CP3-OP-0025 FRev. 4	**TITLE**: Document Control Process	Page 1 of 18
DOCUMENT CATEGORY: Administrative	**LEVEL OF USE:** Information Level	
Check all that apply: **Commitment Stamps** ☐ **WCO** ☐ **Shared Site** ☐		
FUNCTIONAL AREA: Document Control **SUBJECT MATTER AREA:** Document Control	**SUBJECT MATTER EXPERT**: Rachel Simpson, Document Control Specialist/Lead	
NUCLEAR SAFETY REVIEW DOCUMENTATION: FRNP-25-0584-S	**RESPONSIBLE MANAGER/OWNER**: Julie Gilbert, Special Project/Procedures & Document Control Manager	
REQUIRED REVIEW DATE (or expiration date for temporary change): 12/18/2030	**EFFECTIVE DATE**: 12/18/2025	

REVISION/CHANGE LOG

Revision/ Change Letter	Description of Changes	Pages Affected	Date of Revision/ Change	Approved By (signature on file)
FR0	Bluesheet	ALL	08/09/2017	Documentation on file
FR1	Revision for Bluesheet incorporation	ALL	11/14/2017	
FR2	General Revision – change functional manager to document owner, update organizational titles, change source references to point to program documents, delete reference to Basis for Interim Operation, clarify controlled "copyholder" documents, reduce the information requested for assigned new document numbers and for submitting documents for posting, clarify intent of Step 6.3.4, delete Section 6.5, change definition of controlled document to align with definition in CP1-OP-0002.	ALL	12/18/2018	
FR2A	Intent change to revise Section 6.3 title and Note above Step 6.3.1 to allow expedited distribution when site is under Limited Operations.	11	03/19/2020	
FR3	Revision to align with SharePoint Document Management System (SDMS) and integrate Document Control instructions from CP3-OP-0002.	ALL	5/4/2022	

REVISION/CHANGE LOG				
Revision/ Change Letter	**Description of Changes**	**Pages Affected**	**Date of Revision/ Change**	**Approved By** (signature on file)
FR3A	Address "approved but not yet implemented" type documents into the Document Control Process	10-11,16-17, 20	3/29/2023	Documentation on file
FR3B	Address placing Holds on past due Periodic Reviews (CA-004691).	6-21	11/15/2023	
FR4	Revise Periodic Review instructions (CA-005682).	ALL	12/18/2025	Julie Gilbert

TABLE OF CONTENTS

1.0 PURPOSE AND SCOPE

1.1 Purpose

This procedure establishes administrative controls for the receipt, identification, control, distribution, use, and maintenance of controlled documents generated and used by the Paducah Gaseous Diffusion Plant (PGDP) Deactivation and Remediation (D&R) Project, including subcontractors working on projects. The Document Control Program is put in place to protect the value of the content of documents and to enhance the usefulness of that content to the people in the organization who need to use it to perform work. Document control provides a framework for deciding how information is created and how it is managed once created. The purpose of a document control method is to ensure:

- Documents fulfill a useful purpose
- Version control is maintained
- Resources are not wasted on the distribution of unimportant or useless information
- Only valid information is published
- Information is kept up to date
- Information is provided in a form that can be used by the audience
- Information is retained that could help solve a problem, improve opportunities, avoid costly errors, or mitigate potential litigation.

1.2 Scope

This procedure applies to personnel who identify, originate, transmit, receive, control, distribute, use, and maintain controlled documents for the D&R Project Document Control Program.

EXCLUSIONS:

Distribution of regulatory documents is controlled by the Document Production group.

