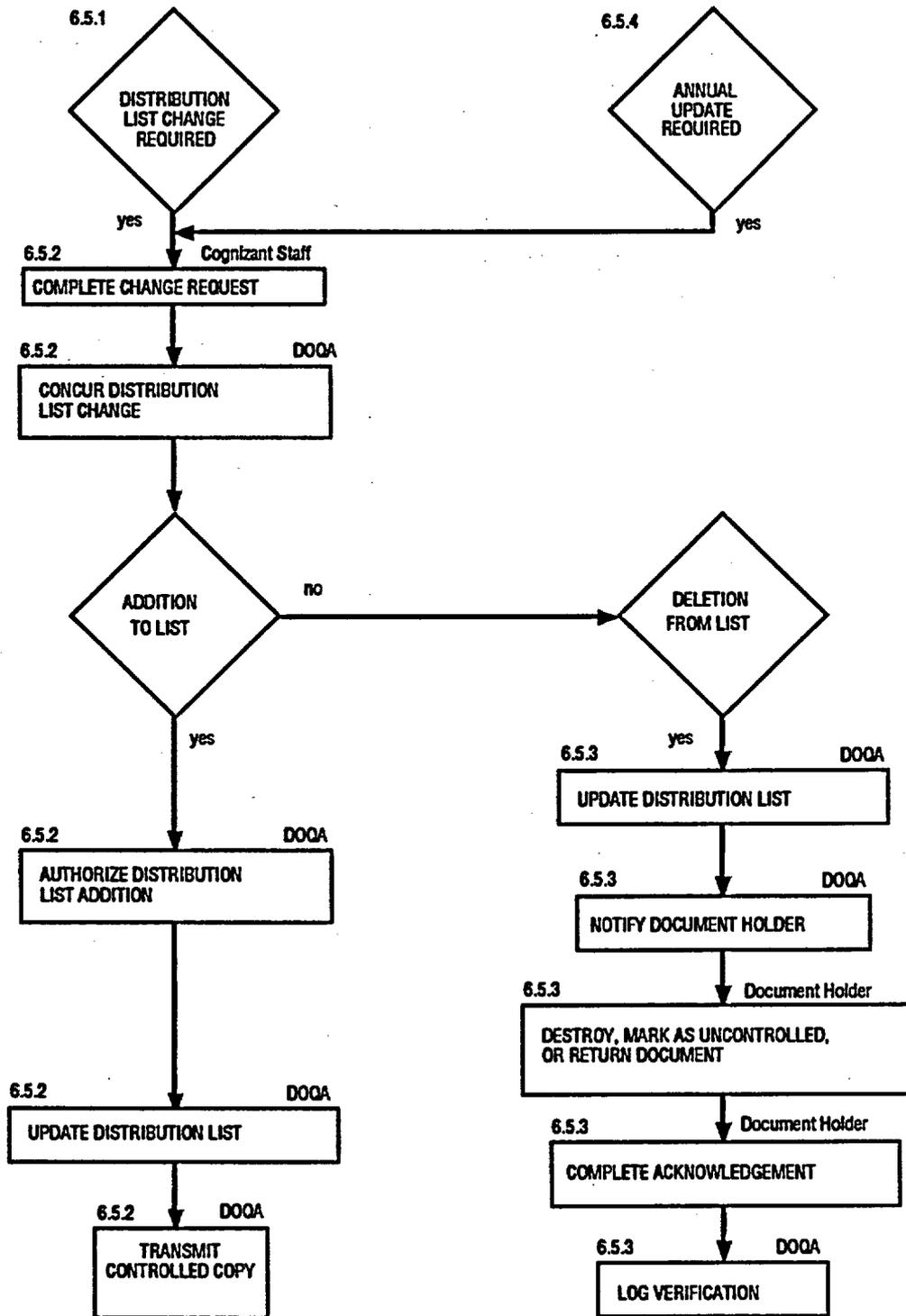
SIGN AND RETURN BY:

**U.S. DEPARTMENT OF ENERGY
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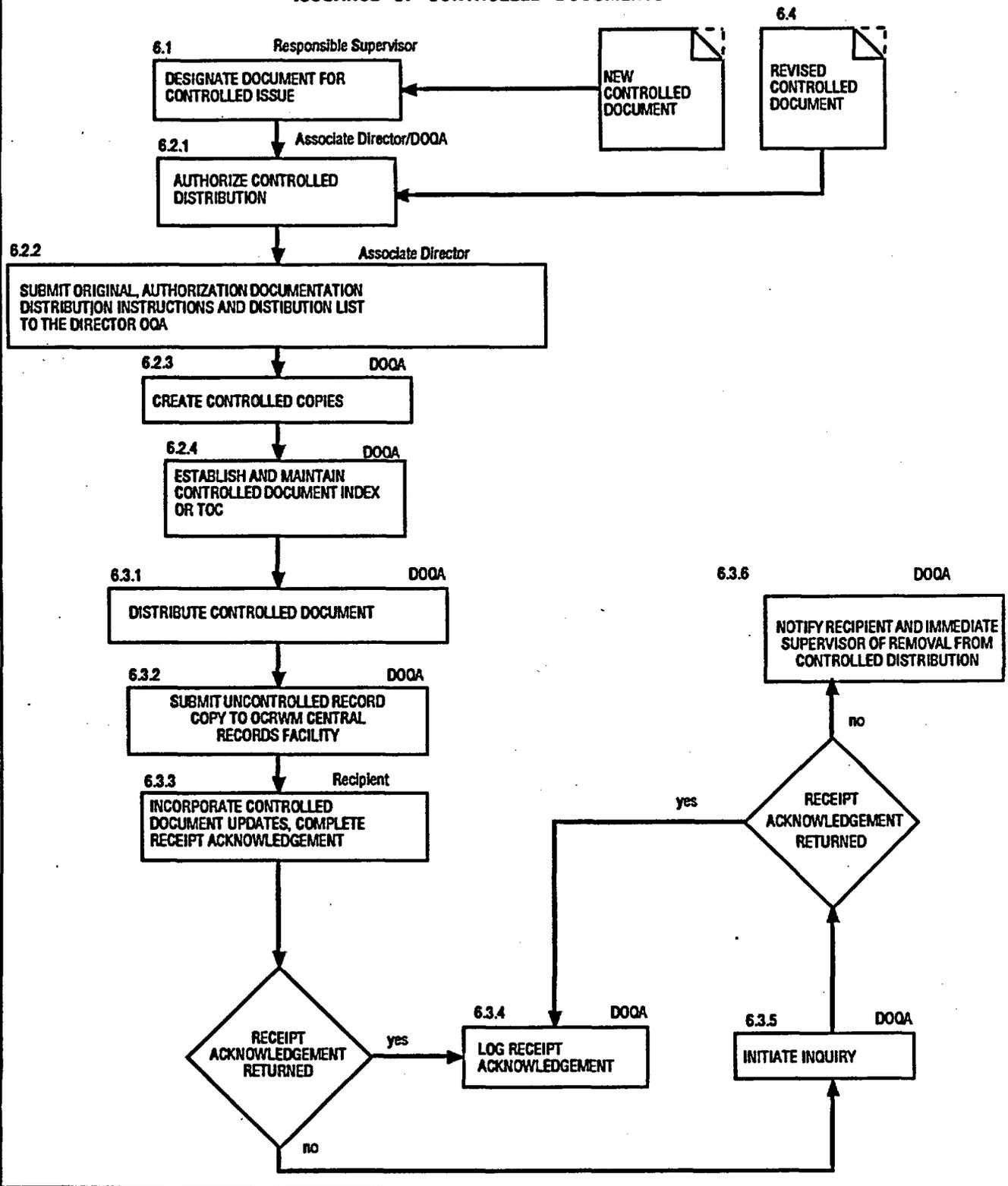
ATTACHMENT III

MAINTENANCE OF CONTROLLED DOCUMENT DISTRIBUTION LISTS





ATTACHMENT III (Cont'd)
ISSUANCE OF CONTROLLED DOCUMENTS



QUALITY ASSURANCE ADMINISTRATIVE PROCEDURES

6.1

The following number is for OCRWM records management purposes only and should not be used when ordering this publication.

Accession No.: HQO.890109.0023