

**LLNL Environmental Restoration Division (ERD)
Standard Operating Procedure (SOP)**

ERD SOP 4.18: ERD Document Control—Revision: 0

	AUTHOR(S): V. Dibley									
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QA Implementation Coordinator										

1.0 PURPOSE

The purpose of this procedure is to describe the processes used to control ERD documents so the most current versions are available to ERD personnel.

2.0 APPLICABILITY

This procedure is applicable to ERD documents that have been identified as needing to be controlled.

3.0 REFERENCES

- 3.1 Merrigan, J. (2001), *Environmental Protection Department Quality Assurance Management Plan*, Lawrence Livermore National Laboratory, Livermore, CA (UCRL-AR-146357 Rev. 4).

4.0 DEFINITIONS

See SOP Glossary.

5.0 RESPONSIBILITIES

5.1 Division Leader

The Division Leader's responsibility is to ensure that procedures are current and readily available to activity personnel, appropriate to their use (i.e., office versus field use, reference versus instructional use) and that documents are controlled in a manner that is consistent with the requirements described in this procedure.

5.2 ERD Quality Assurance Implementing Coordinator (QAIC)

The QAIC is responsible for coordinating the implementation of division document control processes and for maintaining the ERD Controlled Document Distribution List. The QAIC is also responsible for determining the level of control for ERD documents.

5.3 ERD Group Leaders and Supervisors

The ERD Group Leaders and Supervisors are responsible for providing the ERD QAIC with a list of ERD personnel that require controlled documents based on their work assignments.

5.4 ERD Personnel

ERD Personnel who are custodians of controlled documents are responsible for providing reasonable protection from damage or loss to those documents. ERD personnel are responsible for ensuring that they acquire and use the most current editions of controlled documents. In addition, ERD personnel preparing documents are responsible for consulting with the QAIC to determine control status of the document.

6.0 PROCEDURES

6.1 Identification and Tracking of Controlled Documents

6.1.1 Identification of Controlled Documents

ERD controls documents needed by personnel to perform work correctly and safely. By controlling the document, management ensures the most current version is accessible to workers.

Typically, the documents controlled by ERD are:

- Quality Assurance Project Plans
- Site Safety Plans
- Operation and Maintenance Manuals
- Standard Operating Procedures

The controlled status of documents is identified by marking the document with a red stamp indicating the status, i.e., uncontrolled or controlled. If the red stamp is black and white, the document is not controlled. If the document has no markings, the document is uncontrolled.

6.1.2 Tracking of Controlled Documents

Within the “Controlled Copy” red stamp, a unique number is used to identify the copy holder.

The QAIC maintains the ERD Controlled Document Distribution List. This List tracks what documents are controlled, the controlled numbers and the associated copy holder names.

6.2 Document Distribution

6.2.1 Distribution Levels

Depending on the document purpose and intended audience, the document may be controlled at the following levels:

- Supervisor and above. At this level the distribution list is usually large and the document has infrequent updates. Affected ERD personnel receive uncontrolled copies. The management staff receives controlled copies and then ensure that the personnel use the correct version before work commences.
- All applicable personnel. Due to the subject matter, all applicable personnel receive controlled copies. The document usually has frequent updates.

6.2.2 Controlled Document Distribution Procedure

- The Supervisor or Group Leader inform the QAIC of their personnel’s controlled document requirements.
- The QAIC assigns the personnel a controlled document/number and enters the information into the ERD Controlled Document Distribution List.
- Upon leaving ERD, the personnel must relinquish their controlled documents to the QAIC.
- The QAIC updates the List.

6.3 Effective Dates

ERD controlled document effective date is listed on the cover of the document (i.e., October 2000).

6.4 Disposition Control

When a controlled document is updated, the QAIC or designee manually updates each copyholder’s controlled document. Personnel may update their own controlled documents under the supervision of the QAIC or designee. For controlled document copyholder’s outside of ERD, the updated materials are mailed with the LLNL

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Environmental Protection Department Environmental Restoration Division Controlled Document Receipt Acknowledgment Record (Attachment A). Obsolete or superseded documents/material are discarded/recycled.

7.0 QUALITY ASSURANCE RECORDS

- 7.1 Controlled documents
- 7.2 ERD Controlled Document Distribution List
- 7.3 LLNL Environmental Protection Department Environmental Restoration Division Controlled Document Receipt Acknowledgment Records

8.0 ATTACHMENTS

Attachment A—Example LLNL Environmental Protection Department Environmental Restoration Division Controlled Document Receipt Acknowledgment Record

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Attachment A

Example LLNL Environmental Protection Department Environmental Restoration Division Controlled Document Receipt Acknowledgment Record

LLNL Environmental Protection Department
Environmental Restoration Division
Controlled Document Receipt Acknowledgment Record

Transmittal Date: _____

From: _____

ERD Quality Assurance Implementing Coordinator (QAIC)

To: _____

Document Title: _____

Document Revision Number: _____

Document Identification Number: _____

Directions

- Destroy or Mark Obsolete Materials "Superseded"
- Return Obsolete Materials with this Record
- New Issue- No Obsolete Material

Please sign below and return this form within 30 days to:
Rebecca Goodrich
LLNL
P.O. Box 808, L-528

Signature: _____ Date: _____