2.0 REFERENCES

2.1 Use References

- CP1-PM-0005, *Classification Review Integration Controls for Converter Component Activities and Other Subject Matter Areas*
- CP3-OP-0002, *Developing and Maintaining Performance Documents*
- CP3-OP-0207, *Use of Procedures*

2.2 Source References

- CP2-EN-0201, *Configuration Management Program Description at the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- CP2-ES-0101, *Environmental Management System for the Deactivation and Remediation Project, Paducah Gaseous Diffusion Plant, Paducah, Kentucky*

- CP2-QA-1000, *Quality Assurance Program Description for the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- CP2-RD-0001, *Records Management Plan for the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- CP2-SM-0018, *Nuclear Maintenance Management Program at the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- CP3-QA-1003, *Management and Self-Assessment*
- DOE O 471.1B, *Identification and Protection of Unclassified Controlled Nuclear Information*

3.0 COMMITMENTS

None

4.0 RESPONSIBILITIES

4.1.1 Designee is an individual delegated by management as qualified to perform assigned duties and is **NOT** required to be listed as a performer.

4.1.2 The following positions are performers in this document:

- Document Owner
- Document Control
- Controlled Copyholder
- Document User
- Writer or Subject Matter Expert

5.0 GENERAL INFORMATION

5.1 Controlled documents are maintained and distributed to ensure the latest approved revision is available for the performance of work.

5.2 Personnel within the Document Control Group control and distribute controlled documents with the exception of those documents that are controlled and distributed by the originating organization (for example, engineering documents, drawings, work control task instructions, and standard instructions). Personnel given access to control their own documents are considered Document Control personnel (within their organization) for the purposes of this procedure and adhere to the same guidelines as the Document Control Group to ensure a quality document is maintained.

5.3 Managers must ensure employees working in classified subject areas are aware of what information is potentially classified to ensure this information is handled, protected and marked accordingly.

5.4 Document Control personnel establish, maintain, and control controlled documents. Performance Documents are maintained through the Document Management System (DMS). A list which identifies other categories of controlled documents is located in SharePoint and a link is provided in the S:\Controlled Documents folder.

5.5 Working Copies of controlled documents are available to all D&R Contractor personnel.

5.6 Master Files (that is, Master Word files) of performance documents are maintained in the DMS by Document Control personnel.

5.7 Documents posted to the DMS must include, at a minimum, the following information:

- Document type
- Unique Number Identification
- Title
- Current revision (including change number) of the document
- Effective Date

5.8 Documents developed concerning a classified subject area are discussed with Derivative Classifier (DC), or the site Classification Officer prior to entering information on an unclassified computer system, and/or transmitting them to uncleared individuals according to CP1-PM-0005, *Classification Review Integration Controls for Converter Component Activities and Other Subject Matter Areas*.

5.9 Documents requiring control include the following, but are **NOT** limited to:

- Procedures addressing activities affecting Structures, Systems & Components (SSCs) and design features credited with preventing or mitigating accidents as identified in the Documented Safety Analysis (DSA), Nuclear Criticality Safety Evaluations (NCSE), Nuclear Criticality Safety Approval (NCSA) or other regulatory hazard analysis required by the DSA or Quality Assurance Program (QAP)
- Design documents (drawings, analyses, and calculations)
- Configuration Item Specifications which list the technical requirements including the commercial grade dedication requirements
- DSA, Technical Safety Requirements (TSR), NCSEs and other hazard analyses
- Quality-related Transportation Safety documents such as applicable procedures, instructions, drawings, procurement documents, and design documents
- Procedures, programs, and plans addressing emergency operating and response actions and plans
- Documents that support maintenance and verification of the design baseline as required by procedures that generate records such as:
  - Design modification packages
  - Acceptance records for receipt of material, shop and field inspection work processes supporting maintenance, repair, and testing records
  - Maintenance, repair, and modification construction and installation of work packages
  - Documentation used to record verification, tests, and traceability data
- Documents that support activity level work such as Job Hazard Analysis (JHA)
- Forms

6.0 INSTRUCTIONS

6.1 Document Creation, Control, and Deletion

Document Owner (or Designee)

6.1.1 Identify documents within respective organization for development and control. (Refer to Controlled Document definition in this procedure.)

6.1.2 Assign document writer for the preparation, review, and approval of controlled documents for which they are responsible.

Writer or Subject Matter Expert

6.1.3 Prepare documents in accordance with applicable development procedure and/or guide.

6.1.4 Develop performance documents according to CP3-OP-0002, *Developing and Maintaining Performance Documents*.

NOTE:

Performance Documents are numbered in accordance with guidance found in Appendix B, *Document Number System*.

