Environmental Restoration Program Document Control Plan

L. M. Montgomery

Date Published
September 1993

Prepared for the U.S. Department of Energy
Office of Environmental Restoration and
Waste Management

**Westinghouse
Hanford Company**

P.O. Box 1970
Richland, Washington 99352

Hanford Operations and Engineering Contractor for the
U.S. Department of Energy under Contract DE-AC06-87RL10930

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Document Title: Environmental Restoration Program Document Control Plan

Impact Level: 3Q

Prepared by: L. M. Montgomery 7/28/93
L. M. Montgomery, Specialist
Environmental Records & Information
Services Date

Approved by: R. N. Richardson 7/28/93
R. N. Richardson, Manager
Environmental Records & Information
Services Date

Approved by: C. N. Potter 8/3/93
C. N. Potter, Manager
Documentation & Records Services Date

Approved by: T. L. Bennington 8-11-93
T. L. Bennington, Manager
Environmental Quality Assurance Date

Approved by: C. C. Chamberlain-Dow 8/23/93
C. C. Chamberlain-Dow, Manager
Program Management Systems Date

Approved by: T. M. Wintczak 8/24/93
T. M. Wintczak, Manager
Environmental Restoration Program Date

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Date Received 8/23/93		INFORMATION RELEASE REQUEST		Reference: WHC-CM-3-4	
Complete for all Types of Release					
Purpose ☐ Speech or Presentation ☐ Full Paper ☐ Summary ☐ Abstract ☐ Visual Aid ☒ Speakers Bureau ☐ Poster Session ☐ Videotape			☐ Reference ☒ Technical Report ☐ Thesis or Dissertation ☐ Manual ☐ Brochure/Flier ☐ Software/Database ☐ Controlled Document ☒ Other		
			ID Number (include revision, volume, etc.) WHC-EP-0433		
			List attachments. N/A		
			Date Release Required 31 August 30, 1993		
Title Plan			Environmental Restoration Program Document Control		Unclassified Category UC- N/A Impact Level 3
New or novel (patentable) subject matter? ☒ No ☐ Yes If "Yes", has disclosure been submitted by WHC or other company? ☐ No ☐ Yes Disclosure No(s).			Information received from others in confidence, such as proprietary data, trade secrets, and/or inventions? ☒ No ☐ Yes (Identify)		
Copyrights? ☒ No ☐ Yes If "Yes", has written permission been granted? ☐ No ☐ Yes (Attach Permission)			Trademarks? ☒ No ☐ Yes (Identify)		
Complete for Speech or Presentation					
Title of Conference or Meeting			Group or Society Sponsoring		
Date(s) of Conference or Meeting		City/State	Will proceedings be published?		☐ Yes ☐ No
			Will material be handed out?		☐ Yes ☐ No
Title of Journal					
CHECKLIST FOR SIGNATORIES					
Review Required per WHC-CM-3-4		Yes	No	Reviewer - Signature Indicates Approval	
				Name (printed)	Signature Date
Classification/Unclassified Controlled Nuclear Information	☐	☒	}	SILBERSTEIN <i>[Signature]</i> 8/27/93	
Patent - General Counsel	☐	☒			
Legal - General Counsel	☒	☐			
Applied Technology/Export Controlled Information or International Program	☐	☒			
WHC Program/Project	☒	☐		C. C. Chamberlain-Dow <i>[Signature]</i> 8/23/93	
Communications	☐	☒			
RL Program/Project	☒	☐		N. A. Werdel <i>[Signature]</i> 10/6/93	
Publication Services	☒	☐		C. Entrop <i>[Signature]</i> 10/15/93	
Other Program/Project - RL	☒	☐		G. M. Clark L.K. Jarnagin <i>[Signature]</i> 10-13-93	
Information conforms to all applicable requirements. The above information is certified to be correct. <i>[Signature]</i>					
References Available to Intended Audience ☒ Yes ☐ No Transmit to DOE-HQ/Office of Scientific and Technical Information ☒ Yes ☐ No Author/Requestor (Printed/Signature) <i>L.M. Montgomery</i> Date 07/29/93			INFORMATION RELEASE ADMINISTRATION APPROVAL STAMP Stamp is required before release. Release is contingent upon resolution of mandatory comments.
Intended Audience ☐ Internal ☐ Sponsor ☒ External					
Responsible Manager (Printed/Signature) <i>C.N. Potter</i> Date 8/3/93					
C. N. Potter			Date Cancelled Date Disapproved		

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ENVIRONMENTAL RESTORATION PROGRAM DOCUMENT CONTROL PLAN

1.0 OVERVIEW

1.1 INTRODUCTION

This *Environmental Restoration (ER) Program Document Control Plan* has been developed to comply with the document control system requirements of the U.S. Department of Energy, Richland Operations Office (RL), the *Hanford Federal Facility Agreement and Consent Order* (Tri-Party Agreement [Ecology et al. 1992]), Westinghouse Hanford Company (WHC), and the ER Program.

One of the five components, or summary subprojects, of the ER Program is program management and support, which includes both management systems development and information and data management. Efforts within the management systems development area include the creation of a document control plan. This document control plan will provide a description and detailed methods for managing and implementing document control system requirements identified in the *Environmental Restoration Program Quality Assurance System Requirements for the Hanford Site* [(QASR) DOE-RL 1992a],

WHC has developed and established an overall document control system that governs the methods by which all WHC documents are generated, maintained, and disposed of. The ER Program performing organizations within WHC utilize the established WHC document control systems to the maximum extent possible. These systems are discussed in Chapters 3.0 and 4.0 of this plan. In addition, this plan describes the documents that require control within the ER Program and how they will be controlled.

1.2 PURPOSE

The purpose of this document control plan is to describe the following:

- The WHC Document Control Program as established by *Management Policies* (WHC-CM-1-1, MP 3.1), *Management Requirements and Procedures* (WHC-CM-1-3, MRP 3.21), and the *Document Control and Records Management Manual* (WHC-CM-3-5, Section 12)
- The applicable RL, Tri-Party Agreement, ER Program, and WHC document control requirements
- The Hanford Site document control systems applicable to the ER Program
- Organizational responsibilities for controlling documents
- Necessary steps for establishing new systems when additional controls are desired beyond the scope of the existing WHC and Hanford Site document control systems.

This document control plan describes how the applicable document control requirements will be implemented for the ER Program and develops the criteria for identifying the appropriate requirements for each individual document related to ER Program work activities.

1.3 APPLICABILITY/SCOPE

This plan applies to all documents generated, used, or maintained by or for WHC performing organizations in support of ER-funded work activities on the Hanford Site. This encompasses all ER Program activities from the time needs are identified until the decisions are made to take action for all five components, or summary subprojects, of the ER Program.

The document control support functions addressed in this plan ensure the validity, accessibility, and integrity of documents that are used in the ER Program. All WHC organizations that perform activities under the purview of the ER Program are responsible for implementing the requirements of this plan that are applicable to their respective scopes of work.

1.4 DOCUMENT OVERVIEW

Chapter 2.0, "Responsibilities," identifies performing organization responsibilities. Also outlined are the responsibilities of RL, the Washington State Department of Ecology (Ecology), the U.S. Environmental Protection Agency (EPA), and the U.S. Army Corps of Engineers (USACE).

Chapter 3.0, "Document Categories and Processing Requirements," establishes the criteria for properly identifying and handling ER Program documents to meet the requirements of WHC-CM-3-5.

Chapter 4.0, "Infrastructure and Interfaces," describes the basic facilities and resources at the ER Program level available for implementation of this plan and describes the interfaces with related organizations and systems not described in this document.

Chapter 5.0, "Document Control Plan Implementation," describes the roles of ER Program performing organizations in the implementation of this plan and describes the major activities needed for effective implementation.

Chapter 6.0, "References," lists documents referenced throughout this plan.

Chapter 7.0, "Glossary," provides a list of acronyms and abbreviations and a list of terms and definitions applicable to this plan.

2.0 RESPONSIBILITIES

Responsibilities of RL, Ecology, EPA, and the USACE are included for information only. Responsibilities of ER Program performing organizations within WHC are for compliance.

2.1 U.S. DEPARTMENT OF ENERGY, RICHLAND OPERATIONS OFFICE

The RL Environmental Restoration Division is responsible for all ER Program work, including the administration and compliance of document control activities and performance of periodic audits and surveillances of document and record practices.

2.2 REGULATORY AGENCIES

The regulatory agencies (EPA and Ecology) are responsible for complying with the document control activities outlined in the Tri-Party Agreement.

2.3 U.S. ARMY CORPS OF ENGINEERS

The U.S. Army Corps of Engineers (USACE) is considered an ER Program participant and, as such, is responsible for developing its own document control plan in support of Hanford Site ER Program work assigned to them by RL. The USACE is responsible for transferring Administrative Record (AR) information to WHC in compliance with the document control activities outlined in the Tri-Party Agreement.

The scope of work defined within the interagency agreement between the USACE and RL includes the following: engineering services, cost estimating, value engineering, technical and programmatic support, and review of RL documents; site-wide topographical and geographical surveys of monitoring wells and *Resource Conservation and Recovery Act* (RCRA) and *Comprehensive Environmental Response Compensation and Liability Act* (CERCLA) waste sites for placement in the Washington State Plane Coordinate System; management of assessment activities for selected RCRA and CERCLA past-practice operable units (OUs) from work plan generation through the Record of Decision (ROD); and management of remedial design and/or remedial action activities for assigned past-practice OUs from the ROD through completion. Work currently assigned to the USACE includes assessment activities for the 1100-EM-1 subproject and program management activities.

2.4 TRI-PARTY AGREEMENT UNIT MANAGERS

Tri-Party Agreement unit managers are responsible for identifying AR documents and ensuring that copies of these documents are provided to WHC.

