



Procedure: Storing, Retrieving, Archiving Documents

1. Purpose:

This procedure describes storing, retrieving, and archiving documents in general and provides explicit instructions for institutional documents including the policies of the Berkeley Lab's Requirements and Policies Manual (RPM). The general process is applicable to all documents (institutional or divisional/departmental) that are subject to control. This document describes the "poor man's approach," for which a sophisticated document management business system/application is not an available tool.

2. Applicability – Who this is for

The general process is applicable to all documents (institutional or divisional/departmental) that are subject to change control. Persons who are charged with managing controlled documents should use this process. Persons who manage the Laboratory's RPM and directly associated institutional documents must use this process.

2.1 Exceptions:

None

3. Prerequisites

Persons managing controlled documents are expected to have experience in the execution of best practices described in the LBNL Document Management Process (document number 10.06.001.001), including good working knowledge of digital storage options.

4. Definitions

Term	Definition
Document	Written, visual, audio-, or video-recorded information stored in the form of hard copy, film, magnetic tape, electronic data, or in an online, Web-based format.
Institutional Document	A publication authorized by Laboratory management that delineates Laboratory-wide or multifunctional policy, procedures, regulations, or plans. A subset of authoritative documents. Scientific and technical publications and reports are not included in this definition. Examples: Personal Property Policy Manual, Radiation Protection Program, Requirements and Policies Manual
Storing	In this procedure, the act of placing a document into a location with intention of retrieving it and changing its version in the future. Usually one version of a document is in the location.
Retrieving	In this procedure, the act of removing a copy of a document from a location.
Archiving	In this procedure, the act of placing a document into a location, which is its "final resting place", and unlikely to be retrieved. The location may have multiple versions of the document.
Locations (digital) for	In this procedure, digital locations include a server which usually has a hierarchical

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documents	file structure (“folders”) or the cloud with interfacing collaborative software applications that may divide the larger realm into “spaces” and “pages” and perhaps folders, where the structure can often be user defined. Locations may include a user-interface web page. “Pages” are usually subsets of “spaces”, and “pages” may be arranged in a “parent-child” hierarchy. Attached files are usually the lowest order in the space-page hierarchy and in the server folder hierarchy.
Revising	The act of altering or modifying a document.
Version	An altered or modified document, which is the result of revising.
Record	All books, papers, maps, photographs, machine-readable materials, or other documentary materials — regardless of physical form or characteristics — made or received that are preserved or appropriate for preservation that serves as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities

4.1 Acronyms

- RM Requirements Management
- RM PM Requirements Management Program Manager
- RPM Requirements and Policies Manual

5. Roles and Responsibilities

Role	Responsibilities
Document Control Coordinator	<ul style="list-style-type: none"> • The person who manages a portfolio of institutional and/or functional documents per the Laboratory document management process and policy. • Supports document authors, line/project/program managers in the execution of document control best practices, including the document change control process. • For this procedure, manages the organization’s repository of documents including the inventory therein. Where institutional documents are part of the Coordinator’s responsibility, ensures uploading of final approved institutional documents into institutional document repository, and provides the RM PM with accurate and current institutional document metadata. • Serves as gatekeeper to control access to the document repository.
Requirements Management Program Manager (RM PM)	<ul style="list-style-type: none"> • Overall, manages the Laboratory’s requirements management and institutional document management processes. • Has author/review/recommendation responsibilities for quality and completeness of RM process and institutional document management process documentation. • Oversees management of Laboratory’s policy manual. Maintains the Requirements Management (RM) database.
Sr. Line Manager	<ul style="list-style-type: none"> • Has ownership and accountability for the technical content, accuracy and completeness of respective Function’s documents. Approves institutional documents upon completion of required reviews. Ensures compliance with LBNL requirements and document management policies and procedures. • Has responsibility and accountability for managing Laboratory requirements that pertain to his/her area of responsibility, including identification of what the requirements are and implementing them through policies, programs, procedures, etc. • Has responsibility and authority to define and implement changes in policies, programs, procedures, etc. resulting from changes to Contract 31, UC requirements, and to applicable federal, state, local laws and regulations, as well as any direction

Role	Responsibilities
	provided by supplementary letters or memos from DOE or UCOP. <ul style="list-style-type: none"> <li data-bbox="488 222 1325 247">• Hires or appoints a Document Control Coordinator for his/her organization.