6.1.5 **If** processing a new performance document or form (CPX), **then** obtain a unique document number from Document Control, including the following information:

- Document title
- Level of document or form (CPX)
- Acronym for the subject matter area (for example, HR, FA, WM, etc.)
- Old document number, if applicable

NOTE:

Revisions and changes must be made using the Master File obtained from Document Control (**NOT** a copy that has been maintained in private folders).

6.1.6 **When** processing for revisions, changes, or deletions, **then** submit the Performance Document Development Request (PDDR) to Document Control to obtain the latest Master file of the document and associated forms.

Document Control

6.1.7 **When** processing for changes or revisions, **then** retrieve Master file of document and, if requested, associated forms.

6.1.8 **If** a new document number is requested, **then** perform the following:

- Provide a unique identifying number if number is not already specified by the requestor.

- Perform search in the DMS and "Document Number List" spreadsheet to ensure unique document number has **NOT** been previously assigned.
- Create new entry in "Document Number List" spreadsheet to log the number assigned.
- Notify requestor that the new number has been assigned and request a copy of the initiated PDDR.

6.1.9 **When** processing a temporary change, **then** refer to CP3-OP-0002.

6.1.10 Check the Submittal and PDDR for accuracy.

6.1.11 Provide PDDR and Master files to writer/SME.

Writer or Subject Matter Expert

6.1.12 Review Submittal package documents for the following:

- Technical Accuracy
- Unique identifier and revision number
- Completeness
- Correctness
- Pagination
- Classification
- Impact(s) on other Documents

6.1.13 Ensure documents are formatted according to applicable development procedure and/or guide.

6.1.14 Ensure the document and revision numbers appear correctly on all pages of the document.

6.1.15 Complete form CP3-OP-0025-F01, *Submittal for Document Control*.

6.1.16 Refer to Appendix A, *Acronyms/Definitions*, for entering the Document Status into CP3-OP-0025-F01.

6.1.17 **If** Submittal is multiple pages, **then** include a total page count on the document.

NOTE:

Documents prepared and formatted according to regulatory agency requirements are exempt from requirements in Step **6.1.18**, **6.1.19**, and **6.1.20**.

6.1.18 Ensure CP3-OP-0025-F01, *Document Distribution Request*, is submitted with all form fields completed.

6.1.19 **If** establishing controlled copyholder initial distribution listing or initiating distribution changes, **then** complete form CP3-OP-0025-F02.

NOTE:

Documents should be submitted three business days prior to the effective date to ensure Document Control has sufficient time to perform the required verification and controlled copyholder distribution of a document.

6.1.20 Submit the following as a completed Submittal package to Document Control, ensuring file names are formatted with the document number, revision or change number, and document title, in that order (for example, CP3-OP-0025 FR0, *Document Control Process*):

A. Completed CP3-OP-0025-F01

B. Approved .pdf document

C. As applicable, completed PDDR

D. As applicable, clean Word copy of document with all tracked changes accepted, for upload into the DMS

E. Any delegations in approval authority

6.1.21 **If** document number or title was changed or deleted **and** all documents that reference the old number or title were **NOT** able to be updated concurrently, **then** request Document Control insert a superseded document place holder for user direction.

Document Control

6.1.22 Confirm the information received in the Submittal package matches the identified document being submitted.

6.1.23 Review documents for legibility, pagination, classification markings, reproducibility, and completeness.

6.1.24 **If** there is a discrepancy, **then** contact the writer/SME for resolution.

6.1.25 Enter document information into the Controlled Document List (CDL) **and** file the documentation in the appropriate folders.

NOTE:

Word files that are applicable include CP1 through CP5 documents and forms.

6.1.26 Upload the Master Word file into the DMS, as applicable.

NOTE:

"Approved but **NOT** implemented" Submittals do **NOT** receive an update on the CDL or supersede the current (approved and made effective) version of the document.

6.1.27 **If** a document is submitted as "Approved but **NOT** implemented," **then** place the document into the Controlled Documents subfolder specified by the document writer/SME in the Submittal comments.