2.5 WESTINGHOUSE HANFORD COMPANY

WHC is an ER Program participant and performs ER Program activities as directed or assigned by RL. WHC is responsible for all ER Program work except for those activities assigned to the USACE. This includes assisting RL in the development of overall management systems for the ER Program. WHC ER Program performing organization responsibilities pertinent to document control activities are addressed in Sections 2.5.1 through 2.5.5 of this plan.

2.5.1 ER Program Office

The following are WHC ER Program Office responsibilities regarding this plan.

- Review and approve this plan. Developing and implementing this plan have been delegated by the ER Program Office to the Information Resource Management Department, as identified in Section 2.5.2.1 of this plan.
- Direct performing organizations to comply with this plan.
- Identify documents that require control outside the scope of existing document control systems and that have not been previously identified as requiring control by the performing organizations.
- Submit ER Program documents generated by or for the ER Program Office to the document processing center at 740 Stevens Center, which is called the Environmental Restoration (ER) Program Information Center (EPIC).

2.5.2 Information Resource Management Department

The Information Resource Management (IRM) Department within WHC is responsible for establishing and managing the WHC document control program. In this capacity, IRM is responsible for the following.

- Manage and operate the EPIC for the ER Program Office.
- Operate the unclassified document control system (WHC-CM-3-5, Section 12.1).
- Operate classified document control system (WHC-CM-3-5, Section 12.2).
- Operate the Central Files and document processing/distribution system (WHC-CM-3-5, Section 12.4).
- Operate the document clearance program (*Information Release Administration*, WHC-CM-3-4).
- Operate the Uniform Publications System (*Uniform Publications System*, WHC-CM-3-6).

Develop and maintain the WHC-CM-3-4, WHC-CM-3-5, and WHC-CM-3-6 manuals.

- Conduct management implementation reviews of document control activities and operations (WHC-CM-3-5, Section 1.1).
- Review and approve all WHC plans and procedures that establish or modify the company's document control systems.
- Review and approve this plan. This responsibility is shared by the ER Program Office (Section 2.5.1 of this plan) and the Environmental Quality Assurance organization (Section 2.5.3 of this plan).
- Provide assistance to line organizations on interpreting requirements, implementing document control systems, and resolving problems in a cost-effective manner.

2.5.2.1 Environmental Records and Information Services. The Environmental Records and Information Services (ERIS) organization, within the IRM Department, is responsible for the following.

- Develop, maintain, and implement this plan for the ER Program Office.
- Establish, implement, and maintain the EPIC as the vehicle to bring the ER Program document control system into compliance with RL, Tri-Party Agreement, ER Program, and WHC document control requirements. EPIC will provide central (as well as satellite) document processing, retrieval, and disposition services.
- Operate the EPIC for all ER Program performing organizations.
- Assist in integrating applicable WHC and Hanford Site document control systems into the ER Program.
- Control documents, as requested, that are outside the scope of existing document control systems.
- Provide guidance and direction to performing organizations related to new or modified document control systems specific to the ER Program, which are outside the scope of existing document control systems.

2.5.2.2 Document Control Services. The Document Control Services organization, within the IRM Department, is responsible for operating and managing Classified and Unclassified Document Control operations.

2.5.2.3 Documentation Support Services. The Documentation Support Services organization, within the IRM Department, is responsible for processing engineering drawing records; managing vendor information and specification

files; managing engineering drawing and aperture card files; managing 16 mm and 35 mm microfilming operations; and managing Information Release Administration (IRA).

The IRA organization, within Documentation Support Services, is the IRM organization responsible for coordinating the review, approval, and clearance of unclassified documents. All documents identified in WHC-CM-3-4 must go through the document clearance process. IRA maintains a database and copies of completed document clearance forms. All documents included in an AR file are cleared for public release.

2.5.2.4 Publications Services. The Publications Services organization, within the IRM Department, is responsible for managing and operating the Uniform Publications System in accordance with WHC-CM-3-6.

2.5.2.5 Vault Services. The Vault Services organization, within the IRM Department, is responsible for operating and managing document processing/distribution and document indexing and data entry support services; operating the 300 Area and 400 Area Quality Assurance (QA) vaults; and operating the Records Holding Area (RHA) at the 712 Building.

2.5.3 Environmental Quality Assurance

Environmental Quality Assurance is responsible for independent oversight of the document control program within the ER Program to ensure compliance with the *Quality Assurance Manual* (WHC-CM-4-2) and the QASR, for reviewing and approving this plan, and for overseeing compliance with this plan.

2.5.4 Configuration Management

The Configuration Management function, within the Engineering Services Department of WHC, is responsible for the following.

- Develop and maintain engineering practices contained in the *Standard Engineering Practices* (WHC-CM-6-1) manual.
- Develop and maintain Configuration Management systems and procedures relative to identification, change control, status control, and verification of Configuration Management controlled documents.
- Operate engineering release stations in accordance with WHC-CM-6-1.

2.5.5 Management Standards

Management Standards is responsible for establishing standards for the controlled manual system (WHC-CM-1-3, MRP 2.16) and for ensuring the uniform preparation, review, and release of documents within the controlled manual system (Level I, II, and III manuals).

2.6 OTHER PERFORMING ORGANIZATIONS

Each ER Program performing organization within WHC or under direct contract to WHC is responsible for complying with the requirements set forth in this plan. This includes other WHC organizations, other Hanford Site contractors, and subcontractors who have contractual obligations to WHC regarding ER work activities. It is the responsibility of the performing organizations to work with the procurement organizations to ensure these requirements are contractually imposed, as applicable, on subcontractors. It is also the responsibility of the performing organizations to impose these requirements, as applicable, on other Hanford Site contractors. Requirements may be imposed in Purchase Orders, Descriptions of Work, Statements of Work, Letters of Instruction, or other documents requesting services.

Each performing organization required to comply with any of the requirements identified in this plan is responsible for developing and maintaining procedures that ensure compliance.

Each ER Program performing organization (including other Hanford Site contractors and subcontractors who have contractual obligations to WHC regarding ER work activities) is responsible for documenting, in their implementing procedures, the following:

- Documents they are responsible for preparing, issuing, and/or distributing that require control (include those documents controlled by existing systems and those requiring new systems)
- Method(s) of control to be placed on each document requiring control
- Method(s) for document preparation, review, approval, issuance, and revision on each document requiring control
- Approved document control system (meeting the requirements identified in Chapter 3.0 of this document) for those documents that are outside the scope of the existing WHC document control systems, which may include submitting these documents to EPIC for processing.
- Method(s) to ensure maximum utilization of established document control systems and the EPIC
- Method(s) for submitting all plans and procedures that establish or modify document control systems to IRM for review and approval before issuance

NOTE: Specifically, IRM approval is limited to those procedures that demonstrate compliance with the WHC document control program requirements specified in WHC-CM-3-5, Section 12.

- Method(s) for providing IRM access to document files during the conduct of management implementation reviews as defined in WHC-CM-3-5, Section 1.1.

3.0 DOCUMENT CATEGORIES AND PROCESSING REQUIREMENTS

3.1 INTRODUCTION

The IRM Department within WHC is responsible for implementing and operating the majority of systems controlling WHC generated documents (including federal agency publications prepared and/or generated by WHC). The requirements that are identified in this chapter are compiled from WHC-CM-3-5, WHC-CM-4-2, and the QASR (Part I, Section A, Criterion 5).

The requirements identified in this section are primarily intended for application on systems employed to control documents that are considered QA records. The majority of documents requiring control fall into this category; however, these requirements also should be applied to other documents when specifically required by the WHC ER Program Office or IRM, when contractually imposed by WHC, or when imposed by WHC in documents requesting services. All documents (those considered QA and those not considered QA) will be controlled to the degree necessary to comply with the requirements identified in this plan.

This Chapter describes the following:

- The major established document control systems supporting the ER Program
- The organizations responsible for operating the major established document control systems
- What types of documents are controlled by the major established document control systems
- Where the documents go to be controlled
- How to control documents that are not controlled by the major established document control systems.

3.2 MAJOR ESTABLISHED DOCUMENT CONTROL SYSTEMS

Major established document control systems that pertain to ER Program documents include the following:

- Classified and Unclassified Document Control (Sections 3.3.7 and 4.3.5 of this plan)

NOTE: The ER Program does not produce classified information or generate classified documents.

- Central Files document processing and distribution system (Sections 3.4.5 and 4.3.7 of this plan)
- Records storage and retrieval (Sections 3.4.5 and 4.3.° of this plan)

Information Release Administration document clearance program
(Section 3.4.2 of this plan)

- Uniform Publications System (Section 3.3.6 of this plan)
- Configuration Management engineering release system (Section 3.3.5 of this plan)
- Controlled Manual system (Section 3.3.8 of this plan)
- Administrative Record (AR) information system (Sections 3.3.2 and 3.3.3 of this plan)
- Public Information Repository (PIR) information system (Section 3.3.4 of this plan).

3.2.1 Types of Environmental Restoration Program Documents to be Controlled

The following is a list of the types of ER Program documents that are required to be controlled. These document types include, but are not limited to:

- WHC Level I, II, and III controlled manuals (WHC-CM-1-3, MRP 2.16, and Section 3.3.8 of this plan)
- Engineering documents, including environmental engineering documentation (WHC-CM-6-1 and Section 3.3.5 of this plan)
- Documents published in accordance with WHC-CM-3-6 (Section 3.3.6 of this plan)
- Administrative Record (AR) documents listed in Section 9.0 of the Tri-Party Agreement Action Plan (Section 3.3.2 of this plan)
- Primary and selected secondary documents listed in Table 9-1 and Table 9-2 of the Tri-Party Agreement Action Plan¹ (Section 3.3.3 of this plan)

NOTE: Many of the primary and secondary documents listed in the Tri-Party Agreement are published in accordance with WHC-CM-3-6 and are released into the engineering release system to assure the appropriate level of control. Revisions

¹"Action Plan for Implementation of the Hanford Consent Order and Compliance Agreement Between U.S. Environmental Protection Agency, and State of Washington Department of Ecology as Amended September 1991 and August 1992," in Ecology et al. 1992.

to the primary and secondary documents are accomplished in accordance with the methods outlined in Section 9.3 of the Tri-Party Agreement Action Plan.

