

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

DOCUMENT CONTROL PROGRAM PLAN AND PROCEDURE

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

1.0 APPROVAL RECORD

- Reviewed by: Document Control Coordinator (Hilary Burns)
- Reviewed by: Records Management (Rhonda DeShong)
- Reviewed by: Training and Documents Quality Assurance (Molly Granseth)
- Approved by: Quality Assurance Program Manager (Sean Whalen)
- Approved by: Legal Counsel (Barbara Biederman)
- Approved by: Assistant Director for Scientific Planning (Cynthia Jenks)
- Approved by: Associate Laboratory Director for Sponsored Research (Deb Covey)
- Approved by: Chief Operations Officer (Mark Murphy)
- Approved by: Chief Research Officer (Duane Johnson)
- Approved by: Deputy Director (Thomas Lograsso)
- Approved by: Laboratory Director (Adam Schwartz)

The official approval record for this document is maintained by Training & Documents.

2.0 REVISION/REVIEW INFORMATION

In accordance with the Document Control program, this plan will be reviewed at a minimum of every three years. 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 and ensures only approved, current versions of documents are used in the workplace or transmitted to outside entities. This plan directs the preparation, review, approval, issuance, availability, and revision of documents having Laboratory-wide impact. Documents having Laboratory-wide impact, regardless of origin, shall be registered and tracked through Document Control as part of the Laboratory's Quality Assurance Program.

3.1. Definitions

3.1.1. *Document Submission Form*: Provides information to the Document Control staff as to how the document submitted for review should be processed.

3.1.2. *Document Types*:

- *Charter*: A document that defines the formal organization of a specialized group at Ames Laboratory, and outlines its mission, responsibilities, and goals. These documents are to have a maximum 5-year revision cycle, and must be approved by the program director/department manager and all of Executive Council.
- *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.). These documents are to have a maximum 5-year revision cycle, and must be approved by the program director/department manager.

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

- **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. These documents are to have a maximum 5-year revision cycle, and must be reviewed by the program director/department manager.
- **Handbook:** Small scale version of a manual, perhaps focusing on fewer tasks. These documents are to have a maximum 5-year revision cycle, and must be reviewed by the program director/department manager on the same cycle as the parent document.
- **Handout:** A short guidance document providing highlights of a specific plan or procedure to be used as a quick reference. These documents are to have a maximum 5-year revision cycle, and must be reviewed by the program director/department manager on the same cycle as the parent document.
- **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 put the presented information into practice, and instructs how to solve problems as they occur. These documents are to have a maximum 3-year revision cycle, and must be approved by the program director/department manager and the member of Executive Council having oversight of the originating program area.
- **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. These documents are to have a maximum 3-year revision cycle, and must be approved by the program director/department manager and all of Executive Council.
- **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 Laboratory as an organization. These documents are to have a maximum 3-year revision cycle, and must be approved by the program director/department manager and all of Executive Council.
- **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. These documents are to have a maximum 3-year revision cycle, and must be approved by the program director/department manager and the member of Executive Council having oversight of the originating program.
- **Report:** A document created for the purpose of disseminating information about a specific topic, event, or action being performed at Ames Laboratory to an external source. The frequency of report preparation will be determined for each report individually based on applicable driving factors. Reports are not required to go through the approval process.

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 Document Control staff.

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

Please see Appendix A for a printable chart that details the document types, document descriptions, review cycles and approval information.

- 3.1.3. *Effective Date*: The date on which a document is considered to take effect. The date should fall on either the first day of the month or the 15th day of the month.
- 3.1.4. *Intra-departmental Documents*: Those documents that function to assist a department in completing day-to-day tasks. These documents are entered into the document control process to ensure they are reviewed on a consistent basis and may or may not appear on the Ames Laboratory website.
- 3.1.5. *Inter-departmental Documents*: Those documents being used between two or more departments, but not necessary for all Ames Laboratory personnel to complete their work duties. These documents are entered into the document control process to ensure they are reviewed on a consistent basis and may or may not appear on the Ames Laboratory website.
- 3.1.6. *Lab-wide Documents*: Those documents having Laboratory-wide impact or being used by a majority of Ames Laboratory personnel.
- 3.1.7. *Review Date*: The date by which the next revision of a document should be approved and activated for use by Ames Laboratory personnel. The review date is determined based on document type. The review date should fall on the same month and day as the effective date.
- 3.1.8. *Revision Description*: Maintained by the author and outlines the changes made to a document over time. This information is transferred to the Document Submission Form at the time of review.
- 3.1.9 *Bar code*: A unique document identifier generated by records management staff that is added to the bottom of the first page of some forms and documents that are considered to be vital records. Bar codes are assigned to documents based on conversations between Records Management staff and staff from the document's office of origin.

