

Document Management

Document Number:	SRF-07-PR-001	Effective Date:	18 Dec 2023
Revision Number:	3	Periodic Review Date:	18 Dec 2025
Document Owner:	Valerie Bookwalter	Department Owner:	SRF Operations

1 Purpose

The purpose of this document is to define the methods for controlling documents deemed critical to quality used by the SRF Operations organization.

This procedure supports the Quality Management System as described in SRF-01-ML-001 Quality Manual.

2 Scope

This procedure applies to documents deemed critical to the effective implementation of the Quality Management System and maintained through controlled storage, approval, distribution, and change.

This procedure does not apply to records generated and retained as a result of operations. Records are controlled under a separate Records Management Program.

3 Terms and Definitions

The following terms have specific meanings within this procedure.

Term	Definition
Document	One of several types of information, including but not limited to, procedure, form template, specification, or reference that is critical to the effective implementation of the Quality Management System and SRF Operations and maintained through controlled storage, approval, distribution, and change.

A list of general terms and definitions can be found in SRF-01-ML-001 Quality Manual.

4 Roles and Responsibilities

The following roles have responsibilities described in this document.

Role	Responsibility
Quality Engineer	Reviews QMS documents.
Document Management Process Owner	Maintains document register for QMS and SRF documents.
Document Owner	Person typically approved by a SRF OPs Department Head, Quality Engineer, Process Owner, SRF OPs Project Coordinator or Group/Work Center Lead to create or revise documents.
Process Owner	Person assigned to manage a process identified in the SRF Quality Management System.

SRF OPs Project Coordinator	Person assigned by the SRF OPs Department Head to coordinate several aspects of an SRF OPs project.
-----------------------------	---

5 Procedure

SRF Operations' Quality Management System includes the documents required by ISO 9001 as well as the documents determined by SRF Operations as being necessary for the effectiveness of the quality management system.

5.1 Document Types

SRF Operations recognizes three groupings of documents, each with several types of documents.

5.1.1 QMS Documents

QMS documents describe the overall QMS processes and structure.

Document	Description
QMS Quality Manual	Describes the SRF OPS Quality System
QMS Program Description	Describes the major elements of a process identified in the SRF Quality Management System.
QMS Procedure	Description of executing programmatic activities/processes
QMS Form	Typically templates that describe format for documents or records associated with procedures
QMS Reference Document	General reference documents to support programmatic activities/processes
QMS Register	Register listing documents and/or records related to QMS processes.

5.1.2 SRF Programmatic Control and Master Documents

SRF documents describe controls that apply to programmatic operations used across SRF OPs or common operations performed on multiple projects as a standard practice.

Document	Description
SRF Master Procedure	Procedures describing a common operation and referenced in travelers or other documents.
SRF Master Traveler	Travelers used for a common operation.
SRF Operations Drawing	Facility drawings. E.G., assembly rails.
SRF Operations Specification	Facility specifications. E.G. VTA performance, material specs
SRF Form	Typically templates that describe format for documents or records associated with a common operation or multiple projects.
SRF Reference Document	General reference documents to support programmatic activities/processes associated with a common operation or multiple projects.
SRF Register	Register listing documents related to SRF processes.

5.1.3 Project Documents

Project documents describe controls that apply to a specific project. Example types of documents is listed in the table below. This table only includes the key controlling documents. The Project Execution Process defines more specifically the types of documents required for projects.

Document	Description
Project Procedure	Procedures describing a project-specific operation and referenced in Project Travelers.
Project Traveler	Travelers used to capture project-specific operations.
Project Form	Forms used to collect project information
Project Drawing	Drawings, typically provided by external parties, used to support internal or external service providers are not controlled by this process and fall under the JLab Engineering Group. Internal SRF OPS drawings, such as tooling, are under this process.
Project Specification	Specifications, typically provided by external parties, used to support internal or external service providers are not controlled by this process and fall under the JLab Engineering Group. Internal SRF OPS specifications are under this process.
Project Register	Register of project specific documents required for project process execution

5.2 Document Creation

To create a new document, the Document Owner must work with the Process Owner for Document Management for QMS and SRF documents or the SRF OPs Project Coordinator for Project documents to ensure the appropriate template is used, a unique document number is assigned to the document, and the appropriate location for the document is established.