- Public Information Repository (PIR) documents listed in Table 1 of the *Community Relations Plan for the Hanford Federal Facility Agreement and Consent Order* (CRP) (Ecology et al. 1990) (Section 3.3.4 of this plan)
- Other documents, such as work instructions, that contain requirements in which failure to comply could adversely affect compliance with higher-tier documents.

3.2.2 Performing Organization Operated Document Control Systems

ER Program performing organizations may choose to impose additional controls on ER documents being controlled in cases where existing systems do not meet their needs. If controls desired exceed those offered by the established systems identified in Section 3.4 of this plan, the performing organization is responsible for controlling the document (or identifying the organization performing the service) in accordance with the requirements identified in this plan. These additional controls must be identified in the performing organization's implementing procedures, which must be reviewed and concurred with by IRM before implementation.

All systems used for controlling technical working level procedures, instructions, etc., must comply with the requirements in WHC-CM-3-5, Section 12.5. The requirements of Section 12.5 do not apply to procedures controlled by Management Standards, work packages controlled by the *Job Control System* (WHC-CM-8-8), or desk instructions.

The ERIS organization, as a performing organization that operates the EPIC, controls a few ER Program documents that are outside the scope of the major existing document control systems. At this time, these documents include:

- *Administrative Record Index* (RL-TPA-90-0002) (DOE-RL 1990a)
- Controlled distribution of the Tri-Party Agreement
- *Public Information Repository (PIR) Handbook* (RL-TPA-90-0003) (DOE-RL 1990c).

This service of controlling ER Program documents outside the scope of the existing document control systems can be expanded to include other ER Program documents, as needed. However, the major established document control systems should be used to the maximum extent possible by all ER Program performing organizations.

3.3 CATEGORIZING ENVIRONMENTAL RESTORATION PROGRAM DOCUMENTS

3.3.1 Introduction

Documents generated for the ER Program are prepared in a variety of formats and issued with a variety of controls. Categorizing ER Program documents includes determining the appropriate document type for the various kinds of documents and ensuring selection of the right system within which to publish documents. Overlaps exist between some of these control systems. For example, Supporting Documents are prepared and produced in accordance with WHC-CM-3-6, distributed and revised in accordance with WHC-CM-6-1, and archived in accordance with WHC-CM-3-5.

Document control is required throughout the ER Program, including documents generated during or as a result of investigation and remediation engineering work activities for treatment, storage, and disposal (TSD) unit permitting or closure processes and CERCLA and RCRA past practices processes required by the Tri-Party Agreement. Those ER Program documents that represent the final documentation of key data and reflect decisions on how to proceed will be treated as primary documents as described in Section 9.0 of the Tri-Party Agreement Action Plan. Those ER Program documents that represent an interim step in a decision-making process or are issued for information only and do not reflect key decisions will be treated as secondary documents as described in Section 9.0 of the Tri-Party Agreement Action Plan. Those documents include, but are not limited to, operable unit work plans, remedial investigation reports, aggregate area management studies, and feasibility study reports. Most primary and secondary documents are released into the engineering release system to assure the appropriate level of control. See Section 3.3.3 of this plan.

Some ER Program documents also will be categorized as Public Information Repository (PIR) documents in accordance with the CRP and Section 3.3.4 of this plan. Only those documents that request public input or involve the public are placed in the PIRs (i.e., public review copy and final approved version). Most, but not all, PIR documents also are considered AR documents.

All other ER Program documents not identified in the Tri-Party Agreement Action Plan and/or the CRP will be categorized in accordance with Sections 3.3.5 through 3.3.8 of this plan. These documents include, but are not limited to, conceptual phase documents, functional requirements or functional design criteria documents, conceptual design reports, and definitive design documents issued during or as a result of remediation engineering activities required to meet RL, ER Program, or WHC requirements.

All ER Program performing organizations shall use the guidelines for determining document type contained in WHC-CM-3-6, Section PS-1-02, to determine the appropriate document type for the various kinds of documents generated by the ER Program and to ensure that these documents are properly controlled. These guidelines do not require that any existing documents be reformatted or moved to another document control system. Existing documents should be evaluated against this guidance and, if necessary, moved to the correct control system when they are revised.

A list of typical ER Program documents or document types has been compiled for use by ER Program performing organizations to assist them in categorizing and controlling specific ER Program documents (Appendix A). This list identifies the document control systems through which many existing ER Program documents have been processed and is designed to provide guidance to determine how to issue specific program documents.

3.3.2 Administrative Record Documents

An Administrative Record (AR) document is a document containing information that is considered or relied upon in arriving at a record of decision or in issuance of a permit. These documents are shown in Table 9-3 of the Tri-Party Agreement Action Plan.

In addition to those documents listed in Table 9-3, the Tri-Party Agreement unit managers will determine what additional documents should be included in the AR files. This may include validated sampling and analysis results, supporting technical studies and analyses, inspection reports and follow up analyses, and other documents. The unit managers decide at least monthly what documents issued during the previous month are appropriate for inclusion in the AR files.

Many of the AR documents are categorized as primary or secondary documents in accordance with Section 9.0 of the Tri-Party Agreement Action Plan and Section 3.3.3 of this plan. For each primary document identified for inclusion in the AR, the AR files shall include:

- All drafts submitted to the regulatory agencies for review and/or approval
- Written comments from the support regulatory agency to the lead regulatory agency
- Written comments from the lead regulatory agency to RL (to include Notice of Deficiency on a Permit Application)
- RL written responses to comments received from the lead regulatory agency
- Final document and any subsequent revisions
- Drafts that are submitted for public comments.

For each secondary document identified for inclusion in the AR, the AR files shall include:

- Final document and any subsequent revisions
- Written comments from the support regulatory agency to the lead regulatory agency, if provided
- Written comments from the lead regulatory agency to RL, if provided

RL written responses to comments received from the lead regulatory agency.

Drafts of documents that are undergoing internal review (within EPA, Ecology, RL, and WHC) will not be included in the AR files.

Primary and secondary documents are only included in the AR files if they are considered or relied upon by the lead regulatory agency in reaching a record of decision or permit/permit modification. In addition to those primary and secondary documents that meet the criteria for being included in the AR files, many other types of documents also are included in the AR files. These other documents are typically generated from sources other than Hanford Site contractors. Examples of these other documents include regulatory agency correspondence, public comments, regulatory agency responses, studies done by independent organizations, guidance documents, public meeting minutes, and many others.

All AR documents issued by or for the ER Program shall be included in the AR files maintained by WHC for RL.

3.3.3 Tri-Party Agreement Primary and Secondary Documents

All ER Program documents described in the Tri-Party Agreement Action Plan, Section 9.0, must be categorized as either primary or secondary documents. All primary and secondary documents containing information considered in arriving at a record of decision or issuance of a permit or listed in Table 9-3 of the Tri-Party Agreement Action Plan are included in AR files maintained by WHC for RL.

Primary documents are those that represent the final documentation of key data and reflect decisions on how to proceed. The Tri-Party Agreement Action Plan, Table 9-1 provides a listing of primary documents. Examples of primary documents include work plans, remedial investigation Phase II reports, feasibility study reports, closure plans, etc.

Secondary documents are those that represent an interim step in a decision-making process, or are issued for information only, and do not reflect key decisions. The Tri-Party Agreement Action Plan, Table 9-2 provides a listing of secondary documents. Examples of secondary documents include Hanford Site operable unit and waste management reports, remedial investigation Phase I reports, quarterly progress reports, sampling and data results, etc.

Many of the primary and secondary documents listed in the Tri-Party Agreement are published in accordance with WHC-CM-3-6 and are released into the engineering release system to assure the appropriate level of control (Section 3.3.5 of this plan). Revisions to the primary and secondary documents are accomplished in accordance with the methods outlined in Section 9.3 of the Tri-Party Agreement Action Plan and Section 3.4.4 of this plan.

3.3.4 Public Information Repository Documents

To support Tri-Party Agreement requirements for providing information to the public, certain documents are submitted to the Public Information Repositories (PIRs). Table 1 in the CRP contains a listing of documents to be placed in the PIRs. Most, but not all, primary and secondary AR documents are included on this listing (Section 3.3.3 of this plan). This information may include remedial investigation work plans, design work plans, transcripts and summaries from public meetings and workshops, copies of the Tri-Party Agreement, and related documents.

3.3.5 Engineering Documents/Environmental Engineering Documents

The five categories of engineering documents are: drawings, specifications, vendor information, supporting documents, and selected types of environmental engineering documentation. Engineering documents are controlled in accordance with WHC-CM-6-1 as follows:

- Drawings (assigned numbers, prepared, released, and revised in accordance with EP-1.3, EP-1.5, and EP-2.2)
- Specifications [numbered, prepared, released, and revised (single-use specifications only) in accordance with EP-1.2 and EP-2.2]
- Vendor information (assigned numbers and controlled in accordance with EP-3.3)
- Supporting documents (numbered, prepared, released, and revised in accordance with EP-1.12 and EP-2.2)
- Environmental engineering documents include environmental work plans, feasibility studies, aggregate area management studies, and remedial investigation reports. These documents are prepared according to the applicable federal agency publication specifications, are numbered and published in accordance with WHC-CM-3-6 (PS-3-01), are reviewed for public release in accordance with WHC-CM-3-4, and are released into the engineering release system and revised in accordance with WHC-CM-6-1 (EP-1.6, EP-1.7, and EP-2.2). Environmental engineering documents may be released in draft and/or final form. All environmental engineering documents for the ER Program are to be submitted to a Configuration-Management-operated engineering release station for processing.

