

Physics Division Procedure
Document Control
September 7, 2005

SCOPE

This procedure applies to all Physics Division Controlled Documents, both written and electronic, as defined in this procedure.

DEFINITIONS

Authorization List: A list of individuals who are authorized to perform designated tasks.

Controlled Documents: Any document regardless of format (paper, electronic) or delivery method for which distribution and status are to be kept current by the issuer to ensure that authorized holders or users have available the most up-to-date version. Controlled Documents include, but are not limited to, authorization basis documents, policies, programs, procedures, guidelines, operational aids, and authorization lists.

Controlled Document Owner: *The individual responsible for control of revisions, reviews, and distribution of Controlled Documents.*

Graded Approach: A process through which the level of evaluation and control necessary for safety is made commensurate with: (1) the relative risk to safety or security, (2) the magnitude of any hazard involved, (3) the life-cycle stage of an activity or project, (4) the programmatic mission of the activity or project, (5) the particular characteristics of the activity or project, and (6) any other relevant factors.

Guideline: A document that provides guidance on the recommended method of performing an activity. Guidelines provide non-mandatory approaches for meeting procedural requirements.

History Files: Previous versions of controlled documents, comments from reviewers, comment resolutions, approvals, and supporting documents. History files generally contain information on what intent changes were made and why the changes were made.

Imminent Danger: *Conditions or practices which could reasonably be expected to cause an accident that will result in death or serious physical harm, significant property damage, or environmental impairment.*

Intent Change: Intent changes are revisions that significantly impact the way staff perform their work, which includes changes to required work processes and required forms.

Line Management: The Division Director and Group Leaders are Line Managers.

Non-Intent Change: Non-Intent changes are revisions that do not significantly impact the way staff perform their work, which includes correction of spelling, grammar, punctuation or links.

Operational Aid: A document that provides information that is intended to facilitate an activity.

Policy: A high-level document that specifies goals and acceptable procedures.

Procedure: A document that provides the required method of performing an activity.

Program: A document that describes or provides information on a management or organizational activity or function.

Record Copy Material: A record designated as the official copy which must be preserved as evidence or proof that a decision was made or an action taken and the justification for the decision or action.

Uncontrolled Copy: An information copy of a controlled document to be used as reference only and not to be used to perform work.

Working Copy: A copy made from a controlled copy that is used to do specific work, such as a checklist where information might be recorded.

REQUIREMENTS

1. All Physics Division Controlled Documents shall conform to the requirements of this procedure.

Note: Controlled Documents prepared for the Multicharged Ion Research Facility (MIRF), the Oak Ridge Electron Linear Accelerator facility (ORELA), and the Holifield Radioactive Ion Beam Facility (HRIBF) shall be reviewed and approved in accordance with the Controlled Documents of these facilities, but must meet the requirements specified in this procedure.

2. *Controlled Documents shall be used to prescribe processes and specify requirements for activities with environment, safety, health, and/or quality (ESH&Q) significance.*

Note: Examples of situations that may warrant Controlled Documents include:

- There is a significant hazard to the worker/operator or to public health and safety.
- Work involves operations or maintenance of safety class or safety-significant systems, components or structures.
- The client has imposed quality assurance requirements.

- There is a single or unique sample that can never be repeated and all work must go exactly as desired.
- It is essential to have traceability, reproducibility, defensibility, or consistency of the process or data.
- Could significantly reduce the possibility of noncompliance with applicable laws and regulations.
- Could reduce the potential for significant property loss.

3. New and revised Controlled Documents shall be prepared and reviewed by knowledgeable staff members. Note that Operational Aids do not require reviews or approvals. Operational Aids are only required to have the signature of the Controlled Document Owner and the date of the last review.

4. New and revised Controlled Documents shall be provided to the Research Support Group Leader for informal review. The Research Support Group Leader shall determine when formal review is required by Research Support staff.

5. New and revised Controlled Documents shall be approved by at least one individual other than the reviewer who occupies a supervisory position of Task Leader or higher. Note that Operational Aids do not require reviews or approvals. Operational Aids are only required to have the signature of the Controlled Document Owner and the date of the last review.

6. All Controlled Documents shall be reviewed at a frequency not to exceed five years. This review shall be performed and documented by an individual who occupies a supervisory position of Task Leader or higher, or by an individual appointed by the appropriate Line Manager.

7. Each new or revised Controlled Document shall contain the following minimum elements:

- Type of Controlled Document
- Title
- Current revision number and date
- Scope or applicability
- Record Copy Material requirements, if any
- Review frequency if different than 5 years
- Date and signature of originator
- Date and signature of reviewer(s), and approver as applicable.

Note: The review frequency for Controlled Documents may be specified by a single document in the set of Controlled Documents, such as those maintained by MIRF, ORELA, and HRIBF.

8. A distribution list shall be maintained by the Controlled Document Owner for all written Controlled Documents (not required for electronically controlled copies). This list may be specific or implied in the Controlled Document.

9. History files shall be maintained for all Controlled Documents. The Controlled Document Owner is responsible for determining which history files to maintain, using the graded approach to assure that the effort and rigor associated with the review, documentation, and approval processes are consistent with the ESH&Q significance.

10. The Research Support Group Leader shall maintain a list of Controlled Documents. This list shall include at least the following information:

- Type of Controlled Document
- Title
- Location of Record Copy Materials, if applicable
- Current revision number and date
- Date of next review
- Location of distribution list, if applicable
- Controlled Document Owner

11. Non-intent changes to Controlled Documents may be made through handwritten changes to controlled copies of the document without reviews and approvals; however, change control must be maintained. The Controlled Document Owner must ensure that users are provided with copies of the revised document.

12. Intent changes to Controlled Documents require reviews and approvals to the same level of rigor as the original document, unless justification is documented. The Controlled Document Owner must ensure that users are provided with copies of the revised document.

13. In situations where a Controlled Document needs to be changed to avoid an imminent danger situation, the Controlled Document Owner notifies users to cease using the document and secures any processes, equipment, or systems as necessary to mitigate the situation.

14. Copyholders shall replace outdated or obsolete Controlled Documents with new Controlled Documents that are transmitted to them and shall destroy or return obsolete Controlled Documents if requested to do so.

15. Document Control shall be included in the scope of the Physics Division assessment program.