Work Center document owners must work with the Process Owner for Document Management to ensure a unique document number is assigned to the document, the appropriate location for the document is established and the document remains under revision control.

5.3 Document Numbering

5.3.1 QMS Documents

The Process Owner for Document Management assigns document numbers for QMS documents.

For QMS documents the number format is 4 parts. The first part is "SRF". The second part is two numerals specific to the function or process. The third part is two characters for the document type. The fourth part is a three-digit serial number ensuring the overall number is unique. Other documents have numbering systems defined by their functional group.

QMS Document Type	Numbering Format
QMS Program Description	SRF-##-PD-###
QMS Procedure	SRF-##-PR-###
QMS Form	SRF-##-FM-###
QMS Reference Document	SRF-##-RF-###
QMS Register	SRF-##-RG-###

5.3.2 SRF Programmatic Control and Master Documents

The Process Owner for Document Management assigns document numbers for SRF documents.

For SRF Master documents the number format is 5 parts. The first part is "SRF". The second part is four characters for the document type. The remaining 3 areas are defined by the SRF Software Group acronym identification system. Other documents have numbering systems defined by their functional group.

SRF Document Type	Numbering Format
-------------------	------------------

SRF Master Procedure	SRF-MSPR-WCA-ACTION-COMP
SRF Master Traveler	SRF-MSTR-WCA-ACTION-COMP
SRF Drawing	<designer's choice>
SRF Specification	<author's choice>
SRF Register	SRF-MSRG Document Register

5.3.3 Project Documents

The SRF OPs Project Coordinator or document author, in agreement with the Software Group Lead, obtains document numbers for Project documents. The first part is the Project designation acronym.

Project Document Type	Numbering Format
Project Form	PROJ-FM-<author's choice>
Project Drawing	<designer's choice>
Project Specification	<author's choice>
Project Register	PROJ-RG Document Register

The Project Procedure and Traveler document format are defined by the SRF Software Group acronym identification system:

Project Document Type	Numbering Format
Project Procedure	PROJ-PR-WCA-ACTION-COMP
Project Traveler	PROJ-WCA-ACTION-COMP

5.4 Document Templates

Document templates should be used whenever possible to ensure all content is included and the format is consistent for the user.

5.4.1 QMS Documents

The table lists the template typically used for QMS document types. Process Owners should work with the Document Management Process Owner for clarification when necessary.

Document Type	Template
QMS Program Description	SRF-07-FM-001 SRF Program Description Template
QMS Procedure	SRF-07-FM-002 SRF Procedure Template
QMS Form	SRF-07-FM-003 Word Document Template
QMS Reference Document	SRF-07-FM-003 Word Document Template
QMS Register	SRF-07-FM-004 Document Register Template

5.4.2 SRF Programmatic Control and Master Documents

The table lists the template typically used for Project document types. Document Owners should work with the Document Management Process Owner for clarification when necessary.

Document Type	Template
SRF Master Procedure	SRF-07-FM-003 Word Document Template
SRF Master Traveler	Controlled by Software Group Lead
SRF Drawing	Controlled by Engineering Group Lead
SRF Specification	SRF-07-FM-003 Word Document Template
SRF Form	SRF-07-FM-003 Word Document Template
SRF Reference Document	SRF-07-FM-003 Word Document Template
SRF Register	SRF-07-FM-004 Document Register Template

5.4.3 Project Documents

The table lists the template typically used for many Project document types. The Project Coordinator Owner should work with the Software Group Lead for clarification when necessary.

Document Type	Template
Project Procedure	SRF-07-FM-003 Word Document Template
Project Traveler	SRF-07-FM-005 Project Traveler Template
Project Form	SRF-07-FM-003 Word Document Template
Project Drawing	Controlled by Engineering Group Lead
Project Specification	SRF-07-FM-003 Word Document Template
Project Reference Document	SRF-07-FM-003 Word Document Template
Project Register	Controlled by Project Execution Process

5.5 Document File Naming

5.5.1 QMS Documents

The electronic file name for QMS documents will typically be the assigned document number followed by the title. As an example, this procedure's filename is SRF-07-PR-001 Document Management. The document number reflects the assigned Process Number as defined in SRF-01-RF-006 Processes and Process Owners.