6. Background, Constraints, Challenges

Key challenges to controlling documents are:

- Ensuring that only the most current version is available to many as read-only but editable only by a few through a change management process.
- Ensuring that the most current version resides in only one location, and is linkable/accessible.
- Ensuring that previous versions are at least marked to distinguish from the current version and at best marked and physically separated from the current version.

Figure 1 illustrates one possible configuration of locations for storing controlled documents in various points of a document lifecycle.

1. The most current version of a document is published and available to users. Access is generally on-line, through a website.
2. Documents that are accessible through the web generally are stored in a web-linkable site. Not all possible types of storage locations permit linking from a website. Accessible documents may or may not be in their editable formats (for example, MS Word vs Adobe pdf).
3. Assuming documents may be revised in the future, an editable copy of the most current version must be retrievable in addition to the web-linkable copy.
4. When the version of a document is no longer needed, it should at least be marked and at best also be physically separated from the active files (Items in 1, 2a, 2b). The history files are generally accessible, only if needed, by the local document control coordinator.
5. After a period of time, the likelihood of these files being needed decreases, and they change to “record” status and may be moved to a permanent storage location that is usually accessible only through a third party (that is, not by the document control coordinator).

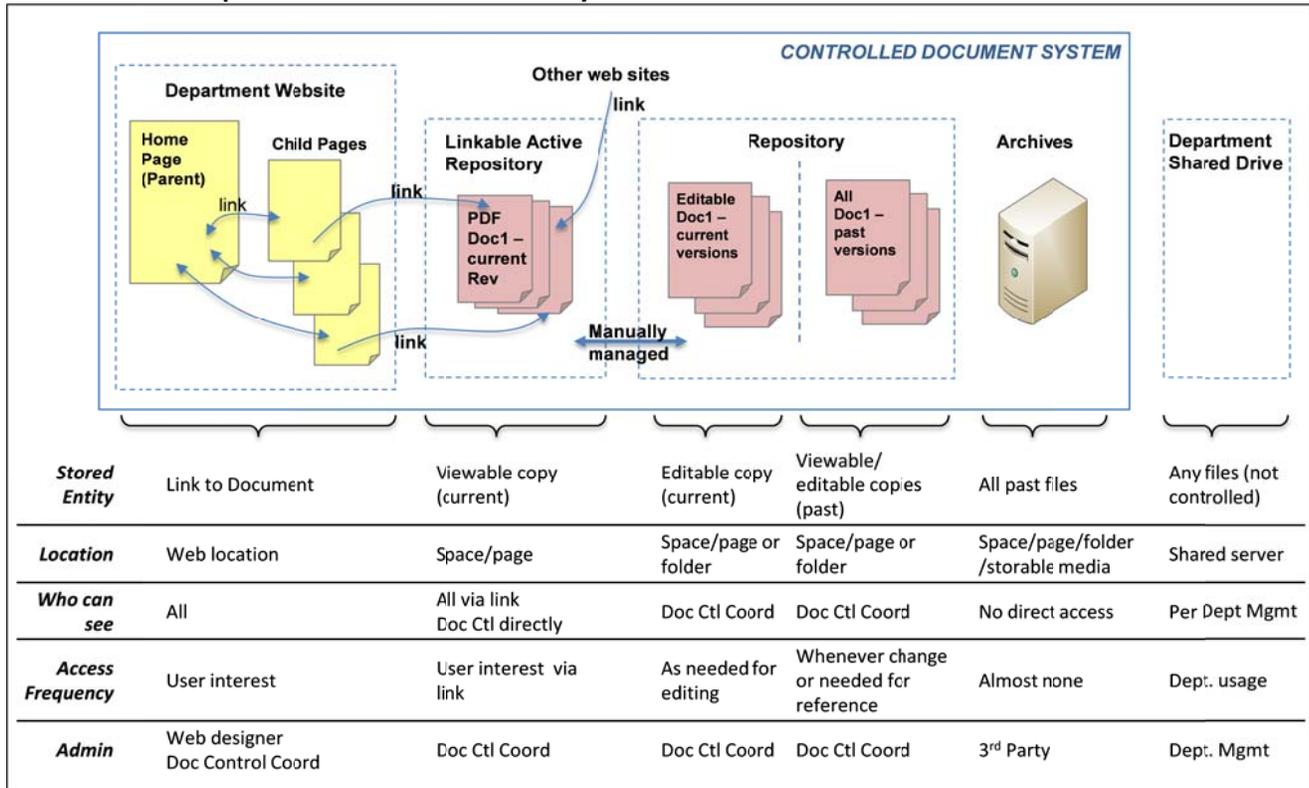
Figure 1 shows these several states as occupying distinct locations. Depending on the technology at hand, the locations (except for (1)) can be combined. For example, Figure 1 shows the web-linkable location separated from the repository for the current editable copies and history copies. Currently, supporting institutional documents (such as this procedure) are managed by the model shown in Figure 1. An alternative setup could be to combine the web-linkable location with the current editable copies.