4.0 ROLES AND RESPONSIBILITIES

4.1. Document Control Staff

Document Control staff is responsible for:

- Maintaining a database to track documents having Laboratory-wide impact (Document Control staff will also track the internal documents of Laboratory offices or groups upon request). The database will:
 - Contain information for each document, including document type, document name, document number, author and originating office, effective date, review date, revision number, and status.
 - Maintain a historical record of documents including the active document as well as all inactive versions.
 - Be formatted to send out automatic notifications that remind authors 90, 30 and 7 calendar days prior to a document's scheduled review date.

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

- Be formatted to send out automatic notifications that remind an author's supervisor 30 and 7 calendar days prior to a document's scheduled review date.
- Generating new document numbers upon request.
- Generating bar codes to be included on vital records.
- Overseeing the review, routing and approval of documents including proper formatting and consistency as well as requesting approval from appropriate individuals.
- Providing document development assistance, including creating bookmarked or fillable PDFs.
- 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 on the Ames Laboratory website as specified by the [Document Submission Form](#).
- Ensuring documents posted on the Ames Laboratory website are the current, active versions and documents that are replaced by newer revisions are removed and properly archived in the IBM Content Management system.

4.2. Document Authors

Document authors are responsible for:

- Assessing whether new documents will have Laboratory-wide impact. Documents having Lab-wide impact must be tracked through the Document Control Program.
- The content of documents in accordance with their line management.
- Using only the most recent version of the document when submitting a document for approval. Document authors will avoid saving documents to their personal computers and access documents through the Ames Laboratory website or request copies from the Document Control Office. This is necessary to ensure high levels of quality control and to avoid duplicating changes over time.
- Consulting Document Control staff with any questions regarding document preparation.
- Requesting document numbers from Document Control staff for new documents.
- Providing a [Document Submission Form](#) with each document. On this document the author will:
 - Indicate all known information about the document including the document title, document number, revision number, associated department, effective date, review date and author.
 - Identify whether it is intra-departmental, inter-departmental or Lab-wide. See section 3.1 for definitions.

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

- Specify the purpose of the revision (e.g. scheduled review, change to DOE Order, etc.).
- Identify all of the changes made during the most recent review.
- Identify how the document should be posted to the website. These options include:
 - Posted publically so all Ames Laboratory and non-Ames Laboratory personnel can view.
 - Posted privately so only Ames Laboratory personnel can view when they are logged-in to the website.
 - Not posted to the web and only maintained in the Document Control database.
- Adhering to, as much as is practical, the document templates available on the Ames Lab website when developing or revising documents:
 - [Ames Laboratory Forms and Handouts Template](#)
 - [Ames Laboratory Document Template](#)
 - [Ames Laboratory Document Chapter or Section Template](#)
- Maintaining a detailed revision description for all documents with the exception of forms and handouts. This revision description can be formatted in any way the author chooses, but changes made in the current revision should be copied and pasted into the [Document Submission Form](#).
- Performing revisions as scheduled or as necessary based on policy or procedure changes, or regulatory changes.
- Addressing all approver comments and suggestions during the approval process for a new revision. Suggestions are not required to be incorporated into a document, but justification should be provided if the author chooses not to implement suggested changes.
- Submit all documents for approval to doccontrol@ameslab.gov

4.3. Document Approvers

Approvers are responsible for reviewing, commenting on, and approving documents. To assist in a timely and organized process, all documents needing approval will be housed in the Ames Laboratory approved CyBox and subject to a one-month time limit for review.

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 frequently used documents will be available online, and users should refer to these at all times.

5.0 PROGRAM PLAN

The core activities of the Document Control Program are document development, review, revision, approval, and document availability. A [quick reference handout](#) is available for authors.

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

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

5.1.1. Document Development

Laboratory-wide documents will be developed according to the policies, procedures and guidelines set forth in this plan. Each document will be assigned a document number and entered into the Document Control 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 Forms and Handouts Template](#) to begin new documents.

All documents, with the exception of forms, guides and handouts, shall begin with an approval record, followed by revision/review information. Some documents related to vital records, or containing information that must be preserved or tracked as part of the Records Management Program, will include a bar code on the bottom right hand corner of the first page. Authors should contact Document Control staff to determine whether a form needs a bar code, and to obtain a bar code. Internal documents from Laboratory offices or groups that are tracked through the Document Control Program shall adhere to the policies and procedures described above.