5.5.2 SRF Programmatic Control and Master Documents

The electronic file name for SRF documents will typically be assigned as defined by the SRF Software Group acronym identification system. Other documents have file names defined by their functional group.

5.5.3 Project Documents

The electronic file name for Project documents will typically be the assigned as defined by the SRF Software Group acronym identification system. Project Coordinators work with the SRF Software Group for clarification when necessary.

5.6 Document Technical Review

Document Owners must ensure their documents are technically accurate and grammatically correct. They are encouraged to request subject matter experts to review their documents. This review does not require signatures from the reviewers. Drawings may have special rules which require the signature of a checker.

5.7 Document Approvers

Documents must be approved by appropriate persons. This table lists the approvers for many common documents.

5.7.1 QMS Documents

This table lists the approvers for common QMS Documents.

Document Type	Approvers
QMS Quality Manual	Quality Engineer, SRF Department Head
QMS Procedure	Document Owner, Quality Engineer, SRF Department Head
QMS Form	Document Owner, Quality Engineer, SRF Department Head
QMS Reference Document	Document Owner, Quality Engineer, SRF Department Head
QMS Register	Document Owner, Quality Engineer, SRF Department Head

5.7.2 SRF Programmatic Control and Master Documents

This table lists the approvers for common SRF documents.

Document Type	Approvers
SRF Master Procedure	Document Owner, Subject Matter Expert/Work Center Lead, Group Lead
SRF Master Traveler	Document Owner, Subject Matter Expert/Work Center Lead, Group Lead Document Owner, Work Center Lead, Group Lead
SRF Drawing	Document Owner, Work Center Lead, Group Lead
SRF Specification	Document Owner, Subject Matter Expert/Work Center Lead, Group Lead Document Owner, Work Center Lead, Group Lead

5.7.3 Project Documents

Project document approvers follow the Project Execution Process.

5.8 Document Approval Methods

A completed document may be approved in one of 4 ways: scanned signature, DocuShare approval routing, JLab's Document Control, or Adobe E-sign. In most methods the official approved version of the document is a PDF file. Other types of documents, such as native file formats may require different approval methods. Alternatives to this section must be discussed and agreed to by the Process Owner for Document Management.

5.8.1 Scanned Signature

A completed document may be printed and manually signed by the appropriate persons. The signed document is scanned as a PDF file.

5.8.2 DocuShare Approval Routing

A completed document may be routed through the DocuShare approval feature to the appropriate persons. Once the routing is complete, the summary showing all approvers must be added to the native document format. The document is then converted to a PDF file.

5.8.3 JLab's Document Control Group Repository

JLab Document Control Group repository, an externally controlled area owned by Engineering, is an approved approval method, but the storage and approval process are considered external and uncontrolled by this process.

5.8.4 Adobe E-sign

A completed document may be converted to a PDF file and sent to the appropriate persons with Adobe e-sign fields for each approver. Once the e-sign fields are completed by the approvers, the PDF file is complete.

5.8.5 Approval of Native Files

In some cases, a controlled document must be in a native file format, for example, registers are often kept in a spreadsheet format. The Document Owner may choose to keep these documents in their native format and must ensure appropriate approval signatures, dates and revisions are noted on the document.

5.9 Document Effective Date

For QMS and SRF documents, the Document Owner must establish an effective date when the document is sent for approval. This date must be after the last approval is obtained. This extra time allows for approvers to review and sign, for the approved document to be uploaded into the document storage location, and for users to be informed of new or changed requirements. Other

documents are considered effective when the last approval signature is obtained, and the document is made available for use.

5.10 Document Revision

All QMS documents must be reviewed no later than two years from the previous revision. SRF documents must be reviewed no later than four years from the previous revision. This periodic review ensures the information is applicable to current work practices. When a document revision is needed for a periodic review or other reasons, the Document Owner follows the same approval process as the original document.

