U. S. Department of Energy
Carlsbad Field Office

MANAGEMENT PROCEDURE

CBFO MP 4.4, Rev. 5

Effective: 20 July 05
Expires: 20 July 07

SUBJECT: DOCUMENT PREPARATION AND CONTROL

Manager, Carlsbad Field Office: Signature on File   Date: 7/20/05

PURPOSE

The purpose of this procedure is to establish an effective, coordinated program for the preparation, approval, control, and distribution of Carlsbad Field Office (CBFO) documents.

SCOPE

This procedure applies to CBFO program documents prepared for distribution to other government organizations or the public. Within the context of this procedure, correspondence, presentations, and budgetary material are specifically excluded. This procedure may be used as guidance by other program participants for the preparation of CBFO documents. This procedure supersedes Management Procedure (MP) 4.4, Revision 4, *Document Preparation and Control.*

3.0   REFERENCES AND DEFINITIONS

3.1   References

DOE Order 414.1A, *Quality Assurance* (QA)

DOE Order 1340.1B, *Management of Public Communications Publications and Scientific, Technical, and Engineering Publications*

DOE Order 5480.19, Attachment I

DOE Guide G241.1-1, August 1998, *Guide to the Management of Scientific and Technical Information*

U. S. Government Printing Office Style Manual

S. Pub. 101-9, February 1990, Government Printing and Binding Regulations, published by the Joint Committee on Printing, Congress of the United States

DOE/CBFO-94-1001, *Information Management Plan*

DOE/CBFO-94-1012, *Quality Assurance Program Document*

MP 1.2, *Selection of Quality Levels*

MP 4.2, *Document Review*

3.2   Definitions

- **Document Services** - The group within the managing and operating contractor organization responsible for support to the Office of Business in maintaining the document records, categorizing documents, reviewing and maintaining documentation, assigning unique identification numbers to program documents, printing and distributing documents, and providing change control as required.

- **Interim Change** - A minor change to a document or to a process that does not alter the intent of the document.

- **Major Change** - Any change that does not meet the definition of an interim or minor change.

- **Minor Change** - Minor changes to documents may be made without subjecting the document to the same level of review necessary for a new or revised document. The following items are considered minor changes:

     A.   Corrections to grammar or spelling (provided the meaning is not changed)

     B.   Renumbering sections or attachments

     C.   Updating organizational titles (unless accompanied by a change in responsibilities)

     D.   Changes to non-quality-affecting schedules

     E.   Revising or reformatting forms (provided the original intent of the form is not altered)

     F.   Revising attachments marked "Example," "Sample," or exhibits that are clearly intended to be representative only

     G.   Clarification changes that do not affect the intent of the document

- **Program Document** - A document that is numbered and contains information derived from activities supported in whole or in part by the CBFO, generated by a program participant, and distributed outside that participant's organization.

- **Review/Approval Matrix** - A list created with each document, identifying the proposed reviewers and the type of review each is expected to perform. The review/approval matrix also identifies the manager responsible for final approval of the document.

4.0   <u>RESPONSIBILITIES</u>

4.1   CBFO Manager

Ensure that CBFO documents are reviewed and approved at appropriate levels within the CBFO.

4.2   Assistant Manager for Operations/Office Director

4.2.1   Review those documents as identified by the review/approval matrix (CBFO Form 4.2-1).

4.2.2   Ensure that requested documents or revisions are necessary.

4.2.3   Initiate preparation of documents in areas of responsibility.

4.2.4   Examine the review/approval matrix and distribution list for completeness.

4.2.5   Ensure that reviews are conducted in compliance with MP 4.2, *Document Review*.

4.2.6   Determine if a document requires controlled distribution.

4.2.7   Approve those documents as identified by the review/approval matrix.

4.3   Chief Information Officer (CIO)

4.3.1   Control and issue document numbers.

4.3.2   Provide guidance on preparation of a document for electronic publishing and printing, and facilitate printing and distribution of controlled copies.

4.3.3   Ensure that all document records packages are maintained in accordance with current CBFO records management procedures.