6.1.28 **When** initial controlled copyholder distribution is requested, **then** perform the following**:**

A. Update DDL using information submitted on form CP3-OP-0025-F02.

B. Ensure the DDL contains the following, at a minimum:

- Current document number and revision
- Controlled copyholders

6.1.29 Create **and** maintain the following for each controlled document through the life of the document:

- A Master Copy of the current document revision (maintained in the DMS)
- DDL, in cases where document has controlled copyholder assignments
- Electronic Working Copy located in S:\Controlled Documents folder

6.1.30 Post controlled documents according to CP3-OP-0002.

6.2 Controlled Copyholder Document Distribution

Document Control

6.2.1 **If** document is classified, **then** verify copyholder has the proper access authorization and need-to-know prior to distribution.

6.2.2 Duplicate document .pdf **and** delete "Working Copy" stamp to create controlled copy.

6.2.3 Apply "Controlled Copy" stamp at the top center of the document's cover page. Apply the date stamp at the bottom center of the document's cover page **and** enter the date and relevant Control Copyholder number.

6.2.4 Create transmittal by completing form CP3-OP-0025-F03, *Transmittal/Receipt Acknowledgement*, for each copyholder on the DDL.

6.2.5 Distribute form CP3-OP-0025-F03 with attached controlled copies to Controlled Copyholder.

6.2.6 Track the issuance and receipt of all Transmittal/Receipt Acknowledgement (TRA) forms.

Controlled Copyholder

6.2.7 **When** form CP3-OP-0025-F03 and attached controlled copy is received, **then** perform the following:

A. Confirm the information on the attached controlled copy agrees with the information on form CP3-OP-0025-F03.

B. **If** there is a discrepancy, **then** contact Document Control for resolution.

C. **If** there are **NO** discrepancies, **then** perform the following:

1. Follow instructions on form CP3-OP-0025-F03.

2. Return completed form CP3-OP-0025-F03 to Document Control within seven (7) working days.

6.2.8 **If** a superseded or deleted revision of a controlled document is being retained, **then** stamp or mark the superseded or voided revision "VOID," "INFORMATION ONLY," or "SUPERSEDED."

6.2.9 Maintain accountability of all controlled copies received, including updating or destroying as instructed.

6.2.10 **When** making additions, deletions or changes to controlled copyholders, **then** submit a revised CP3-OP-0025-F02 to Document Control.

Document Control

6.2.11 **If** receipt acknowledgement is **NOT** received by the due date specified on form CP3-OP-0025-F03, **then** request copyholder response by sending a delinquency notice.

6.3 Working Copy

NOTE: Documents should be used digitally whenever possible.

Document User

6.3.1 Ensure the "WORKING COPY" is the latest approved version according to CP3-OP-0207, *Use of Procedures*.

6.3.2 **If** document is a performance document, **then** ensure the document matches the current version in Controlled Documents.

6.3.3 **If** printing a "WORKING COPY" from the Controlled Documents folder, **then** initial **and** date next to "Working Copy."

A. **If** marking is **NOT** present, **then** stamp or mark "WORKING COPY" on the first page.

B. Using dark ink, initial **and** date.

6.3.4 **If** a printed "WORKING COPY" is to be used again following the day it was made, **then** perform the following**:**

A. Verify it is current by comparison to S:\Controlled Documents folder or by requesting verification from Document Control.

B. Initial **and** date the printed copy after verification.

6.4 Control of Master Copies

Document Control

6.4.1 Maintain DMS and current Master controlled documents.

6.5 Periodic Reviews

Responsible Manager, Subject Matter Expert or Reviewer

6.5.1 Perform Periodic Reviews according to CP3-OP-0002.

Document Control

6.5.2 **If** a responsible manager submits CP3-OP-0002-F06, *Performance Document Hold*, to place a document on hold, **then** remove the document from controlled distribution.

6.5.3 At the beginning of each calendar month, identify and create a list of performance documents reaching the end of the review cycle within the next 120 days. Send list and CP3-OP-0002-F10, *Document Periodic Review*, to affected Responsible Managers/Directors with notification of upcoming Periodic Review due dates.

