

EFFECTIVE DATE

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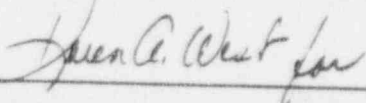
LANL-YMP-QP-06.1, R4

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DOCUMENT CONTROL

APPROVALS

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DATE

3/18/92

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3/18/92

Los Alamos

Yucca Mountain Site
Characterization Project9303110135 930224
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Yucca Mountain Site
Characterization Project

DOCUMENT CONTROL

1.0 PURPOSE

This procedure describes the process for distributing Los Alamos National Laboratory (LANL) Yucca Mountain Site Characterization Project (YMP) controlled documents and identifies the responsibilities of LANL Project personnel in maintaining controlled documents to ensure that the latest revisions of documents are available for use at the proper locations.

2.0 SCOPE

This procedure applies to LANL YMP controlled documents; to LANL YMP personnel responsible for preparing, reviewing, approving, or maintaining controlled documents; and to LANL YMP supervisors responsible for initiating, training, or indoctrination in regard to controlled documents.

3.0 REFERENCES

LANL YMP Quality Assurance Program Plan (QAPP)
LANL-YMP-QP-17.4, Records Preparation

4.0 DEFINITIONS

4.1 Controlled Document

A controlled document is a Project record or document issued to designated persons according to controlled distribution procedures. A plan, procedure, drawing, or other information vital to the Project may be issued as a controlled document.

4.2 Quality Assurance Manual

A complete Quality Assurance (QA) Manual (QAM) is a controlled document that contains a table of contents, the QAPP, and all quality procedures (QPs).

4.3 Controlled Working Copy

A controlled working copy is a copy of a current revision of a QP or a detailed technical procedure (DP) issued as an individual controlled document rather than as part of a controlled manual.

4.4 Controlled Distribution

Controlled distribution is the process by which controlled documents are issued on a time-traceable schedule whereby each recipient acknowledges that the document has been received and that requested actions (instructions) have been completed.

4.5 Master Controlled Document List

The Master Controlled Document List contains the names of controlled documents, unique identifier and revision number, recipients of controlled documents, and the copy number assigned to each recipient.

4.6 Controlled Document Acknowledgment

The Controlled Document Acknowledgment (Attachment 1) is a record that accompanies each controlled distribution package or document, identifies the recipient of controlled documents, provides instructions for updating or returning documents, specifies a time frame for completing the actions and returning the form, and states where to return the signed form.

4.7 Information Copy

An Information Copy is a copy of a controlled document. Copies of controlled documents may be made but must be marked "Information Copy." Information Copies are not controlled documents, and therefore are not listed on the Master Controlled Document List.

5.0 RESPONSIBILITIES

5.1 The Technical Project Officer (TPO) ensures that this procedure is implemented and maintained.

5.2 The Project Leader

5.2.1 requests that documents be added to or deleted from the Master Controlled Document List as applicable,

5.2.2 requests the return of controlled documents from personnel, contractors, and others as applicable, and

5.2.3 approves distribution of controlled documents to non-LANL YMP participants.

5.3 The LANL YMP supervisor ensures that YMP personnel under his/her supervision have access to QAMs or are issued controlled copies of documents applicable to job assignments.

5.4 The Records Coordinator

5.4.1 ensures timely distribution of controlled documents and updates, and

5.4.2 ensures that copies of the QA records listed in Section 7.0 are filed and maintained and that copies are forwarded to the Records Processing Center (RPC).

- 5.5 The Quality Assurance Support (QAS) Resident File Custodian
 - 5.5.1 maintains the Master Controlled Document List,
 - 5.5.2 distributes controlled documents,
 - 5.5.3 maintains all applicable records, and
 - 5.5.4 maintains copies of all superceded or withdrawn controlled documents.
- 5.6 LANL YMP personnel and contractors request those controlled documents that will facilitate their Project work.
- 5.7 The recipient of controlled documents
 - 5.7.1 follows instructions outlined on the Controlled Document Acknowledgment,
 - 5.7.2 signs and returns the form by the date indicated,
 - 5.7.3 maintains the controlled documents, and
 - 5.7.4 returns controlled documents to the QAS when leaving the Project or as requested by a Project Leader.

6.0 PROCEDURE

6.1 Identify Controlled Document

6.1.1 QAM, QPs, and DPs

The QAM, QPs, and DPs are controlled documents. The QAPL, or the author of the procedure, specifies the date by which the recipient must return the Controlled Document Acknowledgment.

6.1.2 Other Records

A Project Leader or the TPO may determine that a record, such as a plan, drawing, procedure, or other information vital to the Project, is to be issued as a controlled document.

The Project Leader or TPO forwards a written request for issuance of a controlled document to the QAS Resident File Custodian, including the following.

NOTE: QAM, QPs, and DPs do not require written request for issuance.

- 6.1.2.1 Subject, or title, and identification number of the document.
- 6.1.2.2 A copy of the record to be issued as a controlled document, if necessary.

- 6.1.2.3 Names of recipients.
- 6.1.2.4 Distribution date (optional).
- 6.1.2.5 Date by which the signed Controlled Document Acknowledgment must be returned (optional).
- 6.1.2.6 Special instructions, if any (e.g., content of records package and when the records package will be closed).
- 6.1.2.7 Requestor's name, signature, group, and date of request.