All documents released through the engineering release system are QA records, and the processing of the record is performed for the author or initiating organization at the time of creation (release into the engineering release system) by Configuration Management release station personnel.

3.3.6 Formal Environmental Restoration Program Publications

Formal ER Program publications are published through the Uniform Publications System, which provides uniform methods for identifying,

preparing, distributing/transmitting, reporting, tracking, and archiving unclassified scientific, technical, engineering, and administrative information using unique document numbering systems.

The Publication Services organization, within the IRM Department, assists authors in securing unique identification numbers appropriate to the type of document being issued. Guidance for determining the appropriate document type is found in WHC-CM-3-6, Section PS-1-02.

Publications Services also provides editing and document coordination services to authors of all types of documents. Editing services are required for the following formal ER Program publications:

- Speech/Article publications
- External publications
- Federal agency publications

Each of these document types is described in detail in WHC-CM-3-6, as are the following additional document types:

- Miscellaneous reports
- Sponsor-Limited publications
- Supporting documents
- Controlled manuals
- Internal publications

3.3.7 Environmental Field Logbooks and Other Controlled Notebooks

Field logbooks used during environmental field investigation work activities performed by ER Program performing organizations or subcontractors are managed in accordance with the *Environmental Investigations and Site Characterization Manual* (WHC-CM-7-7, EII 1.5). The EPIC provides personnel to assign, track, maintain, protect, and disposition field logbooks assigned to individuals in ER Program performing organizations.

Other controlled notebooks, such as laboratory notebooks used for recording scientific or technical information, are managed in accordance with WHC-CM-3-5, Section 12.1.

3.3.8 Controlled Manuals

Management Standards is responsible for establishing the standards for the control manual system and for ensuring the uniform preparation, review, and release of documents within the control manual system, in accordance with WHC-CM-1-3, MRP 2.16. The document types controlled by the Management Standards operated system outlined in WHC-CM-1-3 include:

- Level I Controlled Manuals
- Level II Controlled Manuals
- Level III Controlled Manuals.

All ER Program controlled manuals shall be developed and issued through WHC Management Standards in accordance with WHC-CM-1-3, MRP 2.16, and distributed by Unclassified Document Control. Controlled manuals that generate documents will have to provide users with the information they need to schedule these documents for retention or disposal properly and in accordance with the requirements of the *Environmental Restoration (ER) Program Records Management Plan* (Montgomery 1992).

The controlled manual system is intended to contain company policies, charters, and administrative manuals containing requirements and procedures governing work in specific functional or topical areas (engineering, quality assurance, safety, etc.).

3.4 DOCUMENT PROCESSING REQUIREMENTS

3.4.1 Creation/Preparation

All ER Program documents shall be prepared in accordance with the format and content requirements applicable to the type of document being generated, as determined in accordance with Section 3.3 of this plan.

The preparation, review, issuance, and change of instructions, procedures, plans, and drawings that specify quality requirements or prescribe activities affecting quality shall be controlled to ensure that correct documents are available to the user. Such documents, including changes thereto, shall be reviewed for adequacy, completeness, or correctness before approval.

3.4.2 Review and Approval

All ER Program documents shall be reviewed and approved in accordance with the requirements applicable to the type of document being generated. Procedures controlling document reviews shall identify organizations authorized to perform such reviews. The assignment of reviewers within those organizations is the responsibility of the cognizant manager.

Review of controlled documents may be accomplished by written comment or in formal document review meetings. In either case, reviews shall be documented by maintaining comment and disposition records, review completion sign-off records, or meeting minutes.

Procedures for the review, approval, and issuance of program documents, and changes thereto, shall be established to ensure that technical adequacy and inclusion of appropriate QA requirements are included before implementation. The QA organization shall review and concur with the QA aspects of ER Program documents. These documents also shall be reviewed for technical adequacy by an individual or organization other than the person who generated the document, but who has a technical understanding of the pertinent issues and relevant documents. The submitting organization is obligated, as requested, to provide reviewing organizations access to pertinent background information upon which to base its approval (or rejection).

For documents important to safety, quality, or environmental protection (except for controlled manuals), for the initial distribution or modification (changes or revisions), the impact level and review and approval requirements shall be determined in accordance with the criteria in WHC-CM-1-3, MRP 5.43. For controlled manuals use MRP 2.16.

The IRA organization, within the IRM Department, is responsible for coordination of the review, approval, and distribution of unclassified information. This includes all documents identified in WHC-CM-3-4.

3.4.3 Distribution

Distribution control is a task typically performed by service organizations. Distribution control includes the following:

- Controlled distribution
- Copy control distribution
- General distribution
- Uncontrolled distribution.

These distribution methods are described in WHC-CM-3-5, Section 12.1 and Section 12.4. In general, the type of document generated will determine the distribution method used.

Unclassified Document Control distributes unclassified controlled documents, including controlled manuals, controlled notebooks, and other selected controlled documents. Vault Services distributes environmental engineering documents processed through Configuration Management and/or Publication Services.

Documents generated by or for the ER Program may be distributed by the performing organizations or by service organizations in accordance with the requirements applicable to the type of document generated, as determined in accordance with Section 3.3 of this plan. The distribution method and responsible organization shall be identified in performing organization implementing procedures.

3.4.4 Revision/Change Control

Revision control is a task typically performed by service organizations. Revision control includes both direct revision and/or page change revisions.

Changes may be incorporated in controlled documents by revising the entire document or by revising individual pages. The current revision status shall be readily evident on the document's revision status page. When an entire document is revised, all pages will reflect a common revision control designator. When only individual pages are revised, the revision control designator is only required on the revised pages.

The existing WHC manuals, which identify the specific document types referenced throughout this plan, also identify the change control requirements for the specific documents.

Changes to Tri-Party Agreement primary or secondary documents shall follow the process identified in Section 9.3 of the Tri-Party Agreement Action Plan. The process followed by the ER Program performing organizations to change primary or secondary documents shall be identified in their implementing procedures (e.g., WHC-CM-7-7, EII 1.9).

Except for baseline documents, changes to ER Program documents shall be controlled, reviewed and approved as follows.

3.4.4.1 Major Changes. Changes to documents (other than those defined below as minor changes) are considered "major changes" and shall be reviewed and approved by the same organizations that performed the original review and approval, unless other organizations are specifically designated.

3.4.4.2 Minor Changes. Minor changes to documents, such as editorial corrections, shall not require the same review and approval as the original documents. The type of minor changes that do not require such a review and approval, and the persons who can authorize such a decision, shall be clearly delineated.

Changes to technical, cost, scope, or schedule baseline documents for the ER Program shall be identified, evaluated, and dispositioned in accordance with change control procedures currently being developed for the ER Program.

3.4.5 Storage and Retention

Copies of ER Program documents are stored at the EPIC located in the 740 Stevens Center Building and at Central Files located in the 3706 Building in the 300 Area. The EPIC contains reference copies of ER Program documents, including microfilm reels of AR documents. Central Files contains the official record copies of ER Program documents.

Reference copies of ER Program documents also are available at satellite records centers and libraries operated for ER Program performing organizations to support work activities at those locations (Section 4.3.4 of this plan).

The Vault Services organization, within the IRM Department, is responsible for the control, accountability, and retrieval of documents stored and maintained in the Central Files facility. The types of documents controlled by the Central Files operated system include documents that are categorized as QA records stored in the Central Files facility and other documents stored in the facility. All documents released into the engineering release system may be obtained from any Configuration-Management operated engineering release station.

All ER Program documents shall be retained in accordance with ER Program performing organization's approved Records Inventory and Disposition Schedules (RIDS) and in accordance with the requirements of WHC-CM-3-5 and Chapters 3.0 and 4.0 of the ER Program Records Management Plan (Montgomery 1992).

3.4.6 Use of Environmental Restoration Program Controlled Documents

When documents are required for a specific work activity, procedures controlling the work shall require that, before starting work, approved copies of the applicable documents, and changes thereto, are distributed to and used at the location of the prescribed activity.

Obsolete, void, or superseded documents shall be removed from work areas and replaced, when applicable, with revised documents. This requirement is limited to documents controlling or directing work activities, is not intended to be applied to reference files, and may be accomplished through document recall/revision notification for controlled distributions. For uncontrolled distributions, the responsibility must be established for all employees to verify the status of each document against a revision control database before its application in controlling or directing work activities.

3.4.7 Disposition of Environmental Restoration Program Documents

All ER Program documents shall be dispositioned in accordance with ER Program performing organization's approved RIDS and in accordance with the requirements of WHC-CM-3-5 and Chapters 3.0 and 4.0 of the ER Program Records Management Plan (Montgomery 1992).

4.0 INFRASTRUCTURE AND INTERFACES

4.1 ENVIRONMENTAL RESTORATION PROGRAM INFORMATION CENTER (EPIC)

The EPIC provides a centralized location and satellite locations for the processing and retrieval of ER Program information (data, documents, and records) and utilizes existing company systems to control selected ER Program documents.

The EPIC and its satellite records centers are responsible for ensuring or verifying that ER Program documents received are processed through appropriate WHC document control systems and for retaining a copy of applicable documents to meet other Program or regulatory requirements.

This facility provides a "one stop shop" for processing documents and will provide the following:

- A centralized facility with available hardware and software to provide complete services for document control, including environmental engineering document release, duplication, distribution, etc.

