

TEMPORARY CHANGE REQUEST

TCR NO. **TCR-GEN-003,R2-003**

(e.g., TCR-ENG-021,R0-001)

The Temporary Change Request (TCR) Form is to be used to process urgent or minor changes for PPPL Policies, Organization/Mission Statements and Procedures. The TCR should be used when changes are:
1) urgent, and can not wait the 2-4 week period for Department Head review/comment, or
2) minor, and do not warrant Department Head review.

Person Requesting Change: Andy Morrison Phone Ext: 2841

Department Name: Best Practices

Document Number: GEN-003 Revision No.: 2

Document Title: Document Distribution Control

Reason for change:

Add Official Use Only (OUO) review to document control

Change description: (Summarize and attach changed pages, with changes clearly indicated)

Add step: Determines if document is considered as Official Use Only (OUO). If document is OUO, follows GEN-039 for distribution controls.

Add reference document GEN-039.

1. Does this TCR significantly alter the intent or scope of the document? YES: _____ NO: **X** _____

2. Does this TCR significantly impact **ES&H**? YES: _____ NO: **X** _____

If 1 or 2 is **YES**, Explain why the changes should not be routed for Department Head review:

James B. Graham
Department/Division Head Approval

10/13/16
Date

John DeLooper
Head, Best Practices and Outreach/designee

10/13/16
Date

Release/Effective date of this TCR: 10/18/16

Incorporate this TCR into next revision of this document? YES: **X** _____ NO: _____

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			Subject: Document Distribution Control
	Effective Date: April 23, 2007	Initiated by: Head, Best Practices	
	Supersedes: GEN-003 Rev 1 Feb 17, 1998	Approved: Director	

Management System (Primary): 12.00 Assurance and Improvement

Management System Owner: Head, Best Practices and Outreach

Management Process: 12.05 Document Management and Control

Process Owner: Head, Best Practices and Outreach

Subject Matter Expert (SME): Head, Best Practices and Outreach; Head, Best Practices

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. This procedure is not applicable to drawings and specifications, which 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 Distribution Control Method*, and
- Section B - *Variations and Alternative Document Control Methods*.

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

Laboratory organizations and projects are encouraged to plan for document control needs and allocate budget for document distribution control functions.

Reference Documents

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

GEN-039 Procedure for Identification, Handling and Storing “Official Use Only”
Information
P-075 Configuration Management

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Procedure**A. Standard PPPL Document Control Method****Responsibility Action**

Document Issuer 1. Assures that appropriate management approval of new or revised documents 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 reader to check that the copy of the document 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.

Document Issuer 3. Determines if document is considered as Official Use Only (OUO). If document is OUO, follows GEN-039 for distribution controls.

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4. Determines appropriate distribution for document and develops a control list of recipients. [Note: Documents distributed to the entire PPPL staff would not require a controlled list of recipients to be maintained.]

5. 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. A common method is to assign a control number to each document copy.

6. Distributes document and revisions to controlled copy holders using a transmittal letter. Transmittal letters (see Attachment 1) shall include, as a minimum:

- 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).
7. Keeps track of transmittal letters sent and acknowledgments received for each document distribution.
- Document Recipient
8. Reviews document information to see what has changed or what is new issue.
 9. Updates assigned copy of document following the removal and insertion instructions of the transmittal letter.
 10. 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
11. 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.
 12. Recalls or retrieves documents for which acknowledgments have not been received within ten days of notifying the recipient's supervisor.
 13. Deletes or voids the recalled and lost documents from the controlled distribution list.
 14. 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
15. Maintains integrity of assigned document. This includes marking any copy of document sections from the controlled document as an "Uncontrolled Copy".
 16. Informs document issuer and returns controlled copy of document when a change in job status eliminates the need for that document.
- Responsible Line Manager
17. 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 internet or intranet 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, but 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., via e-mail distribution). As appropriate, means should be provided for addressees to acknowledge that they were notified of the document issuance/revision. This could be accomplished by e-mail confirmation, written follow-up, or other effective means.

C. Training

RESPONSIBILITY ACTION

Head of Best Practices and Outreach 1. Provides training as follow:

Target Audience:

Department Heads, Division Heads, Project Heads, Supervisors, and Department/Project Records Coordinators

Frequency:

X Upon each revision of this procedure

Training Methods:

X Provides a briefing to Council Members at the Laboratory Management Meeting on the purpose and general requirements of this procedure and instructs them to communicate the procedure to their Division Heads and Project Heads for implementation.