5.1.2. Document Review and Revision

All documents are assigned an effective date and a review date as determined by the document type (see Section 3.1). The effective date and review date must be included in the header for all documents (with the exception of forms and handouts). 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 revision number of the document.
 - For substantial revisions that require approval, and for all scheduled reviews regardless of the scope of changes, the revision number should be changed in whole numbers (e.g., version 3 to version 4) and the effective date and next scheduled review date should be updated to reflect the review period.
 - For minor revisions that do not require approval, the revision number should be changed in decimal increments (e.g., version 3 to version 3.1) along with the effective date, but the next scheduled review date *should not be changed*.
- Effective dates should be set to the first date of the month following the month the document is submitted for approval. For example, a document sent in April for approval during the month of May, should have an effective date of June 1.
- Send the revised document, along with the Document Submission Form, to doccontrol@ameslab.gov.

Once all materials are gathered and the document has been approved, Document Control staff will update the database, archive the approval records, and post the new version of the document online (if applicable). The document author will be notified once this process is complete.

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

5.1.3. Document Approval

All documents with Laboratory-wide impact must have approval from the appropriate line management as outlined in Section 3.1.

If a document only requires minor revisions and the changes are being made prior to the need for full review, the document only requires review by the supervisor or program manager. This process will be reflected by a decimal point change to the revision number (i.e. Rev 1.0 to Rev 1.1) If a document is due full review and only minor changes are required, the document will need to go through full review and the revisions number be moved by one full number (i.e. Rev 1.0 to Rev 2.0) For minor revisions of policies, plans, manuals, procedures, and handbooks, the document must be reviewed by the supervisor or program manager. In addition, if a document lists reviewers on the approval record, the author is responsible for ensuring that all reviewers have an opportunity to review the document before it is submitted to Document Control to be routed for final approval.

The Laboratory's email and CyBox will be utilized to route and approve documents.

5.1.4. Document Availability

All policies, plans, manuals, guidelines, handouts, procedures, charters and forms that are available online must have a document number, and should follow as closely as is practical the appropriate document format. The file format in which documents are made available should be determined by the document author and Document Control staff, but a PDF is the preferred option.

6.0 PROGRAM PROCEDURES

6.1 Ames Laboratory Document Submission, Review, and Approval Procedure

In an effort to ensure all documents are reviewed in a timely fashion the Document Control Office has established the following process for authors, reviewers and approvers:

- 1) Automatic notifications are sent to document authors 90, 30 and 7 days prior to the document review date. This notification will provide the author with information about the specific document as well as the review date by which the document needs to be posted to the website.
- 2) The document author requests a copy of the most recent version of the document from the Document Control Office by email (doccontrol@ameslab.gov). Document authors should not use copies of the document that are saved to their personal computers.
- 3) The author reviews the document and makes any necessary changes and updates the revision description. If the document requires review by other departments, the author solicits that feedback at this time.
- 4) The author completes a Document Submission Form and sends it, along with a Microsoft Word version of the document to doccontrol@ameslab.gov

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

- 5) Document Control staff review emails from authors containing Submission Forms and documents due for revision as they arrive, however they are typically processed during the last week of each month. Documents submitted to Document Control between the first and last days of the month will be sent for approval the following month; however emails that miss this cutoff will not be processed until the next month. For example an email that arrives on April 15 will be sent for approval during May; however an email that arrives on May 2 will not be sent for approval until June. If an author submits a document for review prior to the 30 or 7 day reminder, Document Control staff will ensure no reminder is sent. Please see Appendix B for an example of this notification. The Document Control staff review the document and post it in the Document Control CyBox for approver access (more detailed information is included in Section 7.2).
- 6) When an individual receives notification their approval is required on a document, they are responsible for logging-in to CyBox, providing feedback and selecting one of the following on the approval form:
 - a. Approve
 - b. Approve with changes
 - c. Make changes, re-route or
 - d. Decline to review (not my area of expertise)

Approvers have one month to approve all assigned documents. If at the end of one month they have not provided approval it is assumed they accept the document as it is written.

- 7) The Document Control Office notifies the author that the document has been approved. The author is then responsible for addressing any comments and making any necessary changes.
- 8) The author notifies the Document Control Office via doccontrol@ameslab.gov the document has been finalized.
- 9) The Document Control Office then sends an email to the Director indicating the documents in CyBox are ready for final approval.
- 10) Once approval has been granted, the Document Control Office saves the document, updates the database and posts the document to the Ames Laboratory website (if applicable).
- 11) The Document Control Office notifies the author the document has completed review.