Satellite facilities to support work activities but staffed and equipped only to perform those functions necessary for work at that location, such as requests requiring expedient processing

- Established procedures to direct the flow of documents within the EPIC and satellite facilities, to identify responsibilities and interfaces between EPIC personnel, and to identify interfaces between the EPIC and existing document control systems and other ER Program performing organizations
- Training for EPIC and functional organization personnel in the requirements of this plan.

4.2 COMPUTER RESOURCES

The EPIC will develop, establish, and maintain a single "master" database to index and status ER Program documents. The master database will provide the status of documents during processing and the location of the documents within the applicable document control systems. The master database also will ensure that specific ER Program documents can be extracted for the AR files, the PIRs, the ER Program project files and other files management systems.

4.3 INFORMATION SOURCES

Copies of ER Program documents and other Hanford Site documents are available from the following information sources.

4.3.1 Hanford Technical Library

The Hanford Technical Library, operated by Pacific Northwest Laboratories and located in the 300 Area, has copies of many historical Hanford Site documents.

4.3.2 Environmental Resource Center

The Environmental Resource Center reference library contains the following types of reference documents:

- Federal, state, and local guidance documents
- DOE orders
- Hanford Plant Standards
- Applicable WHC controlled manuals
- Hanford Site work plans (identified in the Tri-Party Agreement)
- Hanford Site permit applications (identified in the Tri-Party Agreement)

Miscellaneous Hanford Site and other DOE site documents

- Hanford Site maps and photographs.

4.3.3 Environmental Data Management Center

The main focus of the Environmental Data Management Center (EDMC) files management system is the collection of information that has been sent to or received from one of the agencies participating in the environmental restoration of the Hanford Site. The EDMC files management system contains documents related to operable units, TSD units, interim response actions, and expedited response actions (Tri-Party Agreement and AR documents).

4.3.4 Other Satellite Information Centers and Libraries

Reference copies of ER Program documents also are available at satellite records/information centers and libraries operated for ER Program performing organizations to support work activities at those locations. The satellite centers provide interim support to the ER Program functional organizations by organizing field files, setting up libraries, cataloging data, managing one-of-a-kind information, and transmitting completed QA records and other record material to the Records Holding Area (RHA) as specified by organizational RIDS approved by IRM. The EPIC also will have access to the information databases maintained by these satellite centers.

Existing satellite ER Program centers include the Decommissioning Engineering records center, the Environmental Restoration Engineering records center, the Environmental Field Services records center and library, the Hanford Geotechnical Sample Library, and the Geosciences Technical Information Center.

4.3.5 Classified/Unclassified Document Control

Controlled and uncontrolled (information) copies of ER Program controlled manuals, controlled notebooks, and selected unclassified documents requiring copy control are available from Unclassified Document Control.

If it becomes necessary to retrieve classified documents for use by ER Program performing organizations, copies are available from Classified Document Control in accordance with applicable requirements, e.g., need-to-know and appropriate clearance.

4.3.6 Configuration Management/Engineering Release System

Configuration Management is responsible for the release, processing, and control of ER Program engineering documents and environmental engineering documentation. The Configuration-Management operated engineering release work stations can provide the current status of any engineering document.

4.3.7 Central Files

Official record copies of ER Program documents are maintained at Central Files. In addition, other WHC engineering and QA documents are available at Central Files. Documents can be reviewed at Central Files, or copies can be requested.

4.3.8 Records Holding Area

The Vault Services organization, within the IRM Department, operates the Records Holding Area (RHA) for the Hanford Site. Historical Hanford Site documents that have been sent to the RHA by prior Hanford Site contractors [such as Atlantic Richfield Hanford Company, Rockwell Hanford Operations, Douglas United Nuclear, UNC Nuclear Industries, and others] can be made available to ER Program performing organizations on a need-to-know basis.

4.4 DOCUMENT CONTROL PLAN INTERFACES

4.4.1 Environmental Restoration Program Information Management System

The ER Program document control system is a subset of the ER Program Information Management System currently being developed by RL. The Information Management System is defined in terms of interrelated functional areas, including document control. Document control support functions ensure the validity, accessibility, and integrity of documents that are used in the ER Program, included in records, or released to the public.

4.4.2 Environmental Restoration Program Records Management System

The ER Program records management system (Montgomery 1992) is also a subset of the Information Management System currently being developed for the ER Program. Records management functions are initiated whenever a document is created. The records management support functions ensure that documents are stored so that they may be retrieved readily when needed.

4.4.3 Environmental Restoration Program Configuration Management System

Releasing ER Program environmental engineering documents through the Configuration-Management operated engineering release work stations provides control and transmittal for these documents into the Hanford Site configuration management system and transmittal of the documents to Central Files for record purposes and distribution. A configuration management plan currently is being developed for the ER Program.

4.4.4 Environmental Restoration Program Information Matrix

A list of records and documents (or record/document types) has been extracted from the ER Program requirements and planning documents, the Tri-

Party Agreement, and the Tri-Party Agreement Handbook, augmented by the records and documents that are generated by WHC working-level procedures, such as those contained in WHC-CM-7-7. RL, ER Program, Tri-Party Agreement, and WHC records management and document control requirements have been incorporated into this list or matrix, which is intended to provide guidance to assist ER Program performing organizations to identify the requirements that apply to specific ER Program information.

This matrix provides an annotated list of ER Program information in tabular form, listing ER Program information in alphabetical order by title and including input from ER Program performing organizations relating to record keepers and responsible organizations, information life cycle/phases, information categories and classifications, and processing requirements. This matrix will be kept in an electronic database at the EPIC, and the database will be updated as ER Program requirements change.

5.0 DOCUMENT CONTROL PLAN IMPLEMENTATION

5.1 INTRODUCTION

This chapter describes the roles of ER Program performing organizations in the implementation of the ER Document control plan and describes the major activities needed for effective implementation.

5.2 PERFORMING ORGANIZATION ROLES

5.2.1 Environmental Restoration Program Office

To effectively implement this plan, the ER Program Office must identify any additional program documents that need to be controlled, but that are not currently controlled by the existing document control systems and have not been identified as requiring control by the performing organizations. These documents will be identified to the responsible cost account manager.

5.2.2 Information Resource Management Department

The IRM Department is responsible for implementing this plan. To effectively implement this plan, the IRM Department will continue to operate its current document control systems and integrate environmental regulatory requirements into its systems to meet the needs of the ER Program for documents needed to fulfill dual roles (meeting RL and regulatory requirements).

The IRM Department also will provide matrixed personnel as needed for the EPIC to provide required services and, as required by WHC-CM-3-5, review and approve plans and procedures for performing organizations that establish and implement or modify the ER Program document control system.

Effectively implementing this plan also will require that the IRM Department continue to assist ER Program performing organizations, both document-generating and support organizations, in the development of RIDS for ER Program documents and to ensure timely approval of RIDS submitted to them for review and approval.

5.2.3 Environmental Records and Information Services

The Environmental Records and Information Services (ERIS) organization, within the IRM Department, is the primary organization responsible for implementing this plan. ERIS will assist the WHC ER Program Office in implementing this plan and will coordinate with other IRM Department organizations to ensure compliance with the applicable governing requirements pertaining to document control.

ERIS also will assist ER Program performing organizations in the following.

- Identify documents requiring or needing control.
- Identify the method of control to be placed on each document requiring or needing control.
- Develop and document (procedures, plans, etc.) internal systems to control documents that are outside the scope of the existing document control systems.
- Control documents, as requested, that are outside the scope of the existing document control systems.
- Interface with other IRM organizations and Configuration Management.
- Provide training on the EPIC to ensure effective implementation and utilization of the center.

5.2.4 Configuration Management

The Configuration Management organization will continue to operate the current engineering document control systems relative to identification, change control, status control, and verification of engineering and environmental engineering documents.

To effectively implement this plan, the Configuration Management organization will provide procedures and personnel to provide release, processing, and control of environmental engineering documentation for the ER Program.

5.2.5 Performing Organizations

The heavy burden for effectively implementing this plan is being placed on the organizations that generate the ER documents requiring control. These

performing organizations include, but are not limited to, WHC, its contractors, and subcontractors supporting ER work activities.

To ensure that this plan is effectively implemented, each performing organization within the ER Program will develop and maintain procedures that ensure compliance with the requirements of this plan. Procedures are discussed in Section 5.3.1 of this plan.

5.3 IMPLEMENTING ACTIVITIES

To effectively implement this plan and to provide for an orderly and efficient flow of information during that process, a three-phase approach has been developed.

The first phase is to establish implementing procedures and related desk instructions, as needed. Procedures are discussed in detail in Section 5.3.1 of this plan.

The second phase will be to train all ER performing organizations. This is discussed in Section 5.3.2 of this plan.

The third phase will be to secure feedback from ER Program performing organizations and to revise the plan, as necessary.

5.3.1 Procedures

Document control procedures already used by the performing organizations will be reviewed against the requirements of this plan and consolidated, integrated, or revised, as necessary. Where no procedures currently exist, they will be developed. This phase of the implementation process will require coordination between the ERIS organization, other IRM organizations, and the performing organizations.

A network of detailed implementing procedures is necessary to ensure that this plan is consistently implemented. Each performing organization involved in the generation of documents requiring control will be required to document this process in their organization's implementing procedures. The performing organizations also must identify the methods of document control for their documents, and based on the level of control desired, may need to develop their own document control system in cases where existing systems do not meet their needs. Such systems must meet the requirements of this plan and must be reviewed and concurred with by IRM before implementation.

The current Hanford Site document control systems are well established, well documented, and invaluable resources of information pertaining to the methods of control and the documents that require this control. These resources should be used to the greatest extent possible when additional document control systems and procedures are required.

The document control systems (including how performing organizations interface with the existing systems) shall be procedurally controlled in the performing organization's procedures, which shall provide the following.