Project documents are required to be revised when facility or procedural changes warrant and when a new project is established.

5.11 Document Storage Locations

Documents, for storage purposes, will be defined as External and Internal documents.

External documents are provided to SRF OPS from an external customer, lab partner or vendor, and are not controlled by this process. These documents are considered uncontrolled and follow approval and storage as defined by JLab departments or Project Management. For example, drawings are typically controlled by the JLab Engineering Department Document Control Group Repository.

Internal documents are generated and owned by SRF OPS and are required to be stored and controlled as online files. Documents may be printed, but it is the user's responsibility to ensure the document is the latest approved version.

All QMS and SRF documents are stored in DocuShare. All approved documents are stored in a PDF format and made accessible to all SRF Operations staff. Native format of documents will be provided where necessary and made accessible to all SRF Operations staff.

The preferred location for all Project documents is DocuShare. Other storage locations may be used with the permission of the Process Owner of Document Management and the SRF OPS Department Head. The location must provide protection from accidental deletion and the document files must meet the requirements of this procedure.

5.12 Document Obsolete

When a document is deemed no longer applicable, the Document Owner must inform the Process Owner for Document Management or the SRF OPs Project Coordinator. The Process Owner for Document Management or the SRF OPs Project Coordinator must prevent its unintended use by adding "OBSOLETE" to the end of the file name or moving the file to a different location.

5.13 Document Distribution

The Document Owner should inform relevant users when a document is created or revised. The Document Owner should specifically focus on changes from a previous revision to ensure users understand any modified work practices or requirements.

5.14 Document Registers

5.14.1 QMS Documents and SRF Programmatic Control and Master Documents

The Process Owner for Document Management shall maintain SRF-07-RF-001 QMS Document Register for QMS documents and SRF-07-RF-002 SRF Document Register for SRF documents. Document Owners shall report any new or revised document information to the Process Owner for Document Management to ensure the document registers can be updated. Most new and

revised documents are managed through the DocuShare approval routing process where notifications of change of have been utilized as additional information sharing.

5.14.2 Project Documents

The SRF OPS Project Execution Process defines more specifically project related documents. These documents shall be based on the Document Management Process Templates and managed as controlled documents.

A Project Document Register should be established for each project. Document Owners should report any new or revised document information to the SRF OPs Project Coordinator to ensure the document registers can be updated and the documents follow the requirements of this procedure.