A third alternative setup might combine all three (web-linkable, editable current version, and history) with the general-user-accessible website. The best example of this third alternative is the Laboratory’s Requirements and Policies Manual (RPM), which is in a wiki-based application which enables general users to view a policy, allows download of an editable copy for revision, and retains copies of past versions. A “snapshot” is taken of the RPM annually, and serves as a record of the contents of the RPM at a given moment in time. Copies of the RPM snapshots are provided to the Laboratory Archives and Records Office, and to the DOE Archives and Records Office, as required by DOE Order 243.1B (or latest version), *Records Management Program*.

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Note in Figure 1 that multiple user-accessible websites should draw from the single web-linkable repository for the source material.

FIGURE 1: Example of Controlled Document System



The procedure below describes management of controlled documents in the Figure 1 configuration, which is currently used for Berkeley Lab non-policy institutional documents. It may be applicable all or in part to other set-ups.

Step	Role	Action
1	Doc Control Coordinator	<ul style="list-style-type: none"> Determines naming convention for file names. Determines unique identifier for the specific most current version of a document. Provides unique identifier to Document Author
2	Document Author	<ul style="list-style-type: none"> Includes the unique identifier in the document itself and in its filename If needed, creates a copy in a non-editable format (e.g. pdf), with the same unique identifier in its filename, which is distinguished from the editable version by the file extension name. Submits the ready-to-be published document file(s) to the Doc Control Coordinator.
3	Doc Control Coordinator	<ul style="list-style-type: none"> Adds the new ready-to-be published document file(s) to the repository for editable files. Changes the filename on the to-be-published format to match the link address of record in the website, and uploads it into the web-linkable repository. The filename of the linkable file must be IDENTICAL to

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Step	Role	Action
		the address expected by the web. <ul style="list-style-type: none"> • Verifies that the new most current version is now viewable via the website. • Moves the previous editable version from its location to the history location. (Makes sure its filename represents its version and is indeed unique relative to all previous versions). • Informs the Document Author that the new version is published.
		<ul style="list-style-type: none"> •

7. References

7.1 Source Requirements Documents	
Requirement ID	Title
DOE Order 414.1D	<i>Quality Assurance</i>
PUB 3111	<i>LBNL Quality Assurance Program Description</i>
04.03.001.000	<i>LBNL Quality Assurance Policy</i>
04.04.001.000	<i>LBNL Requirements Management Policy</i>
10.06.001.000	<i>LBNL Document Management Policy</i>
10.06.001.001	<i>Managing Documents Process</i>

7.2 Related Implementing Documents		
Document Number	Title	Type
10.06.001.101	<i>Developing, Reviewing, Approving Non-Policy Institutional Documents</i>	Procedure
10.06.001.102	<i>Developing, Reviewing, Approving Institutional Policies</i>	Procedure

7.3 Other Documents (if any)	
Document Number	Title
PUB - 201	LBNL Requirements and Policy Manual (RPM)

8. Contact

Requirements Management Program Manager
 LBNL Office of Contractor Assurance
 Email: requirementsmgmt@lbl.gov

9. Revision history

Date	Revision	By whom	Revision Description	Section affected
8/9/2014	0	L. Young	new	all