4.3.4   Ensure that the latest edition of all changed or revised documents is available on the WIPP home page within two working days of document approval.

4.4   Preparer

4.4.1   Request a document number from the Chief Information Officer or Document Services.

4.4.2   Prepare the draft document for review and comment in accordance with applicable sections of this procedure.

4.4.3   Initiate the document review process as required by MP 4.2.

4.4.4   Ensure that records packages are complete prior to submission of the document for signature and distribution.

5.0   PROCEDURE

5.1   Document Preparation

5.1.1   Before a document is produced, the requestor should evaluate the need, end use, cost-effectiveness, intended audience, duplication of effort, regulatory and technical requirements, and any external organization's requirements or agreements related to the document. Discussions with affected team members and the appropriate approval authority are recommended to ensure agreement on the need for the document.

5.1.2   If the proposal is approved, the preparer shall prepare a review/approval matrix. If the document is to be distributed in hard copy, a draft distribution list should also be prepared. When the documents are complete, they should be reviewed by the appropriate approval authority.

5.1.3   The preparer will provide a copy of the matrix to the CIO, who will contact Document Services for a draft document number. If the CIO is absent, the preparer may obtain the document number directly from Document Services, but should notify the CIO via voice mail or e-mail.

5.1.4   The draft number of a new document will have the word "DRAFT" in place of the year until the document is ready for final distribution via posting on the web site or printing. All documents must have a year designation in the document number. If a document has an old number without a year, at the next revision a new number shall be obtained from the CIO to ensure uniform document numbering of all program-related documents.

5.1.7 The preparer shall coordinate the preparation, review, and distribution of the document with the appropriate approval authority. Document reviews shall be conducted in accordance with MP 4.2, *Document Review*.

5.1.8 Format for CBFO program documents

A. The Government Printing Office Style Manual shall be used to determine proper capitalization, punctuation, grammar, and style.

B. All program documents shall have the Department of Energy (DOE) shield on the cover/title page.

C. The document number shall be in the upper right corner of the cover/title page, and may be included as a header or footer in the document.

D. Documents that are printed for distribution have traditionally contained blank pages to ensure a chapter or section begins on the right (as opposed to left) side of a book-layout. Such pages usually contain the phrase "This page intentionally left blank." This is unnecessary with electronically published documents.

E. Electronically distributed documents will have page numbers beginning with Arabic one ("1") on the cover/title page and continuing consecutively through to the end of the document.

5.1.9 Policies and Charters

Policies and charters are issued under letter numbers. They do not normally have a title page or a signature sheet. Correspondence for issuance of policies and charters shall be prepared as described in MP 5.3, *Correspondence Standards*.

5.2 Document Changes

Change control is required for all changes.

5.2.1 Approval Levels

A. Major changes shall be reviewed and approved by the same organizations that performed the original review and approval unless other organizations are specifically designated on the document review/approval matrix.

B. Interim and minor changes shall be reviewed and approved by (at a minimum) a technical person, the QA Manager or designee, and the same level of authority as approved the original document (usually the CBFO Manager, Assistant Manager, or responsible office director).

C. If this authority is delegated to a lower level, a letter documenting this delegation shall be included in the records package for the document.

5.2.2 Interim changes will be accomplished using the review/approval matrix and document review record (CBFO Form 4.2-2) in accordance with MP 4.2.

5.2.3 No more than five interim changes will be allowed before a document undergoes a complete revision.

5.2.4 All changes require a change to the revision number.

A. Add a decimal point to the revision number to denote a minor or interim change (i.e., Revision 2.1). If more than one minor or interim change is made to a document, the number to the right of the decimal point will change.

B. For a major change, or when several interim changes are incorporated together, change the revision number to the left of the decimal point (i.e., Revision 3).

5.2.5 When a superseding document is issued, a statement to that effect should be included on the title page. The statement should identify the number of the superseded document (e.g., "This document supersedes DOE/WIPP-89-013, Revision 1").