6.2 Ames Laboratory Document Control Office Procedures

The Document Control Office has implemented new procedures in an effort to streamline the review process and decrease past due documents. The Document Control Office currently uses SharePoint to maintain records of the documents, stores current and archived versions of the documents on the Ames Laboratory server and uses CyBox to assist in the approval process. The following procedure is used by

Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

Document Control staff:

- 1) Automatic notifications are sent to document authors from SharePoint 90, 30 and 7 days prior to the document review date. This notification will provide the author with information about the specific document as well as the review date by which the document needs to be posted to the website. If an author submits a document for review prior to the 30 or 7 day reminder, Document Control staff will ensure no reminder is sent. Please see Appendix B for an example of this notification.
- 2) Document Control staff receive an email from the document author requesting a copy of a document needed for review. The staff provides the author with a Microsoft Word version of this document.
- 3) All documents needing approval are emailed to doccontrol@ameslab.gov. Emails are reviewed as they arrive, however are typically processed during the last week of each month. Emails that arrive between the first and last days of the month will be sent for approval the following month; however emails that miss this cutoff will be processed for the following month. For example an email that arrives on the April 15 will be sent for approval during May; however an email that arrives on May 2 will not be sent for approval until June.
- 4) The document submission form as well as the document are reviewed for accuracy and saved on the Ames Laboratory server. Review of the document by the Document Control staff includes fixing grammar errors, sentence structure and templating. Any large concerns that may arise will need to be resolved by the document author before the document is sent for approval.
- 5) An approval form is created and saved on the Ames Laboratory server.
- 6) A folder is created on the Ames Laboratory approved CyBox using the format *Document Title (Document Type and Document Number)*.
- 7) The Document Submission Form, approval form and document are transferred to CyBox.
- 8) The Document Control staff ensures that all document authors and approvers have access to the appropriate CyBox.
- 9) The Document Control Coordinator emails all approvers and notifies them that documents are ready for their review. This email is sent during the first week of the month. Approvers have until the last day of the month to complete their review and provide approval.
- 10) The Document Control staff attaches the version with comments to the approval form and saves to the Ames Laboratory server.
- 11) The first day of the month following approval, the Document Control staff email document authors to let them know they need to address any of the comments



Contact Person	Hilary Burns	Revision	0.2
Document	Plan 10203.001	Effective Date	11/01/2016
		Review Date	06/01/2019

made by the approvers. The Document Control staff provides a one week deadline.

- 12) The Document Control staff save the document to the Ames Laboratory server, update the database, archive the old version of the document and post the document to the Ames Laboratory website.
- 13) Email notification is sent to document authors that the updated version of the document is posted to the website.

7.0 POST PERFORMANCE ACTIVITY

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

APPENDIX A

Document Type	Description	Renewal Cycle in Years	Approved By:
Charter	Defines formal organization of a specialized group and outlines mission, responsibilities, and goals.	5	Program Director Executive Council
Form	A formatted document containing blank fields that allow the user to enter information.	5	Program Director or Department Manager
Guide	A recommended practice that allows some discretion or leeway in its interpretation or use.	5	Program Director or Department Manager
Handbook	Small scale version of a manual, perhaps focusing on a few tasks.	5	Program Director or Department Manager
Handout	A short guidance document providing highlights of a specific plan or procedure to be used as a quick reference	5	Program Director or Department Manager
Manual	Comprehensive, step-by-step directions for a particular task or set of tasks that serves as a reference book.	3	Program Director Executive Council with oversight of the program area
Plan	A statement of purpose for future action designed to achieve specific goals within a specific time frame or in case of an event.	3	Program Director Executive Council
Policy	A high level description of required controls for regulating processes. Set of declared principles.	3	Program Director Executive Council
Procedure	Specific actions used to carry out policies and/or plans in the day-to-day operations of the Lab.	3	Program Director Executive Council with oversight of the program area

APPENDIX B

Review Due Notification

You have a review due on 2/1/2016 for your document "Hoisting & Rigging Inspection Checklist".

Please review the document and send any revisions/updates to the Training & Documents Office. This task was assigned to you because you are listed as the Contact for this document.

An updated version of is due to be posted to the website in 7 days. DO NOT use copies of this document you may have saved on your computer. All updates must be made to the document available on the Ames Lab website.

Please send a Word copy along with the Document Submission Form (https://www.ameslab.gov/sites/default/files/form_10203.002_rev0_0.pdf) to doccontrol@ameslab.gov.

For assistance, contact:

Ames Laboratory, Training & Documents Office, 294-9972 (front desk)

Hiliary Burns, hburns@ameslab.gov, 294-1376

Molly Granseth, mgranseth@ameslab.gov, 294-2864

Title:	Hoisting & Rigging Inspection Checklist
Document Type:	Form
Document Number:	10200.119
Revision:	4
Contact:	
Review Due Date:	2/1/2016

T&D: Document Review Due Notification