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**SANDIA NATIONAL LABORATORIES  
QUALITY ASSURANCE PROGRAM  
for the  
OFFICE OF CIVILIAN RADIOACTIVE WASTE MANAGEMENT**

**QAP 6-2**

**DOCUMENT CONTROL**

**Revision 0**

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## TABLE OF CONTENTS

	<u>Page</u>
1.0 PURPOSE AND SCOPE .....	4
2.0 IMPLEMENTATION ACTIONS .....	4
2.1 ISSUANCE OF A CONTROLLED DOCUMENT .....	4
2.1.1 ON-LINE DOCUMENTS .....	5
2.1.2 HARD COPY DISTRIBUTION .....	5
2.1.3 CHANGES TO HARD COPY DISTRIBUTION .....	5
2.2 RECALL OF A CONTROLLED DOCUMENT .....	6
3.0 RECORDS .....	6
4.0 APPENDICES .....	6
APPENDIX A .....	7
APPENDIX B .....	8

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## 1.0 Purpose And Scope

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This procedure describes the Sandia National Laboratories (SNL) Office of Science & Technology and International (OSTI) Program's system for ensuring that correct versions of documents meeting the definition of a controlled document (CD) are distributed to appropriate personnel, in either hard copy or electronic form, and are available for use at the locations where the work is being performed.

Implementing documents that specify technical requirements or quality requirements, describe the conduct of processes, or establish the design of systems important to waste isolation, nuclear safety, or demonstration of regulatory compliance shall be controlled in accordance with this procedure. Examples include, but are not limited to, Quality Assurance Procedures (QAPs), Test Plans (TPs), Experimental Implementing Procedures (EIPs), and OSTI Glossary.

Documents generated by SNL OSTI contractors and other organizations (e.g., U.S. Department of Energy [DOE]) that require controlled distribution in accordance with this procedure and are being used by SNL OSTI will be identified and maintained by the Document Control Staff in the Controlled Documents database.

**Document users are responsible for using the correct and active document in performing activities.** Correct and active document versions are available through on-line documents accessed through the web at the following web address: <http://www.nwmp.sandia.gov/onlinedocuments>.

Acronyms and definitions for terms used in this procedure may be found in the OSTI Glossary located at the Sandia National Laboratories (SNL) OSTI On-line Documents web site.

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## 2.0 Implementation Actions

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### 2.1 Issuance of a Controlled Document

The author shall provide the following to document control:

- approved original document in its entirety.
- electronic version of the original document preferably in Microsoft Word.
- any applicable support documentation (e.g., Document Review and Comment Form QAP 6-1-1).

The Document Control Staff reviews the original document package for legibility, correctness, and completeness. For example:

- approval signatures (document changes, other than those defined as editorial changes, shall be reviewed and approved by the same organization that performed the original review and approval)
- editorial changes (approval is only required by the organization responsible for preparing the document and a QA reviewer, along with an explanatory note)
- document completeness (document type, number and revision, a place to fill in the effective date, correct pagination, change bars, electronic copy)
- DRCs, etc.

Issues of legibility and completeness will be resolved with the author before distribution. After determining that the package is complete, the Document Control Staff updates the Controlled Documents database.

### 2.1.1 On-Line Documents

The Document Control Staff will place the approved controlled document (electronic version) on-line with “read only” access. The on-line document will reflect the approval authorization(s) and the effective date. As part of placing the document on-line, the Document Control Staff shall ensure a notation similar to the following is placed near the top of the first page of the document:

*“IMPORTANT NOTICE: The current official version of this document is available via the Sandia National Laboratories OSTI On-line Documents web site. A printed copy of this document may not be the version currently in effect.”*

The Document Control Staff will print the document, compare the on-line document against the signed original to ensure that the hard copy and the on-line document are identical, and resolve any discrepancies. The Document Control Staff shall also notify the OSTI Managers of the issuance of a new document by e-mail, with the exception of editorial changes, for further dissemination to their staff.

**Note:** Only those documents residing on-line or those issued with red Controlled Document numbers are official Controlled Documents. If an on-line document is printed, it is NOT considered to be a controlled document. It is considered to be an “Information Only” copy.

### 2.1.2 Hard Copy Distribution

If hard copy distribution is necessary, the Document Control staff shall:

- reproduce the necessary number of copies according to an appropriate distribution list,
- stamp or print each copy with the “Controlled Document” label and using red ink assign a unique control number, and
- generate a Transmittal/Recall Acknowledgement of a Controlled Document Form QAP 6-2-2 (see sample shown in Appendix B) for each copy of the document, attach it to the corresponding CD, and distribute.

Document recipients acknowledge the receipt of a document by completing Form QAP 6-2-2 as instructed, and returning it to the Document Control Staff within a reasonable time frame (preferably less than 30 days). The completed form must have the appropriate box checked, a signature, and a date. Upon receipt of Form QAP 6-2-2, the Document Control Staff shall update the Controlled Documents database.

If the recipient retains a superseded document, the front page shall be marked “Superseded.” Such copies shall be kept physically separate from the most current, active controlled document.