6.2 Request Controlled Document

- 6.2.1 An individual or organization external to LANL and to the YMP makes requests for LANL YMP controlled documents directly to the Department of Energy YMP Office. All copies held by persons outside of the YMP are information copies whether so marked or not.
- 6.2.2 YMP personnel external to LANL make requests (in writing) for copies of controlled documents directly to a Project Leader or TPO. All copies that are not on the Master Controlled Document List are information copies whether so marked or not.
- 6.2.3 LANL YMP personnel obtain controlled documents by making a request to the QAS Resident File Custodian.

6.3 Distribute Controlled Documents and Updates

- 6.3.1 Controlled documents and/or updates to controlled documents will be issued upon request from LANL YMP personnel or on request from a Project Leader or the TPO.

NOTE: Requestors who are approved to receive a copy of controlled documents are added to the Master Controlled Document List and automatically receive updates.

- 6.3.2 To issue a controlled document or update, the QAS Resident File Custodian performs the following.
 - 6.3.2.1 Adds the document to the Master Controlled Document List, if necessary.
 - 6.3.2.2 Adds the person or organization, and the number of the copy they receive, to the Master Controlled Document List, if applicable.
 - 6.3.2.3 Numbers the document(s), if appropriate.

- 6.3.2.4 Identifies the document(s) as "Controlled."
- 6.3.2.5 Assigns a date by which the Controlled Document Acknowledgment is to be returned, if not provided as described in Section 6.1.
- 6.3.2.6 Prepares the document(s) for distribution, and prepares a Controlled Document Acknowledgment (Attachment 1) with complete instructions.
- 6.3.2.7 Distributes the document(s) to the recipient.
- 6.3.3 The recipient receives the document and performs the following.
 - 6.3.3.1 Follows the instructions on the Controlled Document Acknowledgment.
 - 6.3.3.2 Signs and returns the Controlled Document Acknowledgment by the date indicated.
- 6.3.4 Upon receipt of the signed Controlled Document Acknowledgment from all recipients, the QAS Resident File Custodian forwards the appropriate records to the RPC according to QP-17.4.

6.4 Return or Withdraw Controlled Documents

- 6.4.1 A recipient can return controlled documents by one of the following methods.
 - 6.4.1.1 A recipient may, at any time, be removed from Master Controlled Document List by returning the controlled document to the QAS Resident File Custodian along with a written request to be removed from controlled distribution.
 - 6.4.1.2 LANL personnel and contractors may return controlled documents to their LANL YMP supervisor upon leaving the Project. The LANL YMP supervisor notifies the QAS Resident File Custodian of the change in Project personnel and either 1) asks to have the document reassigned to another person, or 2) returns the controlled document to the QAS Resident File Custodian.
- 6.4.2 Withdrawal of Controlled Document
 - 6.4.2.1 A Project Leader or the TPO determines that a controlled document should be withdrawn from one or more recipients.
 - 6.4.2.2 The Project Leader or TPO instructs the QAS Resident File Custodian, in writing, to request that the recipient(s) return the controlled document(s). The Project Leader or TPO has the option of providing a date by which the controlled document(s) must be returned.

- 6.4.2.3 The QAS Resident File Custodian sends a Controlled Document Acknowledgment, with directions to return the controlled document(s), to the identified recipients. If the Project Leader or TPO has specified a date by which the controlled document must be returned, this date is also given.
- 6.4.2.4 The recipient returns the specified document(s), along with the signed Controlled Document Acknowledgment, by the specified date.
- 6.4.2.5 If the controlled document is not returned by the specified date, the QAS Resident File Custodian issues a letter or memorandum informing the recipient that the copy is no longer controlled and contacts the individuals YMP supervisor in order to obtain the document.
- 6.4.3 When controlled documents are returned or withdrawn, the QAS Resident File Custodian modifies the applicable Master Controlled Document List to reflect changes.

6.5 Maintain Withdrawn and Superseded Controlled Documents

The QAS Resident File Custodian maintains a reference copy of all controlled documents that are either withdrawn or superseded by a later revision. Withdrawn controlled documents are stamped "Obsolete;" superseded controlled documents are stamped "Superseded."

7.0 RECORDS

Records resulting from this procedure are the following.

- Controlled Document Acknowledgments
- Master Controlled Document Lists
- Reference copies of controlled documents, superseded documents, and obsolete documents.
- Correspondance related to controlled distributions

8.0 ACCEPTANCE CRITERIA

Proper completion and filing of the QA records listed in Section 7.0 and proper updating of controlled documents constitute the acceptance criteria for this procedure.

9.0 TRAINING REQUIREMENTS

Personnel required to be trained to this procedure are LANL YMP employees listed in Section 5.0.

10.0 ATTACHMENTS

Attachment 1 Controlled Document Acknowledgment (1 page)

CONTROLLED DOCUMENT ACKNOWLEDGMENT

TO

PAGE 1 OF _____

RETURN SIGNED FORM BY _____

TO: QAS RESIDENT FILE CUSTODIAN
LOS ALAMOS NATIONAL LABORATORY
MS M321
LOS ALAMOS, NM 87545

DOCUMENT(S) TRANSMITTED
(INCLUDE TITLE OR SUBJECT AND IDENTIFIER)

☐ CONTINUED ON ADDITIONAL PAGE

INSTRUCTIONS

☐ CONTINUED ON ADDITIONAL PAGE

RECEIPT ACKNOWLEDGMENT

SIGN AND DATE TO ACKNOWLEDGE RECEIPT OF LISTED DOCUMENTS AND TO CONFIRM
THAT INSTRUCTIONS HAVE BEEN FOLLOWED.

SIGNATURE

DATE

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