- Identify documents to be controlled and their distribution requirements. Controlled distribution may be accomplished by copy control or general distribution methods depending on the degree of control deemed necessary by ER Program management.

If additional control is necessary (beyond what is identified for the document type in the established document control system) ER Program management will identify (in their procedures) the type of additional control to be placed on the document type. In either case, procedures shall require that all recipients of the initial distribution receive all subsequent revisions, provided that they have not been removed from controlled distribution.

- Identify requirements and the assignment of responsibility for preparing, reviewing, approving, issuing or distributing, and revising documents.
- Review documents for adequacy, completeness, and correctness before approval and issuance.
- Account for those documents controlled by each system and ensure visibility of revision status (revision recorded on document).

Technical working-level procedures prepared by the performing organizations must comply with the requirements of WHC-CM-3-5, Section 12.5, except for procedures controlled by Management Standards or desk instructions.

5.3.2 Training

Training is an essential aspect for the implementation of this plan. A program of training will be necessary for all ER performing organizations. Training also should be given to service and support organizations of the ER Program.

The IRM Department, with assistance from other ER Program performing organizations, will be responsible for the ER document control system training. This training will be developed to fulfill each ER Program performing organization's needs and requirements.

The ERIS organization, within the IRM Department, will continue to work with the Tri-Party Agreement Data and Information Management organization to implement the recently developed formal environmental training program, which includes identification and processing of AR documents.

At this time, details of the training that will be required for implementation of this plan have not been fully identified. That training will become part of a formal, documented training program that is currently being developed for records management and document control for the ER Program. That training also will be coordinated with the formal environmental

training program established for identification and processing of AR documents. As they are developed and implemented, details about available and planned training will be incorporated into subsequent revisions to this plan.

5.4 ANNUAL REVIEW

Once a system is implemented, the system must undergo periodic audits or self-assessments to determine how effectively it is meeting the requirements and the needs of its customers.

As part of its internal self-assessment program, the ERIS organization will prepare revisions for this plan, as needed. The plan will be reviewed annually for accuracy and relevance to the ER Program. As the implementing process continues and lessons are learned, information will be added and/or updated in this plan, so that it will continue to be an accurate and reliable source of information for managing the ER Program document control system. Other performing or affected organizations will continue to be involved in the review, comment, and concurrence process for revisions to this plan.

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WHC-CM-7-7, *Environmental Investigations and Site Characterization Manual*, Westinghouse Hanford, Richland, Washington.

WHC-CM-8-8, *Job Control System*, Westinghouse Hanford Company, Richland, Washington.

7.0 GLOSSARY

ACRONYMS AND ABBREVIATIONS

AR	Administrative Record
CERCLA	<i>Comprehensive Environmental Response, Compensation and Liability Act of 1980</i>
CRP	<i>Community Relations Plan for the Hanford Federal Facility Agreement and Consent Order</i>
DOE	U.S. Department of Energy
Ecology	Washington State Department of Ecology
EDMC	Environmental Data Management Center
EPA	U.S. Environmental Protection Agency
EPIC	Environmental Restoration Program Information Center
ER	Environmental Restoration
ERIS	Environmental Records and Information Services
IRM	Information Resource Management

mm	millimeter
OU	operating unit
PIR	Public Information Repository
QA	quality assurance
QASR	<i>Environmental Restoration Program Quality Assurance Systems Requirements for the Hanford Site</i>
RCRA	<i>Resource Conservation and Recovery Act of 1976</i>
RHA	Records Holding Area
RIDS	records inventory disposal schedule
RL	U.S. Department of Energy, Richland Operations Office
ROD	record of decision
TPA	Tri-Party Agreement
Tri-Party Agreement	<i>Hanford Federal Facility Agreement and Consent Order</i>
TSD	treatment, storage, and disposal
USACE	U.S. Army Corps of Engineers
WHC	Westinghouse Hanford Company

TERMS AND DEFINITIONS

Administrative Record (AR). The *Comprehensive Environmental Response, Compensation and Liability Act of 1980* (CERCLA) identifies the AR as the official file that contains all information that was considered or relied upon by the regulatory agency in arriving at a final remedial action decision, as well as all documentation of public participation throughout the process. The *Resource Conservation and Recovery Act of 1976* (RCRA) identifies the AR as the official file that contains all documents to support a final RCRA permit determination.

Administrative Record File. The assemblage of documents compiled and maintained by an agency pertaining to a proposed project or administrative action and designated as AR or that are candidates for inclusion in the AR once a record of decision is attained.

Administrative Record File Index. A detailed listing of all documents in an AR file.

Change Control. A Configuration Management process that ensures that all changes are properly identified, designed, approved, implemented, and documented.

Controlled Distribution. The transmittal of controlled documents and all subsequent revisions to specific individuals or locations.

Controlled Document. Any document requiring formal controls for preparation, accountability, review and approval, revision, access, or distribution.

Controlled Notebook. A controlled, bound or unbound, notebook used for recording scientific and/or technical information.

Copy Control Distribution. A type of controlled distribution that identifies each specific copy of a document with a unique number and assigns

individual copy holders to facilitate receipt accountability for documents and revisions, recall of documents, and removal of obsolete or superseded documents from the work areas and restrict access when desired.

Direct Revision. A change made to the body of a document that revises, adds, or deletes information. The revised document supersedes the previous document revision.

Document. Any written or graphic information describing, defining, specifying, reporting, or certifying activities, requirements, procedures, or results.

Document Control. The act of ensuring that documents, and changes thereto, are reviewed for adequacy, completeness, and correctness, approved for release or use by authorized personnel, and distributed to and used at the location where the prescribed activity is performed.

Engineering Documents. Technical documents (not including procedures) prepared to support the planning, analysis, design, construction, operation, and maintenance of a specific design for structure, system, or component.

Environmental Data Management Center (EDMC). The central facility and services that provide a files management system for processing Environmental Restoration (ER) Program AR/PIR information.

Environmental Engineering Documentation. Environmental engineering documents (specifically DOE/RL-NN-NN numbered federal agency technical publications) include environmental work plans, feasibility studies, aggregate area management studies, and remedial investigation reports released in draft and/or final form.

Environmental Restoration Program Information Center (EPIC). The central facility and services, including satellite facilities, that provide processing and retrieval of ER Program information (data, documents, and records) utilizing existing company systems to control documents and manage records.

ER Project File. The body of records applicable to a waste site necessary to demonstrate regulatory compliance, to show compliance with governing requirements (regulatory and DOE), and to provide a traceable project history. It is a gathering of information that substantiates, supports, or documents a specific scope of work identified in the ER Program work breakdown structure.

General Distribution. A type of controlled distribution that distributes copies of a controlled document to specific individuals or locations identified on a distribution list.

Page Change. A variation of the direct revision that changes information only on affected pages instead of revising the entire document.

Procedure. A step-by-step sequence for performing an activity or process. There are three kinds: administrative, emergency, and technical.

Program Participant. An organization or individual directed by RL to perform ER Program work. (Currently Westinghouse Hanford and the U.S. Army Corps of Engineers.)

Performing Organization. An organization within WHC or contracted to WHC that is responsible for performing activities in support of the ER Program.

Primary Document. A document that contains information on which key decisions are made with respect to the remedial action or permitting process. Primary documents are subject to dispute resolution and are part of the AR file.

Record Copy. The designated "official" copy.

Secondary Document. A document providing information that does not, in itself, reflect or support key decisions. A secondary document is subject to review by the regulatory agencies and may be part of the administrative record file. It is not subject to dispute resolution.

Uncontrolled Distribution. A type of document distribution that distributes copies of controlled documents to individuals or locations upon request, with no restrictions on access and no record of the recipients.

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APPENDIX A

ENVIRONMENTAL RESTORATION (ER) PROGRAM DOCUMENT LIST

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APPENDIX A

ENVIRONMENTAL RESTORATION PROGRAM DOCUMENT LIST

This list of typical ER Program documents or document types has been compiled for use by ER Program performing organizations to assist them in categorizing and controlling their specific ER Program documents.

This list identifies the document control systems through which many existing ER Program documents have been processed and is designed to provide guidance to determine how to issue specific program documents. The list is not intended to be all inclusive, and it will be updated in subsequent revisions to this plan.

Appendix A. Environmental Restoration (ER) Program Documents.

Document Title or Description	Source Requirement Document	Document Type or Category	Originating/Responsible Organization	Interim Record Keeping Organization	Record Copy Holder
Administrative Record (AR) Index (RL-TPA-90-0002)	Tri-Party Agreement RL-TPA-90-0001	FAAP	ERIS	ERIS	CF
Annual Surveillance and Maintenance Reports for the Retired Hanford Site Facilities	TBD	EP	DS/IFS&M	ERO	CF
Characterization Documents	WAC	Environ. Eng. Doc.	ERO	ERO	DS
Clean Water Permits	WAC CWA/33CFR 330 WHC-CM-7-5	TBD	A&WP	A&WP	CF
Closure Plans	RCRA WAC 303-610 (3) (a) WHC-CM-7-5	FATP	RCRA Closures	RCRA Closures	CF
Community Relations Plan For The Hanford Federal Facility Agreement and Consent Order	40CFR 300.430 (c) Tri-Party Agreement	FAAP	Public Involvement	COM	COM
Conceptual Design Reports (CDR)	RLIP 4700.1A	SD	DE	DE	DS
Configuration Management Plans (CMP)	DOE 4700.1	FATP	Central Engineering	PMS	CF
Corrective Measures Design (CMD) Reports	RCRA/ WHC-CM-7-7/EII 1.9	FATP	ERE	ERE	CF
Corrective Measures Implementation (CMI) Work Plans	RCRA/ WHC-CM-7-7/EII 1.9	FATP	ERE	ERE	CF
Corrective Measures Study Reports	RCRA/ WHC-CM-7-7/EII 1.9	FATP	ERE	ERE	CF
Defense Decontamination and Decommissioning (D&D) Program Overview (DOE/RL-88-02)	TBD	FATP	ERO	ERO	DS
Descriptions of Work (DOW)	WHC-CM-6-1 WHC-CM-7-7/ EII 1.14	SD	ERE	N/A	CF
Document Control Plans	DOE/RL-89-29	EP	ERIS	ERIS	CF

Appendix A. Environmental Restoration (ER) Program Documents.