5.2.6 The initiator of the change is responsible for ensuring that all affected participants are aware of the proposed change. Changes to documents available on the WIPP home page will be denoted by a change in the revision number. Users of requirements documents contained on the WIPP home page are responsible for ensuring that they are using the latest edition of a document.

5.2.7 During the document revision process, the preparer should identify all changes, either by annotation (i.e., "redline" of additional text and/or "strikeout" of deleted text), or a memo or e-mail summarizing the changes.

5.2.8 Approved partial document revisions (page changes) shall be identified by vertical side bar markings in the outside margin adjacent to the change. Documents distributed electronically will have side bars or the changes underlined.

5.2.9 Upon paper distribution of a change to a controlled document, a form containing instructions to recipients making the changes (e.g., "replace original page 5 with attached new page 5") will be included. Recipients shall sign and return the form indicating that the required changes have been made. These forms will be retained in the document record file.

5.3 Document Cancellation

Owners of documents that are no longer needed may send a memo or e-mail to the CIO as notification that the document should be canceled. Approval for cancellation will be at the same level as approval of the original document. The CIO will notify Document Services to ensure all controlled document holders are aware of the cancellation and return or destroy their copies. A prominent notice will be posted for electronically distributed documents.

5.4 Document Control and Distribution

When a CBFO program document has been reviewed in accordance with MP 4.2 and is ready for distribution/printing, it should be submitted to the CBFO CIO for processing.

5.4.1 Prior to submitting the document for printing, the preparer or approving authority must contact Document Services to change the status of the document from draft to final. The year designation will be the calendar year the document is first issued.

5.4.2 Documents submitted for printing must be camera-ready originals (not copies) and shall be accompanied by a distribution list indicating controlled or open distribution.

A. Controlled distribution is recommended, but not required, for documents that prescribe requirements or are periodically updated. Controlled distribution should be limited to those persons or organizations that use the document to fulfill those requirements or to audit CBFO programs or procedures. Persons on a controlled distribution list will automatically receive updates to a document to ensure that they are working with the latest requirements.

       B.   Open distribution is suitable for documents that are issued once and never updated, such as reports.

5.4.3   Document Services, at the direction of the CBFO CIO, reviews the document approval package for completeness prior to processing the document for distribution.

5.4.4   Most document distribution will be performed electronically by publishing the document to the CBFO Internet/Intranet. Hard-copy distribution will be reserved for those organizations that do not have Internet access. The record copy will be retained by Document Services.

5.5   General Requirements

5.5.1   Documents prepared for issue shall show clarity of expression and consistency of format.

5.5.2   The use of a standard legal disclaimer is ***NOT*** appropriate for Waste Isolation Pilot Plant (WIPP), Central Characterization Project (CCP), or National TRU (transuranic) program documents.

5.5.3   All technical documents produced for the DOE are required by DOE Guide G241.1-1 to be submitted to the Office of Scientific and Technical Information (OSTI). Each CBFO technical document must contain the following statement on the inside front cover:

> This document has been submitted as required to:
> Office of Scientific and Technical Information
> PO Box 62
> Oak Ridge, TN 37831
> (615) 576-8401
>
> Additional information about this document may be obtained by calling 1-800-336-9477. Copies may be obtained by contacting the National Technical Information Service, US Department of Commerce, 5285 Port Royal Road, Springfield, VA 22101.

NOTE: It is the responsibility of Document Services, in support of CBFO, to provide these copies to the OSTI as required. No document will be accepted for electronic distribution or printing without the above statement.

5.5.4   Documents are considered under appropriate control when one or more of the activities described in this procedure are complete. Document creation is complete when the document is issued, either electronically or on paper.

6.0   RECORDS

Records packages generated by this procedure shall be maintained in compliance with current requirements identified in records management procedures for QA records. In addition, documents resulting from an interim change will be included in the records package. Record packages shall consist of:

- Review/approval matrix

- Draft and Final document

- Completed document review record (DRR) forms

- Electronic distribution notice/distribution list

- Interim changes (when produced)