

Subject: Document Distribution Control	Effective Date: 2/17/98	Initiated by: Head, ES&H and Infrastructure Support
	Supersedes: GEN-003 Rev 0 May 19, 1992	Approved: Director

Applicability

This procedure is applicable to PPPL documents that establish work responsibilities, operating principles, or work requirements. These include, but are not limited to those documents listed in Policy P-032, Hierarchy of Documents. As used in this procedure, documents include individual, self contained items such as the Emergency Preparedness Plan; individual procedures such as D-Site Operations Procedure OP-AD-77; and manuals containing multiple documents such as the PPPL Procedures Manual. Drawings and specifications are controlled via policy P-075, Configuration Management.

Introduction

This procedure provides guidelines and requirements for document distribution control systems. These control systems are necessary to assure that documents referenced by PPPL employees during the performance of work provide current and approved guidance.

This procedure is arranged in two sections that describe approved methods for controlling distribution of Laboratory documents:

- Section A - *Standard PPPL Document Control Method*, and
- Section B - *Variations and Alternative Document Control Methods*.

Section A is mandatory unless an alternative system is established in writing. Section B provides flexibility for Lab organizations to develop their own document distribution control procedures that are effective and efficient for that organization. Organizations are responsible for ensuring that alternative methods provide adequate controls and meet applicable standards and requirements.

Laboratory organizations are encouraged to plan for document control needs and consider allocating budget for use of the professional document distribution control services provided by the PPPL Operations Center.

Reference Documents

P-032	Hierarchy of Documents
GEN-001	Policy, Procedure and Mission Statement Development, Review, and Approval
P-075	Configuration Management

Definitions

Policy	A document that defines the principles that are the basis for managerial conduct. These documents provide the overall vision of the organization and the direction that the organization is to proceed and do not give the specifics of how something is done.
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Organization/ Mission Statement	A document which defines the organizational structure of the division/department and the mission of that organization. The responsibilities and authorities of that organization are specified in the Statement.
Procedure	A document that provides a step-by-step method of accomplishing Laboratory operations, with established departmental responsibilities and actions. Laboratory procedures are required when actions occur by more than one Department. Actions required within a single Department or Project can be described in an internal Department/Project procedure.
Manual	A document that provides specific information on how to accomplish an activity or gives general rules to follow in order to accomplish an activity. Manual examples are: ES&H Manuals, Personnel Practices Manual, Procurement Manual, etc.

Procedure

A. Standard PPPL Document Control Method

Responsibility

Action

Document Issuer

1. Assures that approval by the appropriate level of management has been attained and documented.
 2. Assures that the edition (or revision) of the document (or section of the document if sections are revised individually) is clearly indicated along with the effective date of the revision/edition.
- Note:** The method must provide a straightforward means for the recipient to check that their copy is current. The recommended method is to use a dated table of contents that shows the revision number and/or date for each element (section, chapter, procedure, etc.) of the document. The updated table of contents would be reissued with the new date whenever an element of the document is revised.
3. Determines appropriate distribution for document, develops a control list of recipients.
 4. Assigns a unique means of identification to each controlled copy. This unique identifier must be logged on the control list to identify the recipient of that specific copy. The most common method is to assign a control number to each document copy.

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|-----------------------------|---|
| Document Issuer | <ol style="list-style-type: none">5. Distributes document and revisions to controlled copy holders using a transmittal letter. Transmittal letters (see Attachment 1) shall include, as a minimum:<ul style="list-style-type: none">- Identification of document.- Identification of document recipient.- Identification of the revision and the date.- Instructions for removal/update of new documents and revisions.- Signature block for acknowledgment of receipt with instructions to return signed copy to document issuer within a specified time period (e.g., two weeks).6. Keeps track of transmittal letters sent and acknowledgments received for each document distribution. |
| Document Recipient | <ol style="list-style-type: none">7. Reviews document information to see what has changed or what is new issue.8. Updates assigned copy of document following the removal and insertion instructions of the transmittal letter.9. Signs and returns acknowledgment (Attachment 1) to Document Issuer. It is recommended that a copy be retained with the document as an aid when determining if the copy is up to date. |
| Document Issuer | <ol style="list-style-type: none">10. Tracks return of transmittal letters. If acknowledgment has not been received within the specified time period, sends a reminder notice requesting that the acknowledgment be returned. If acknowledgment is not received within ten working days of the notice, sends a notice to the recipient's supervisor.11. Recalls or retrieves documents for which acknowledgments have not been received within ten days of notifying the recipient's supervisor.12. Deletes or voids the recalled and lost documents from the controlled distribution list.13. Issues a document recall letter when documents become obsolete, are no longer valid for use, and are not being replaced by another document. Document returns shall be annotated in the controlled distribution listings. |
| Document Recipient | <ol style="list-style-type: none">14. Maintains integrity of assigned document. This includes marking any copy of document sections from the controlled document as an "Uncontrolled Copy".15. Informs document issuer and returns controlled copy of document when a change in job status eliminates the need for that document. |
| Responsible Line
Manager | <ol style="list-style-type: none">16. Informs document issuers and returns controlled copies of documents assigned to individuals no longer employed by PPPL. |