### 2.1.3 Changes to Hard Copy Distribution

The document recipient or author shall complete Form QAP 6-2-1 (sample shown in Appendix A) and submit the form to Document Control if:

- a replacement of a hardcopy Controlled Document is needed,
- an addition to hardcopy distribution is required, or
- a deletion from hardcopy distribution is required.

Requests for a document may be made by telephone or e-mail. The Document Control Staff shall prepare a Form QAP 6-2-1 at the time of request.

Document Control shall update the Controlled Documents database and distribution lists and make any necessary distribution as requested on the form.

## 2.2 Recall of a Controlled Document

When a Controlled Document and its unique document control number is no longer needed or used, the author or QA Manager shall complete Form QAP 6-2-1 and submit it to the Document Control Staff.

The Document Control Staff shall:

- update the Controlled Documents database,
- generate and distribute the Transmittal/Recall Acknowledgement of a Controlled Document Form QAP 6-2-2 (sample shown in Appendix B) to recipients of hard copies,
- notify the OSTI Managers by e-mail for further dissemination, and
- remove the document from the on-line documents web site.

Document recipients acknowledge the recall of a document by completing Form QAP 6-2-2 as instructed, and returning it to the Document Control Staff within a reasonable time frame (preferably less than 30 days). The completed form must have the appropriate box checked, a signature, and a date. Upon receipt of Form QAP 6-2-2, the Document Control Staff shall update the Controlled Documents database.

If the recipient retains a recalled document, the front page shall be marked "Recalled". Such copies shall be kept physically separate from current, active controlled documents.

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## 3.0 Records

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The following Quality Assurance (QA) records, generated through implementation of this procedure, shall be prepared and submitted to the CRWM Records Center in accordance with QAP 17-1 (Records).

### QA Record

- Original of the Controlled Document
- Form QAP 6-2-1
- Any applicable support documentation (e.g., Document Review and Comment Form QAP 6-1-1)
- Form QAP 6-2-2

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## 4.0 Appendices

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Appendix A: Distribution/Recall of a Controlled Document Form QAP 6-2-1

Appendix B: Transmittal/Recall Acknowledgement of a Controlled Document Form QAP 6-2-2



### Appendix A

	<b>OSTI Distribution/Recall of a Controlled Document</b>	<b>Form Number: QAP 6-2-1</b>
		<b>Page 1 of 1</b>

Please type or print. If new or revised document, include one (1) ORIGINAL copy of the document to be copied for distribution and associated review documentation, if any, and electronic copy, preferably in Word.

**Requester's Name** \_\_\_\_\_ **Org** \_\_\_\_\_

Document Title (s)	Document Type/Number	Revision

**Please check all that apply:**

This is a/an

- entirely new document.
- revision; change bars are included (previous revisions superseded).
- recall. Document \_\_\_\_\_ Revision: \_\_\_\_\_. It is being replaced by the Document listed above.  
(a copy of this form to be placed in the records package of the recalled document)
- recall. Reason for recall: \_\_\_\_\_
- request for placement of hard copy of the Controlled Document(s) listed above.
- request to be added to the hardcopy distribution list for the Controlled Document(s) listed above.
- request to be deleted from the hardcopy distribution list for the Controlled Document(s) listed above.

List \_\_\_\_\_(s) within the document appendices to be made into templates:

**List of Recipients who need controlled paper copies:** (Fill out this section only if recipients do not have access to the web.)

Note: All Controlled Documents will be placed on the web at the following web address:  
<http://www.nwmp.sandia.gov/onlinedocuments>.

<u>Recipient</u>	<u>Address</u>

\_\_\_\_\_  
*Requester's Signature*  
*(Document Control Staff may sign for telephone or e-mail requests)*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Approved by Document Control*  
Return to: OSTI QA

\_\_\_\_\_  
*Date*

### Appendix B

# OSTI Transmittal/Recall Acknowledgement of a Controlled Document

Form Number:  
QAP 6-2-2

Page 1 of 1

Date \_\_\_\_\_

To \_\_\_\_\_ Org \_\_\_\_\_

From: SNL OSTI Document Control

Document ID \_\_\_\_\_ Revision \_\_\_\_\_

Document Title \_\_\_\_\_

Number of Pages \_\_\_\_\_

Control Number \_\_\_\_\_

**Instructions:**

- This is a new controlled document.
- This is a new controlled document replacing \_\_\_\_\_ Revision \_\_\_\_\_  
(which is now controlled and recalled). Discard the recalled document or prominently mark as "Recalled" and place in a location separate from other controlled documents.
- This document supersedes \_\_\_\_\_ Revision \_\_\_\_\_  
Discard the superseded document or prominently mark as "Superseded" and place in a location separate from the most current, active controlled document.
- The SNL OSTI Controlled Documents Staff is recalling this document. Discard the recalled document or prominently mark as "Recalled" and place in a location separate from other controlled documents.

Please check all that apply, sign and date.

- I acknowledge receipt of this document.
- I have performed the above action(s) and, if applicable, superseded/recalled documents have been discarded or marked "Superseded"/"Recalled" and placed in a separate location.
- I do not require this document; please remove me from distribution. Document has been destroyed.

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Date*

Please return this form by \_\_\_\_\_ to:  
OSTI QA