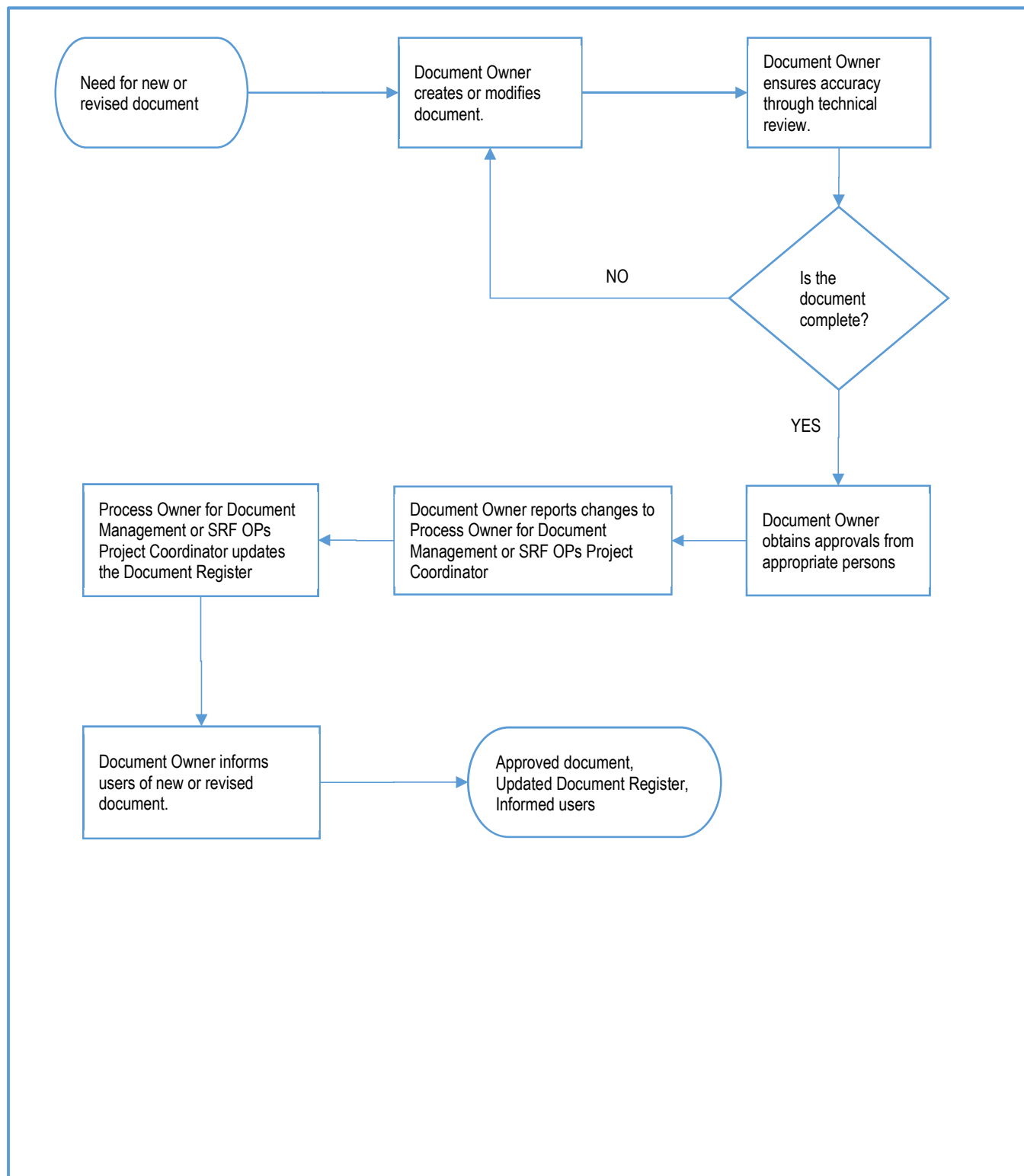
At a minimum, a Document Register must contain the following information about the documents. Groups of documents indexed in other locations, e.g., travelers on the Project Work Control Document List, do not need to be repeated on a document register.

- Title
- Document Number
- Revision
- Document Date
- Origin (external or internal)
- Storage Location

5.15 External Origin Documents

Standards, designs, and other documents deemed critical to quality may be issued to SRF Operations by the customer. These external origin documents shall be included in the Project Document Register.

6 Process Workflow



7 References

Document No.	Title
SRF-01-ML-001	Quality Manual
SRF-07-FM-001	SRF Program Description Template
SRF-07-FM-002	SRF Procedure Template
SRF-07-FM-003	Word Document Template
SRF-07-RF-001	QMS Document Register
SRF-07-RF-002	SRF Document Register
SRF-11-PR-001	Project Execution Procedure

8 Release and Revision History

Rev #	Major Changes	Effective Date:
1	Initial version	30 Apr 2021
2	Replaced "Project Manager" with "SRF OPs Project Coordinator", revised 5.1.2 and 5.11 to clarify Level 2 common operations documents are required to be in a Document Register.	15 Aug 2022
3	Section 4 Roles and Responsibilities modified for clarification. Section 5 modifications include removal of Level indicators and reference pyramid graphic, responsibilities for naming conventions, review periods, approvals, and storage locations.	13 Dec 2023

9 Approvals

Approved by:	Name:	Signature:	Date:
Document Owner	Valerie Bookwalter	<i>Valerie Bookwalter</i>	18 Dec 2023
Quality Representative	Ashley Mitchell	<i>Ashley Lynn A Mitchell</i>	18 Dec 2023
SRF Department Head	Tony Reilly	<i>Tony Reilly</i> Tony Reilly (Dec 18, 2023 13:25 EST)	18 Dec 2023