X Ensures this procedure is distributed to all supervisors via email notification.

D. Records Requirements specific to this procedure

Records Custodians must assure records are maintained as follows:

Record	Record Custodian	Location	Retention Time
Transmittal Letters	Document Issuer	Document Issuer's document storage location	Various based on type of document
Assigned Document (Controlled Copy)	Document Receiver	Document Receiver's controlled document storage location	Based on directions in Transmittal Letter
		Run Copy System	
		Specified fileserver	
Document Control List	Document Control Issuer	Document Issuer's document storage location	Various based on type of document
Log of Receipts for Run Copies	Document Issuer	Run Copy System	Cut off at end of Fiscal Year, destroy after 2 years from last entry
Uncontrolled Copy	Document Recipient	Document Receiver's file	When no longer needed or change in job status
Acknowledgement of Receipt	Document Control Custodian	Document Issuer's document storage location	Various based on type of document

Attachment: 1. Example of a Typical Transmittal Letter and Alternative e-mail

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	EXAMPLE - Typical Transmittal Letter and Alternative e-mail		Attachment 1

Document Control
Acknowledgment of Receipt

DOCUMENT TITLE Department Manual XYZRevision Issue No. 34NAME John DoeCOPY NO. 78DATE 05/31/11**REMOVE**

<u>DOCUMENT</u>	<u>REVISION</u>	<u>DATE</u>
Procedure T-012	Rev. 1	3/1/09
Procedure R-002	Rev. 2	3/15/08

INSERT

<u>DOCUMENT</u>	<u>REVISION</u>	<u>DATE</u>
Procedure T-012	Rev. 2	4/12/11
Procedure R-002	Rev. 2, TCR #2	3/12/11

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 June 1, 2011 TO: Jane Doe, Mail Stop 6

Alternative e-mail Transmittal Letter

from: John DeLooper <jdelooper@pppl.gov>
reply-to: jdelooper@pppl.gov
to: All PPPL Employees <allemp@pppl.gov>
date: Mon, Oct 3, 2016 at 10:29 AM
subject: [PPPL] Revisions to Laboratory documents

Folks,

Lab-wide documents that have recently been revised or issued are listed in the attached document.

The attachment defines the changes that have occurred to these documents. Please review these changes and assure your compliance with revisions as applicable.

All Laboratory-wide requirement documents are available on the web as PDF files at:

<http://spportal.pppl.gov/bp/pppldocs/SitePages/Home.aspx>

or

http://bp.pppl.gov/PPPL_docs.shtml

thanks

LIST OF NEW/REVISED, POLICIES, PROEDURES, PLANS, ESHD'S, ENGINEERING STANDARDS

Charters & Missions	Revision	TITLE	Revision / Changes
O-045	R1	Lithium Experts Committee Charter https://sportal.pppl.gov/bp/pppldocs/OrgMissionStatements/o045.pdf	<ul style="list-style-type: none"> Proposed changes made as a result of recommendations from the Lithium Safety Peer Review. Incorporated changes from Temporary Changes 001 through 004. Added at the committee is appointed by the Head of the ES&H Executive Board Added that review of procedures submitted to the full committee should be completed within two weeks from the date of submission. Added that the committee will meet not less than biannually, with more frequent meetings as necessary. A quorum will be required for all meetings, which is defined as attendance by five of the nine current members, and must include at least one of the committee co-chairs.
Procedures	Revision	TITLE	Revision / Changes
ACT-003	R1	Foreign Travel https://sportal.pppl.gov/bp/pppldocs/Procedures/act003.pdf	<ul style="list-style-type: none"> Added that PII data is not to be transmitted via email Changed 'laptop computers' to 'tools of the trade' to incorporate other lab technology property throughout Revised some verbs to be more action-oriented Clarified that an FTMS Administrator enters documentation into the system
ENG-020	R1	Project Execution Plan https://sportal.pppl.gov/bp/pppldocs/Procedures/eng020.pdf	<ul style="list-style-type: none"> Edited the contacts for Management System, SME, etc. Edited details on Training and Records Requirements Specific to the Procedure
ENG-033	R5, TCR-002	Design Verification https://sportal.pppl.gov/bp/pppldocs/Procedures/eng033.pdf	<ul style="list-style-type: none"> Added a notice that changes not intended to be permanent a TMOD should be employed to facilitate testing, maintenance, operations during contingency situations