



Contact Person	Amy Harris-Tehan	Revision	0
Document	Plan 10200.038	Effective Date	08/15/11
		Review Date	08/15/14

Record Sign-Off

Reviewed by: _____ Date: _____
Amy J. Tehan, Document Control Coordinator

Approved by: _____ Date: _____
Tom E. Wessels, Manager, Environment, Safety, Health & Assurance

Approved by: _____ Date: _____
Mark L. Murphy, Chief Operations Officer

Approved by: _____ Date: _____
Debra L. Covey, Associate Laboratory Director for Sponsored
Research Administration

Approved by: _____ Date: _____
Duane D. Johnson, Chief Research Officer

Approved by: _____ Date: _____
Bruce N. Harmon, Deputy Director

Approved by: _____ Date: _____
Alexander H. King, Laboratory Director

Note: The original approval record for this document is maintained in the Training & Records Management Office, 151 TASF.

Contact Person	Amy Harris-Tehan	Revision	0
Document	Plan 10200.038	Effective Date	08/15/11
		Review Date	08/15/14

DOCUMENT CONTROL PROGRAM PLAN

This plan directs the preparation, review, approval, issuance, availability, and revision of documents with Laboratory-wide impact.

1.0 APPROVAL RECORD

- Reviewed by: Amy Tehan, Document Control Coordinator
- Approved by: Tom Wessels, ESH&A Program Manager
- Approved by: Mark Murphy, Chief Operations Officer
- Approved by: Deb Covey, Associate Laboratory Director for Sponsored Research Administration
- Approved by: Duane Johnson, Chief Research Officer
- Approved by: Bruce Harmon, Deputy Director
- Approved by: Alex King, Director

The official approval record for this document is maintained in the Training & Records Management Office.

2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

The Ames Laboratory recognizes the importance of documents that prescribe processes, specify requirements, or establish design. The Document Control (DC) Plan ensures that only approved, current versions of such documents are used in the workplace or transmitted to outside entities. This plan directs the preparation, review, approval, issuance, availability, and revision of documents with Laboratory-wide impact. The level of control for each document should be established according to the complexity and hazards associated with the activities represented by each document. Documents, regardless of origin and having Laboratory-wide impact, shall be registered and tracked through DC as part of the Laboratory's Quality Assurance Program.

3.1. Definitions

Document types are defined as follows:

- **Plan:** A statement of purpose for future action designed to achieve specific goal(s) within a specific time frame or in case of an event. A plan explains what needs to be done, when, how, and by whom.
- **Policy:** A high level description of required controls for regulating processes. A policy is a set of declared principles used to direct actions in pursuit of goals and in preservation of the Lab as an organization.
- **Procedure:** Specific actions used to carry out policies and/or plans in the day-to-day operations of the Laboratory. Procedures may be added to policies or plans as attachments.
- **Manual:** Comprehensive, step-by-step directions for a particular task or set of tasks that serves as a reference book. A manual details what is required, explains how to

Contact Person	Amy Harris-Tehan	Revision	0
Document	Plan 10200.038	Effective Date	08/15/11
		Review Date	08/15/14

put the presented information into practice, and instructs how to solve problems as they occur.

- **Handbook:** Small scale version of a manual, perhaps focusing on fewer tasks.
- **Guide:** A recommended practice that allows some discretion or leeway in its interpretation, implementation or use. Guidance statements may be included within other prescriptive documents, but must be noted as such.
- **Training Media:** A Power Point presentation, video, lecture notes, or other document used to conduct a training event at the Ames Laboratory.
- **Form:** A formatted document containing blank fields (spaces) that allow the user to enter information (text fields, text area fields, drop-down menus, check-boxes, etc.).

In some instances, it may be difficult or impractical for a document to adhere to only one document type. There may be plans, policies or manuals that contain procedures or guidelines. In these cases, the document type should be determined by the author and the Document Control Coordinator (DCC).

4.0 ROLES AND RESPONSIBILITIES

4.1. Document Control Coordinator

The Document Control Coordinator is responsible for:

- Maintaining a database to track documents with Laboratory-wide impact (the DCC will also track the internal documents of Laboratory offices or groups upon request). The database contains information for each document, including document type, name and number, author and originating office, effective date, review date, and status.
- Generating new document numbers upon request, and reminding document authors of upcoming review dates.
- Overseeing the review, routing and approval of documents. The DCC works with document authors, ensuring proper formatting and consistency before requesting approval.
- Providing document development assistance, including creating bookmarked or fillable PDFs, and providing barcodes for forms.
- Coordinating any changes requested by approvers and tracking approval progress.
- Maintaining records of document approval, notifying document authors when the approval process is complete, and posting approved documents online as specified by document authors.

4.2. Document Authors

Document authors are responsible for:

- Requesting document numbers from the Training & Records Management Office in 151 TASF, and for submitting documents for approval. *Authors are responsible for the content of documents in accordance with their line management.*
- Consulting the DCC with any questions regarding document preparation.