6.5.4 **If** extensions are requested, **then** update the CDL by performing the following:

A. Update the required review date to reflect the extension.

B. Place an asterisk beside the document number to signify each 30-day extension.

6.5.5 Review completed CP3-OP-0002-F10 for documents with completed periodic reviews indicating **NO** changes required or non-intent changes to the cover page.

A. Retrieve Master Word file from DMS.

B. Update the cover page formatting and add "(Periodic Review)" to the USQ listed in the 'Nuclear Safety Review Documentation' section.

C. Update the Revision/Change Log and Required Review Date with the next change letter and date the periodic review was performed, as documented on the completed CP3-OP-0002-F10.

D. **If** updated cover page information is included on page 2 of CP3-OP-0002-F10, **then** correct information on cover page.

E. Export clean Word document to create updated .pdf file**.**

F. Update the CDL entry.

G. Upload updated Master Word file to DMS.

H. Send history package to Responsible Manager/SME to submit to Records.

6.5.6 **If** the review indicates the document must be changed/revised and can be used as is or with only cover sheet changes during the document change, **then** review the PDDR for completeness and:

A. Retrieve Master Word file from DMS.

B. Update the cover page formatting and add "(Periodic Review)" to the USQ listed in the 'Nuclear Safety Review Documentation' section.

C. Update the Revision/Change Log and Required Review Date with the next change letter and date the periodic review was performed, as documented on the completed CP3-OP-0002-F10.

D. Export clean Word document to create updated .pdf file.

E. Update the CDL entry.

F. Upload updated Master Word file to DMS.

G. Send history package to Responsible Manager/SME to submit to Records.

Responsible Manager, Subject Matter Expert or Reviewer

6.5.7 Submit periodic review history package to Records.

Document Control

6.5.8 Place 'Working Copy' stamp in upper right corner of the updated .pdf file.

6.5.9 Post updated .pdf file in Controlled Documents.

6.5.10 Add updated entry into CDL and export line item into second daily spreadsheet.

7.0 RECORDS

7.1 Records Generated

The following records may be generated by this procedure:

- CP3-OP-0025-F01, *Submittal for Document Control*
- CP3-OP-0025-F02, *Document Distribution Request*
- CP3-OP-0025-F03, *Transmittal/Receipt Acknowledgement (TRA)*

Forms are to be completed according to CP3-OP-0024, *Forms Control*.

7.2 Records Disposition

The records are to be maintained according to CP3-RD-0010, *Records Management Process*.

Appendix A – Acronyms/Definitions

ACRONYMS

CDL – Controlled Document List

D&R – Deactivation and Remediation

DDL – Document Distribution List

DMS – Document Management System

DSA – Documented Safety Analysis

JHA – Job Hazard Analysis

NCSA – Nuclear Criticality Safety Approval

NCSE – Nuclear Criticality Safety Evaluation

PDDR - Performance Document Development Request

PGDP – Paducah Gaseous Diffusion Plant

QAP – Quality Assurance Program

SME – Subject Matter Expert

SSC – Structures, Systems & Components

TRA – Transmittal/Receipt Acknowledgement

TSR – Technical Safety Requirements

Appendix A – Acronyms/Definitions (continued)

DEFINITIONS

Controlled Copy – Copy of a controlled document made by Document Control from a Master Copy and issued to Controlled Copyholders. A Controlled Copy may be used to make an Information Only or Working Copy.

Controlled Copyholder – A designated person who receives and maintains controlled copies of documents.

Controlled Copy Number – The unique number assigned to an individual's copy of a controlled document.

Controlled Document – An active, current, approved document which, through the course of its lifecycle may be created, reviewed, modified, approved and distributed several times through a controlled process. Examples of a controlled document include: technical drawings, specifications, procedures, data-sheets, contracts, application forms and plans.

Controlled Document List – A list of all current controlled documents.

Document – Any written or pictorial information describing, defining, specifying, reporting, or certifying activities, requirements, processes, or results. Examples of documents are drawings, reports, and procedures.