B. Variations and Alternative Document Control Methods

Single Location Document

Distribution letters, control numbers, and control lists are not necessary for small operations where a single copy of the controlled document will be used by all interested parties. The document must have reviews and approvals required by GEN-001, must have a unique identifier (e.g., title and number), and indicate the revision level. Written local controls must also specify the individual responsible for updates and prohibit removal of document sections by other personnel.

Small Distribution Systems

Distribution letters and acknowledgment tracking may not be necessary for small operations where all distribution is local and updating of documents is performed by an individual who has been designated as responsible for document control (document control custodian). A document control list with unique identifiers for each copy (control numbers), is required and written local procedures/controls must prohibit removal of document sections.

Run Copy Systems

The "Run Copy" control system is an acceptable variation of the controls in Section A. Where procedures are issued to individuals for performance of specific tasks, limited duration document assignment can be accomplished through this system. The PPPL Operations Center employs a Run Copy system for the issuance of some of the D-site installation, operation, and test procedures. The governing procedure for a "Run Copy" control system must include:

1. Positive control of original documents by a designated document control custodian.
2. Clear marking of the "Run Copy".
3. A specified period for return of the "Run Copy" with an effective retrieval system when this period is exceeded (log of receipts).
4. Tracking of issuance and return of "Run Copies". All issued copies, used or unused, shall be returned to the document control custodian for disposition.

Electronic Systems (use of computer files)

The use of electronic document control and distribution methods is encouraged, when feasible. This can be an effective means to increase efficiency by reducing administrative, paper, and distribution costs, while increasing accessibility. Electronic document distribution systems should employ and meet the intent of appropriate controls listed in Section A, and practice the following precautions:

1. Only one computer location (e.g., one specific WWW URL address, or a specific fileserver) shall be used as the "official" location of a set of controlled electronic documents. If necessary, additional controlled hardcopies could be issued via controls described in Section A.
2. A disclaimer/caution must appear on the computer documents and/or at the computer site, indicating that printouts are uncontrolled copies that may be used for reference, and to ensure use of the current document, the controlled version on the electronic server must be referenced.
3. Distribution of new or revised documents may be performed electronically (e.g., e-mail distribution, or by notification of the Web URL address of the controlled documents). Appropriate means should be provided for distribution addressees to acknowledge that the document or notification of the document location was received. This could be accomplished by e-mail confirmation, written follow-up, or other effective means.

Attachment: 1. Example of a Typical Transmittal Letter

Example of a Typical Transmittal Letter

Attachment 1

**Document Control
Acknowledgment of Receipt**

DOCUMENT TITLE PPPL Procedures ManualRevision Issue No. 34NAME John DoeCOPY NO. 78DATE 10/12/97

<u>INSERT</u>		<u>REMOVE</u>	
<u>DOCUMENT</u>	<u>REV. DATE</u>	<u>DOCUMENT</u>	<u>REV. DATE</u>
<u>Table of Contents</u>	<u>34 10/24/97</u>	<u>Table of Contents</u>	<u>#33 06/16/97</u>
		<u>GEN-012</u>	<u>#0 04/17/92</u>
<u>TCR-ENG-002</u>	<u>Rev. 1, TCR #3</u>		

I acknowledge receipt of the documents listed above. I certify that any superseded pages have been removed from the above-numbered document, destroyed or marked "Superseded" and replaced by the revised pages.

SIGNATURE _____ DATE _____

PLEASE RETURN BY NOVEMBER 1, 1997 TO: Lynne Yager, Mail Stop 1