Contact Person	Amy Harris-Tehan	Revision	0
Document	Plan 10200.038	Effective Date	08/15/11
		Review Date	08/15/14

- Providing a Document Submission Form (Form 10200.200) with each new or revised document.
- Adhering to, as much as is practical, the document templates provided by the Training & Records Management Office when developing or revising documents.
- Maintaining a detailed revision description.
- Performing revisions as scheduled or as necessary based on policy or procedure changes, DOE audits, or regulatory changes.
- Notifying affected users when there is a new or revised version of a document.

4.3. Document Approvers

Approvers are responsible for reviewing, commenting on, and approving documents that they are requested to approve in a timely manner.

4.4. Document Users

Document users should be diligent in using the most recent versions of all documents (do not save local copies of documents). Current versions of all documents will be available online, and users should refer to these at all times.

5.0 PREREQUISITE ACTIONS AND REQUIREMENTS

5.1. Document Planning

Authors shall assess whether new documents will have Laboratory-wide impact. The DCC can assist with this assessment when requested. If a document is determined to have Lab-wide impact, the author should complete the Document Submission Form and return it to the Training & Records Management Office.

6.0 PROGRAM PLAN

The core activities of the Document Control Program are document development, review and revision, document approval, and document availability and use.

6.1. Document Development, Review, Revision, Approval, and Availability

6.1.1. Document Development

Laboratory-wide documents should be developed according to the policies, procedures and guidelines set forth in this plan. Each document must be assigned a document number and entered into the DC database. Documents should follow the format set by the Laboratory's document templates. Authors can use the Ames Laboratory Document Template or the Ames Laboratory Form Template to begin new documents. Each document or form must be accompanied by a Document Submission Form, and submitted electronically to the DCC via email.

All documents, with the exception of forms, trainings and handouts, shall begin with an approval record, followed by revision/review information. Forms related to vital records, or containing information that must be preserved or tracked as part of the Records Management Program, shall include a barcode on the bottom right hand corner of the first page. Authors should contact the DCC to determine whether a form needs a barcode, and to obtain a barcode. Authors must determine whether a document should be posted online, and instruct the DC office as such.

Contact Person	Amy Harris-Tehan	Revision	0
Document	Plan 10200.038	Effective Date	08/15/11
		Review Date	08/15/14

Internal documents from Laboratory offices or groups that are tracked through the Document Control Program shall adhere to the policies and procedures described above.

6.1.2. Document Review and Revision

All documents must be assigned a review period, as determined by the author, less than or equal to five years. The review date must be included in the header for all documents (with the exception of forms, trainings and handouts) and must be noted on the Document Submission Form. When a revision is necessary, either as a scheduled review or as the result of a regulatory or other change, the document author must:

- Create a new, or add to an existing revision description (forms and handouts do not require revision descriptions).
- Change the version number of the document. For substantial revisions that require approval, the version number should be changed in whole numbers (e.g., version 3 to version 4). For minor revisions that do not require approval, the version number should be changed in decimal increments (e.g., version 3 to version 3.1). For scheduled reviews, if no major changes to the document are made, the version stays the same and the document does not need to be routed, but the review date should be updated in the DC database and on the document itself.
- To allow time for routing and approval, post-date the document's effective date two weeks.
- Send the revised document, along with the revision description, to the Training & Records Management Office for approval (if necessary) and posting online. All documents and submission forms should be sent to doccontrol@ameslab.gov. Archive the old version of the document.

Once all materials are gathered and the document has been approved, the DCC will update the database, file the approval paperwork, and post the new version of the document online. The DCC will notify the document author once this process is complete.

6.1.3. Document Approval

All documents with Laboratory-wide impact must have approval from the appropriate line management as follows:

- Policies and plans must be approved by the supervisor or program manager and all of Executive Council.
- Manuals, procedures and guides must be approved by the supervisor or program manager and by the member of Executive Council who has oversight of the originating office.
- Forms, trainings and handouts must be reviewed by the supervisor or program manager.

For minor revisions of policies, plans, manuals, procedures, handbooks, and guides, the document must be approved by the supervisor or program manager.

Although a standardized protocol is currently unavailable, the Information Systems department is exploring methods for electronic routing and approval of documents. In the interim, the Laboratory's email and shared file systems will be utilized to route and

Contact Person	Amy Harris-Tehan	Revision	0
Document	Plan 10200.038	Effective Date	08/15/11
		Review Date	08/15/14

approve documents.

6.1.4. *Document Availability*

All Lab-wide documents should be available online, and all policies, plans, manuals, guidelines, handouts, trainings and forms that are available online must have a document number. The format in which documents are made available should be determined by the document author and the DCC.

7.0 **Post Performance Activity**

This program will be assessed every three years at a minimum to ensure the plan is effective, and that Laboratory employees are aware of, and adhering to the requirements.

8.0 **References**

Document Control Submission Form (Form 10200.200)

Ames Laboratory Document Template

Ames Laboratory Form Template