Document Control – 1) The process of ensuring documents are reviewed for adequacy, approved for release by authorized personnel, and distributed for use at the location where the prescribed activity is performed; 2) The name of the Document Control organization.

Document Distribution List – A listing of Controlled Copyholders who have been designated to receive a particular controlled document or document type.

Document Management System – Electronic database that hosts controlled documents.

Document Owner – One who determines the need for a document and is responsible for the content within the document. A document owner may also be the writer/SME.

Document Status – The status of a document may be any approved status indicated in the document creation procedure(s). The following are some of the more common status indicators used:

- Approved – The document may be used for planning work, accomplishing work, contract development, or bid evaluation and submittal; an active, approved document.
- Approved but **NOT** Implemented – The document is approved but is **NOT** an active document.
- Deleted – The document is no longer valid and has not been replaced by another document; an inactive document.
- Hold – A temporary administrative action taken by the responsible manager to suspend use of a performance document.

Appendix A – Acronyms/Definitions (continued)

Electronic Controlled Document – Document is considered as "controlled" in its electronic version, provided the following criteria are met:

- The process to add/replace documents into the "controlled" source must ensure the integrity of the electronic version before making it available to the public.
- All data/information required by the applicable use/creation procedure must be contained on the electronic reproduction.
- The unique document number and name/title printed on the electronic version must be the same as printed on the Master Copy and the format must meet the requirements of the creation procedure.
- All pages of the electronic version must be page numbered to indicate a complete set (that is, 1 of 1, 1 of 2, etc.), or total number of pages.
- The printed copies of the electronic version are subject to the same marking requirements as electronic versions. Documents printed from Document Control controlled sources may or may **NOT** be "Working Copy" pre-stamped. **If** stamp is absent, **then** user must stamp or annotate "Working Copy" on the document prior to first use. It is acceptable to use "Electronic Working Copy" for the stamp annotation.
- **If** the electronic copy is to be used as a record, **then** all signatures must be included on the electronic copy.

Information Only Copy – A copy of a document generated only for reference or network purposes. Distribution of "Information Only Copies" does not assure revision control.

Master Copy – The original document used by Document Control to generate copies, maintained in the DMS. The Master Copy can take the form of paper, magnetic, digital or other media.

Record Copy – Either the original document or a legible copy. When applicable, the record copy is transmitted from Document Control to RM. The Record Copy can take the form of paper, magnetic, digital or other media.

Working Copy – A copy of a controlled document marked "Working Copy" that has been verified per procedure as approved for use.

Writer – One who is responsible for the creation or alteration of documents and the submittal of documents to Document Control.

Appendix B – Document Number System

Documents are numbered in the following format:

CPX-YY-xxxx

Where X denotes the level of document as described below:

- CP1 – Driver Level Document (Policies, Regulatory, or Safety Basis)
- CP2 – Program Level Document (Narratively written programs and plans)
- CP3 – Procedures for use site wide
- CP4 – Procedures for use only within a specific organization
- CP5 – Reference materials

YY denotes the organization responsible for the document.

Organization Acronym List*

Organization	Acronym
Characterization Operations	CH
Contract & Procurement	CP
Document Control	DC
Engineering	EN
Environmental Compliance	EC
Environmental Services	ES
Emergency Management	EP
Finance & Accounting	FA
Fire Protection	FP
Human Resources	HR
Information Technology	IT
Non-Destructive Assay	ND
Nuclear Materials Control & Accountability	NM
Nuclear Safety	NS
Power & Utilities	UT
Program Management	PM
Project Controls	PC
Quality	QA
Radiological Protection	RP
Records Management	RD
Safeguards & Security	SS
Safety & Health	HS
Site Integration	SI
Site Procedures	SP
Stabilization and Deactivation	SD
Surveillance & Maintenance	SM
Training	TR
Waste & Materials	WM

*This list is not considered all inclusive.

xxxx – is a four digit number unique to the document.

NOTE:

Forms generated with a procedure carry the same number as the procedure with the suffix of F01, F02, F03, etc. Once a form is deleted, the number cannot be reused. Only CP3 and CP4 documents can parent a form. CP1, CP2 and CP5 documents do **NOT** generate forms.