Document Title or Description	Source Requirement Document	Document Type or Category	Originating/Responsible Organization	Interim Record Keeping Organization	Record Copy Holder
Engineering Studies	WHC-CM-6-1	SD	Cog Eng	Config. Mgmt.	CF
Environmental Assessments (EA)	NEPA WHC-CM-7-5/4.0	FATP	NEPA Function	NEPA Function	RHA
Environmental Engineering & Geotechnology Function Procedures (WHC-CM-7-8)	DOE/RL-90-28, Rev. 1	CM	ERE/EFS/GEO	GEO	CF
Environmental Engineering, Technology, and Permitting Function Quality Assurance Program Plan (WHC-EP-0383)	DOE/RL-90-28, Rev. 1	EP	ERE	ERE	CF
Environmental Investigations and Site Characterization Manual (WHC-CM-7-7)	DOE/RL-90-28, Rev. 1	CM	Environ. Division	Document Control	CF
Environmental Restoration Program Baseline Technology Plan (WHC-SD-EN-AP-068, Rev. 0)	WHC-EP-0456	SD	EPB	PMS	CF
Environmental Restoration Program Quality Assurance System Requirements for the Hanford Site (QASR) (DOE/RL-90-28, Rev. 1)	DOE 5700.6C EM-QARD	FATP	PS&D	PS&D	CF
Environmental Restoration Program Records Management Plan (RMP) (WHC-EP-0430, Rev. 1)	DOE/RL-89-29	EP	ERIS	ERIS	CF
Environmental Restoration Remedial Action Field Office Management Plan for the Hanford Site (FOMP) (DOE/RL-89-29)	ER/ORP-100 DOE 4700.1	FATP	PMS	PMS	CF
Expedited Response Action (ERA) Project Plans	TBD	FATP	TBD	TBD	TBD
Facility Closure/Post-Closure Plans	RCRA WAC 303-610 (3) (a) WHC-CM-7-5	FATP	RCRA Closures	RCRA Closures	CF
Facility Decommissioning Reports	DOE 5480.2A	EP/IP	DE	DE	DS
Facility Safety Analysis Reports (FSAR)	WHC-CM-4-46	SD	SA&R	Config. Mgmt.	CF
Feasibility Studies (FS)	WHC-CM-7-7/EII 1.9	FATP	ERE	ERE	CF
Feasibility Study (FS) Phase I & II Reports	CERCLA	FATP	ERE	ERE	CF
Feasibility Study (FS) Phase III Reports	CERCLA	FATP	ERE	ERE	CF
Field Logbooks	WHC-CM-7-7/EII 1.5	Controlled Documents	ERE/ EFS/GEO Assignee	ERE/ EFS/GEO Assignee	RHA
Final Decommissioning or Phase Reports	WHC-CM-1-6	TBD	DE	DE	DE
Fiscal Year Baseline Summaries	TBD	FATP	EPB	PMS	PMS

Appendix A. Environmental Restoration (ER) Program Documents.

Document Title or Description	Source Requirement Document	Document Type or Category	Originating/Responsible Organization	Interim Record Keeping Organization	Record Copy Holder
Fiscal Year (FY) Program/Project Work Plans	TBD	FATP	EPB	EPB	CF
Functional Design Criteria (FDC)	RLIP 4700.1A	SD	DE	DE	DS
Geotechnical Engineering Procedures Manual (WHC-IP-0635)	DOE/RL-90-28, Rev. 1	IP	GEL	GEL	CF
Hanford Environmental Information System (HEIS) User's Manual (WHC-EP-0372, Vol. 1, Rev. 1)	WHC-CM-3-10	EP	EDM	EDM	CF
Hanford Site Environmental Restoration Program 1993 Fiscal Year Work Plan (DOE/RL-92-63)	Hanford Site Management System	FATP	EPC	PMS	CF
Hanford Environmental Restoration Program Roadmap and Addendum (DOE/RL-92-45, Draft A)	DOE-HQ Roadmap Methodology Document	FATP	EPB	EPB	CF
Hanford Federal Facility Agreement & Consent Order, Vol. 2 of 2, Calendar Year 1992 Annual Update, September 1992	CERCLA/RCRA/ Executive Order 12580	FATP	TPA	TPA	TPA
Hanford Federal Facility Agreement & Consent Order, Vol. 1 of 2, Second & Third Amendments, September 1992 (89-10, Rev. 2)	CERCLA/RCRA/ Executive Order 12580	FATP	TPA	TPA	TPA
Hanford Federal Facility Agreement and Consent Order (Tri-Party Agreement) Handbook (RL-TPA-90-0001)	RL Letter 91-TPA-123	FAAP	TPA	ERIS	CF
Hanford Past-Practice Site Cleanup & Restoration Conceptual Study - Integrated Study and Summary (WHC-EP-0456)	TBD	EP	ERE	ERE	CF
Hanford Remedial Action - Environmental Impact Statement Management Action Plans	NEPA	FATP	PMS	PMS	PMS
Hanford Remedial Action - Environmental Impact Statement Action Description Memos (ADM)	NEPA	FATP	PMS	PMS	PMS
Hanford Remedial Action - Environmental Impact Statements (EIS)	NEPA	FATP	NEPA Function	NEPA Function	RHA
Hanford Remedial Action - Environmental Impact Statement Notices of Intent (NOI)	NEPA	FATP	PMS	PMS	PMS

Appendix A. Environmental Restoration (ER) Program Documents.

Document Title or Description	Source Requirement Document	Document Type or Category	Originating/ Responsible Organization	Interim Record Keeping Organization	Record Copy Holder
Hanford Remedial Action - Environmental Impact Statement Implementation Plans	NEPA	FATP	PMS	PMS	PMS
Hanford Restoration Operations Administration (WHC-CM-6-8)	DOE 5820.2A	CM	ERO	ERO	CF
Hanford Site Asbestos Abatement Plan (WHC-EP-0390)	WHC-CM-7-5/3.0	EP	DS	ERO	CF
Hanford Site Surface Soil Radioactive Contamination Control Plan for Fiscal Year 1993 (WHC-EP-0489-1)	U.S. DOE Policy for Acceptance of Facilities for Environmental Restoration	EP	DE	ERO	CF
Hanford Site Waste Management Units Report (HSMUR)	HSWA 3004 (u)	FATP	EDM	EDM	CF
Implementation Plan for Washington Administrative Code 173-360; Underground Storage Tank Regulations (WHC-SP-0472, Rev. 3)	TBD	SP	DE	ERO	CF
Implementing Instructions or Desk Instructions	DOE/RL-90-28, Rev. 1	IP	ERIS	ERIS	CF
Information Management System Plans	DOE/RL-89-29	FATP	PMS	PMS	CF
Interim Measure Proposals	RCRA WAC 173-303/ WHC-CM-7-5/EII 1.9	FATP	ERE	ERE	CF
Interim Response Action (IRA) Proposals	CERCLA WAC 173-303/ WHC-CM-7-5/EII 1.9	FATP	ERE	ERE	CF
Interim Stabilization Plans	WHC-EP-0489-1	IP	DE	DE	DS
Management Action Plans	WHC-CM-7-5/10	IP	REGSUP	REGSUP	CF
Multi-Year Program Plans/Project Plans	TBD	FATP	EPB	EPB	CF
Notices of Intent (NOI)	WHC-CM-7-5	TBD	REGSUP/ RCRA Permits	RCRA Permits	CF
Part A Permit Applications	RCRA WAC 173-303/ WHC-CM-7-5	FATP	RCRA Unit Permits	RCRA Unit Permits	CF
Part B Notices of Deficiency (NOD)	RCRA WAC WHC-CM-7-5	FATP	RCRA Unit Permits	RCRA Unit Permits	CF
Part B Permit Applications	RCRA WAC 173-303/ WHC-CM-7-5	FATP	RCRA Unit Permits	REGSUP	CF
Participant Program Management Plans (PPMP)	TBD	EP	EPB	EPB	CF
Permitting Plans	WHC-CM-7-5	TBD	REGSUP	REGSUP	CF
Post-Closure Plans	WAC 173-303-160 (6) WHC-CM-7-5	FATP	RCRA Closure	RCRA Closure	CF

Appendix A. Environmental Restoration (ER) Program Documents.

