

Implementation of Document Control Requirements

Physics Division Procedure PHY-PROC-1, DRAFT

Effective Date: 09/06/2013

1 Purpose

Establish the process for defining and implementing Argonne's document control requirements in the Physics Division.

2 Scope

This procedure applies to the following Argonne activities and entities.

LMS core processes:	Governance
Organizations:	PHY
Buildings:	All buildings occupied by the Physics Division
Specific locations:	all
Other applicability factors:	none
Exclusions:	none

3 Work Process

3.1 Introduction

The Physics Division uses this procedure to develop and issue requirements for version control of documents used within the Division. Areas of responsibility for document control are as follows:

Responsible party	Area of responsibility
ESH/QA Engineer	Defines version control methods for all policies, procedures, and blank forms that are Division-wide in scope. Sets Divisional standards for document control.
Division Director or Designee	Determines the need and assigns responsibility for creation or modification of Divisional Controlled Documents.
Division Records Retention Representative	Manages document control and retention in accordance with Laboratory Policies and Procedures.

In the step-by-step procedure that follows, the term "responsible party" is used to refer to both core process owners and organizational line managers acting within the above areas of responsibility.

The current version of this procedure resides at <http://phy/anl.gov/division/esh>.

Printed or electronically downloaded copies may be obsolete. Before using such a copy for work direction, employees must verify that it is current by comparing its revision number to that shown in the on-line version.

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3.2 Step-by-Step Procedure

The steps below are mandatory unless noted otherwise.

Step	Job Role	Action
1	Division Director or Designee	1.1. Determine the need for and assign a responsible author to create or modify controlled Division documents
2	Author	2.1. Take one of the following actions: 2.1.1. If creating a new document, draft in accordance with the Physics Division's format and content requirements 2.1.2. If revising an existing copy, obtain an editable copy of the current document and revise in accordance with the Physics Division's format and content requirements
3	ESH/QA Engineer	3.1 Identify documents that must be controlled. Documents must be controlled if they provide information necessary to safely and effectively plan, operate, and control work processes under the LMS, including documents needed to conduct business in conformance with the UChicago Argonne, LLC, contract and international standards ISO 9001:2008 and ISO 14001:2004. These documents may be of internal or external origin. Documents that must be controlled and the means of controlling them are as follows: <ul style="list-style-type: none"> • ATLAS Procedures shall be maintained in the office of the Facility Manager's assistant until they are converted to the ANL WCD system, at which point they shall be maintained in the WCD system. • Engineering drawings shall be maintained in the office of the engineer responsible for them • Work authorization documents that define required scope or methods shall be maintained in the WCD system. • Division-wide safety documents shall be maintained on the Physics Division's ESH Page
4	Division Director or Designee	4.1. Review, approve or define the approval process required. 4.2. Take one of the following actions: <ul style="list-style-type: none"> 4.2.1. Approve or disapprove the document 4.2.2. If disapproved, return the document to the author for revision

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The records listed below must be retained as indicated.

4 Records Created by Work Process

Description of Record (include form number if applicable)	Custodian	Indexing Method, Storage Medium	Federal Retention Requirements
Superseded local document control procedures	Individual designated by responsible party	Manage digitally in a designated information system or index by procedure number in local paper files	Permanent retention (DOE ADM 16.1.1)
Documentation of procedure reviews and approvals	Same as for the associated procedure	Manage digitally in a designated information system or index by procedure number in local paper files	Permanent retention (DOE ADM 16.1.1)

*If records are maintained in a business information system that is not currently programmed to purge digital records based on age, records may be retained in that system past the indicated destruction date.

5 Related Documents

This procedure implements requirements established by the following basis documents.

U.S. DOE, *Quality Assurance*, directive O 414.1D.

International Organization for Standardization, *Quality Management Systems – Requirements*, ISO 9001:2008. [Available](#) through the Argonne Research Library.

International Organization for Standardization, *Environmental Management Systems – Requirements with Guidance for Use*, ISO 14001:2004. [Available](#) through the Argonne Research Library.

This procedure implements requirements established by the following Argonne policies

None

This procedure implements requirements established by the following Argonne procedures.

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Laboratory-Wide Argonne Procedure LMS-PROC-1, Rev. 3

Effective Date: 11/20/2012

The following documents provide background information relevant to the subject of this procedure.

Argonne [Quality Assurance Program Plan](#).

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6 Definitions

The following terms used in this document are defined in the [Argonne Policy and Procedure Dictionary](#).

[basis document](#)

[controlled document](#)

[core process](#)

[document](#)

[Laboratory Management System](#)

[Laboratory-wide policy](#)

[Laboratory-wide procedure](#)

[local procedure](#)

[process](#)

[record](#)

7 About this Procedure

Issuing LMS core process:	Governance
LMS subprocess:	not applicable
Issuing organization:	Physics Division
Final approver:	R.V.F. Janssens
Point of contact:	Tom Mullen
Review cycle (months):	36
Date last revised:	N/A
Date last reviewed:	N/A

8 Summary of Changes in This Version

This is a new procedure.