Document Title or Description	Source Requirement Document	Document Type or Category	Originating/ Responsible Organization	Interim Record Keeping Organization	Record Copy Holder
Predecisional Documents	WHC-CM-3-6	FATP	Originator	Originator	CF
Project Management Plans	RLIP 4700.1A	SD	GEO	GEO	CF
Project Plans	DOE 4700.1	FATP	EPB	PMS	CF
Project Specific Quality Assurance Plan, Standard For RCRA Compliant Groundwater Monitoring Wells (WHC-SD-WM-QAPP-002)	TBD	SD	EQA	EQA	CF
Public Information Repository Handbook (RL-TPA-90-0003)	BMP	FAAP	ERIS	ERIS	CF
Public Involvement Plans for Hanford Remedial Action Environmental Impact Statement	NEPA	FAAP	Public Involvement	COM	COM
Quality Assurance Management Plans (QAMP)	DOE/RL-90-28, Rev. 1	SD	PS&D	PS&D	CF
Quality Assurance Project Plans (QAPJP)	DOE/RL-90-28, Rev. 1	SD	EQA	EQA	CF
RCRA Facility Investigation/Corrective Measures Study (RFI/CMS) Work Plans	RCRA WHC-CM-7-7/EII 1.9	SD	ERE	ERE	CF
Records of Decision (ROD)	CERCLA Tri-Party Agreement	TBD	EPA/ Ecology	EPA	EPA
Records Control Procedures	WHC-CM-3-5	IP	DS	DS	CF
Remedial Action (RA) Work Plans	CERCLA WHC-CM-7-7/EII 1.9	SD	ERE	ERE	CF
Remedial Action Design (RA) Reports	CERCLA WHC-CM-7-7/EII 1.9	SD	ERE	ERE	CF
Remedial Investigation (RI) Phase I Reports	CERCLA WHC-CM-7-7/EII 1.9	SD	ERE	ERE	CF
Remedial Investigation (RI) Phase II Reports	CERCLA WHC-CM-7-7/EII 1.9	SD	ERE	ERE	CF
Remedial Investigation/Feeability Study (RI/FS) Work Plans	CERCLA WHC-CM-7-7/EII 1.9	FATP	ERE	ERE	CF
Remediation and Decommissioning Plans	TBD	SD	EFS	EFS	CF
Safety Analyses	WHC-CM-4-46	SD	SA&R	Config. Mgmt.	CF
Safety and Health Plans	TBD	TBD	PS&D	PS&D	PS&D
Schedule Optimization Study Hanford RI/FS Program, Vol. 2: Final Report (EMO-1080, Vol. 2)	August 29, 1991 Dispute Resolution Committee Decision Statement	TBD	EMO	ERP	EMO
Shorelines Management Substantial Development Conditional Use Variance Permits	WHC-CM-7-5	TBD	A&WP	A&WP	CF

Appendix A. Environmental Restoration (ER) Program Documents.

Document Title or Description	Source Requirement Document	Document Type or Category	Originating/ Responsible Organization	Interim Record Keeping Organization	Record Copy Holder
Software Configuration Management Plans	WHC-CM-3-10	SD	ERIS	ERIS	CF
Software Design Descriptions	WHC-CM-3-10	SD	ERIS	ERIS	CF
Software Project Management Plans	WHC-CM-3-10	SD	ERIS	ERIS	CF
Software Requirements Specifications	WHC-CM-3-10	SD	ERIS	ERIS	CF
Software Verification and Validation Plans	WHC-CM-3-10	SD	ERIS	ERIS	CF
Specifications	WHC-CM-6-1/EP-1.2	Specs.	Originator	Config. Mgmt.	CF
Standard Review Plan for Environmental Restoration Program Quality Assurance Management Plans (DOE/RL-91-36, Rev. 1)	DOE/RL-90-28, Rev. 1	FATP	PS&D	PS&D	CF
Substantial Development, Conditional Use, or Variance Permit Applications	WHC-CM-7-5	TBD	A&WP	A&WP	CF
Surplus Facilities Program Plans	Decommissioning & RCRA Closure Program	EP	DE	ERO	CF
Surveillance and Maintenance Plans	WHC-CM-1-6	IP	DS	DS	DS
Subproject Baseline Books	TBD	TBD	EPB	PMS	PMS
Systems Engineering Management Plans (SEMP)	DOE 4700.1	FATP	EES	PMS	CF
Test Plans, Procedures or Specifications	WHC-CM-6-1/APP. K	SD	Originator	Conf. Mgt.	CF
The Future For Hanford: Uses and Cleanup (Summary of the Final Report of the Hanford Future Site Uses Working Group)	NEPA	GIP	Special Projects	PMS	CF
The Future For Hanford: Uses and Cleanup (the final report of the Hanford Future Site Uses Working Group)	NEPA	GIP	Special Projects	PMS	CF
Treatability Investigation Work Plans	TBD	TBD	TBD	TBD	TBD
Treatability Study Work Plans & Characterization Plans	TBD	TBD	TBD	TBD	TBD
Tri-Party Agreement Community Relations Plan for the Hanford Site Benton County, Washington	Tri-Party Agreement	FATP	Public Involvement	COM	COM
Tri-Party Agreement Updates to the Community Relations Plan	Tri-Party Agreement	FATP	Public Involvement	COM	COM

Appendix A. Environmental Restoration (ER) Program Documents.

Document Title or Description	Source Requirement Document	Document Type or Category	Originating/Responsible Organization	Interim Record Keeping Organization	Record Copy Holder
Underground Injection Control Program Document	WHC-CM-7-5	TBD	NEPA/A&WP	NEPA/A&WP	CF
Underground Storage Tanks Implementation Plans	TBD	TBD	DE	DS	CF
Waste Control Plans	WHC-CM-7-7/EII 4.3	TBD	Project Coord.	IDW Coord.	IDW Coord.
Waste Management Plans	TBD	TBD	TBD	TBD	TBD
Work Plans	OSWER 9355.3-01 WHC-CM-7-7/EII 1.9 RCRA	FATP	ERE (CERCLA) RCRA Closures (RCRA)	ERE (CERCLA) RCRA Closures (RCRA)	CF

ACRONYMS

A&WP	Air & Water Permits
AR	Administrative Record
BMP	Best Management Practice
CF	Central Files (3706 Building)
Config. Mgmt.	Configuration Management
CM	Controlled Manual
Cog. Eng.	Cognizant Engineer
COM	Communications
DE	Decommissioning Engineering
DOE	U.S. Department of Energy
DOE-HQ	U.S. Department of Energy-Headquarters
DS	Decommissioning Support
Ecology	Washington State Department of Ecology
EDM	Environmental Data Management
EES	Environmental Engineering Support
EFS	Environmental Field Services
EII	Environmental Investigations Instruction
EMO	Environmental Management Office
Envon. Eng. Doc.	Environmental Engineering Document
EP	External Publication
EPA	Environmental Protection Agency
EPB	Environmental Program Baseline
EPC	Environmental Program Control
EQA	Environmental Quality Assurance
ERE	Environmental Restoration Engineering
ERIS	Environmental Records & Information Services
ERO	Environmental Restoration Operations
ERP	Environmental Restoration Program
FAAP	Federal Agency Administrative Publication
FATP	Federal Agency Technical Publication
GEL	Geotechnical Engineering Laboratory
GEO	Geosciences
GIP	General Information Product
IDW Coord.	Investigation-Derived Waste Coordinator
IFS&M	Inactive Facilities Surveillance & Maintenance
IP	Internal Publication
IRA	Information Release Administration
N/A	Not Applicable
NEPA	NEPA Documentation Organization
OSWER	Office of Solid Waste and Emergency Response (EPA)
PMS	Program Management Systems
Proj. Coord.	Project Coordinator
PS&D	Program Self-Assessment and Development
REGSUP	Regulatory Support
RHA	Records Holding Area (712 Building)
RLIP	RL Implementing Procedure
SA&R	Safety Analysis & Regulation

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SD
SP
Spec.
TBD
TPA
Tri-Party Agreement

Supporting Document
Sponsor-Limited Publication
Specifications
To Be Determined
Tri-Party Agreement
Hanford Federal Facility Agreement and Consent Order

REFERENCES

CERCLA	<u>Comprehensive Environmental Response, Compensation, and Liability Act of 1980</u>
CWA	<u>Clean Water Act of 1977</u>
DOE 4700.1	U.S. Department of Energy Order, "Project Management System"
DOE 5700.6C	U.S. Department of Energy Order, "Quality Assurance"
DOE 5820.2A	Radioactive Waste Management
DOE/RL-89-29	Environmental Restoration Remedial Action Field Office Management Plan for the Hanford Site
DOE/RL-90-28, Rev.1	Environmental Restoration Quality Assurance System Requirements for the Hanford Site
EM-GARD	DOE Office of Environmental Restoration & Waste Management <u>Quality Assurance Requirements & Description</u>
ER/ORP-100	Environmental Restoration Onsite Remediation Program Management Plan
HSWA	Hazardous & Solid Waste Amendments of the 1984 United States Code
NEPA	<u>National Environmental Policy Act of 1969</u>
OSWER 9355.0-14	A Compendium of Superfund Field Operations Methods
OSWER 9355.3-01	Guidance For Conducting Remedial Investigations & Feasibility Studies Under CERCLA
RCRA	<u>Resource Conservation Recovery Act of 1976</u>
RL-TPA-90-0001	<u>Hanford Federal Facility Agreement and Consent Order (Tri-Party Agreement) Handbook</u>
RL-TPA-90-0002	Administrative Record (AR) Index
RL-TPA-90-0003	Public Information Repository Handbook (PIR-HB)
RLIP 4700.1A	U.S. Department of Energy Richland Field Office RI Implementing Procedure, "Project Management System"
WAC	<u>Washington Administrative Code</u>
WHC-CM-1-6	WHC Radiological Control Manual
WHC-CM-3-10	Software Practices
WHC-CM-3-5	Document Control & Records Management Manual
WHC-CM-3-6	Uniform Publications System
WHC-CM-4-46	Nonreactor Facility Safety Analysis Manual
WHC-CM-6-1	Standard Engineering Practices
WHC-CM-6-8	Hanford Restoration Operations Administration
WHC-CM-7-5	Environmental Compliance
WHC-CM-7-7	Environmental Investigations & Site Characterization Manual
WHC-CM-7-8	Environmental Engineering & Geotechnology Function Procedures
WHC-EP-0430, Rev.1	Environmental Restoration Program Records Management Plan
WHC-EP-0456	Hanford Past-Practice Site Cleanup & Restoration Conceptual Study
WHC-EP-0489-1	Hanford Site Surface Soil Radioactive Contamination Control Plan For Fiscal Year 1993
WHC-IP-0635	Geotechnical Engineering Procedures Manual

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