1. Purpose and Scope

1.1. This document establishes the document management process for Risk Management and Safety Lab Safety Team (RMS-LS-LS).

1.2. The purpose of this document is to establish a system to organize, update, store, protect and communicate documents and records.

1.3. This shall be used to manage records and minimize any adverse impact on operation and compliance caused by errors or outdated materials.

2. Procedure

2.1. RMS-LS personnel writing documents shall

2.1.1. Use approved templates (See Appendices B, C and D). All RMS-LS documentation shall:

2.1.1.1. Identify ownership in the footer
2.1.1.2. Identify document/procedure creation date in the footer
2.1.1.3. Identify document revision date in the footer
2.1.1.4. Identify document pages as Page X of Y
2.1.1.5. Use standard information in the footer as depicted in Appendix A
2.1.1.6. Be reviewed per the review cycle (See Section 3.2)

2.1.2. Ensure an internal review is conducted by RMS-LS personnel and the RMS director.

2.1.3. Provide an opportunity for a review to be conducted an external department or committee. External review groups are listed in Appendix E, Tracking Document. The document owner (Appendix A) shall:

2.1.3.1. Provide the reviewing group(s) or committee(s) the new or revised document.
2.1.3.2. After the reviewing committee(s) submits comments, additions, and deletions to RMS-LS, RMS-LS accepts appropriate changes and/or gains consensus on conflicts.

2.1.4. Approval Process

2.1.4.1. The RMS Director shall review and approve all RMS-LS documents.
2.1.4.2. The reviewing group(s) or committee(s) shall be provided the opportunity to review and provide comment to RMS-LS documents pertaining to laboratory safety documents.

2.1.4.3. Changes to the RMS-LS laboratory safety webpage shall be approved by the Associate Director, Research Safety. Changes to the RMS-LS
Campus Safety webpages shall be approved by the Associate Director of Safety.

2.1.5. Communication

2.1.5.1. Approved RMS-LS documents shall be placed on the laboratory safety or Campus Safety webpage as appropriate.

2.1.5.2. Announcements of new procedures shall be communicated through emails, newsletter or other methods to department safety coordinators and key departmental/laboratory personnel.

2.1.5.3. Safety alerts and other related information shall be distributed through emails to department safety coordinators and laboratory personnel, and posted on the RMS-LS appropriate webpage.

2.2. Document review

2.2.1. Documents shall be reviewed per the Review Cycle (Appendix E) or when regulations change to ensure:

   2.2.1.1. Documents are up-to-date
   2.2.1.2. Documents reflect regulatory changes since last review cycle
   2.2.1.3. Documents reflect current University practices
   2.2.1.4. If no changes are required the review shall be documented in the Document Control Tracking database (Appendix E). Provide the following information: the review date in review date column and the reviewer’s initials.

2.2.2. Document updates and modifications

   2.2.2.1. Procedural changes shall be sent for approval follow section 2.1.4 of this procedure.
   2.2.2.2. Format, grammatical and spelling corrections do not need to follow the approval process.
   2.2.2.3. All changes shall be noted in Revision Table located within the document (Appendix F).
   2.2.2.4. Revision dates shall be identified in the footer of the document (Appendix A).

2.3. Document Review – The document review schedule is tracked in the Tracking Document (Appendix E). A quarterly review of the database should be conducted to ensure procedure reviews are completed per the schedule.

2.4. Record Retention shall follow the procedure established in RMS-LS-Specific Records Retention Schedule (RMS-LS-RRS).

   2.4.1. Hard copies shall be maintained in RMS-LS Office until transferred to Archives or destroyed per RMS-LS-RRS.
   2.4.2. Electronic copies shall be maintained until destroyed per RMS-LS-RRS.
2.4.3. RMS-LS destruction of documents shall be accomplished by shredding internally or given to university vendor for shredding.

<table>
<thead>
<tr>
<th>History</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Updated new Safety Alert Templates</td>
<td>July 2014</td>
</tr>
</tbody>
</table>
Appendix A
Sample Footer and Document Ownership Defined

SAMPLE FOOTER

Approved Date:  December 2013  
Revision Date:  

DOCUMENT OWNERSHIP DEFINED:

Chemical Hygiene Officer (CHO) – Lisa Bognar Phillips

Lab Safety Specialist (GenLab) – Eric Doland

Radiation Safety Specialist (RSS) - Andrew Welding

Institutional Biosafety Officer (IBO) - Lisa Bognar Phillips

Radiation Safety Officer (RSO) – Robert Zerr

Hazardous Waste Specialist (HazWaste) – Jason DeWispeleare
APPENDIX B
Procedure Template

Name of Procedure

1. Purpose and Scope

2. Hazard Description (if appropriate)

3. Responsibilities
   3.1 Position Title

4. Definitions

5. Controls

6. PPE

7. Procedure

8. Training

9. Frequency of Review

10. Record Retention

11. References/Resources

Note: Not all sections will be needed for all procedures. Use the appropriate sections for the type of procedure being written.
Appendix D
Safety Alert Template A

SAFETY ALERT

Title of Event

<table>
<thead>
<tr>
<th>Event:</th>
<th>Title</th>
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</thead>
<tbody>
<tr>
<td>Date:</td>
<td>Month Day, Year</td>
</tr>
<tr>
<td>Category:</td>
<td>Safety Subject Area(s)</td>
</tr>
<tr>
<td>RMS Contact:</td>
<td>Name, Email</td>
</tr>
</tbody>
</table>

Description
Document the details of the event that took place here. Add photos as necessary.

Findings
Document the findings from the analysis of the event here.

Root Causes
Document the root causes identified from root cause analysis here.

Recommended Actions
Document the recommended actions here. If there are varying actions to be taken by different responsible parties, include here as well.

Need additional resources?
For more information regarding laboratory safety, see the Laboratory Safety resources provided on the RMS website. [http://riskmanagement.nd.edu/](http://riskmanagement.nd.edu/)

Contact RMS:
Tel: 1-5037

Document #: 14-XXXX

Approved Date: December 2013
Revision Date: July 2014

Owner: RMS-LS/Lab Safety/Assoc. Dir. - Research Safety
Appendix E
Safety Alert Template B

SAFETY ALERT
Title of Event(s)

Date: Month Day, Year
Category: Safety Subject Area(s)
RMS Contact: Name, Email

Contact RMS:
Tel: 1-5037

Description (Item #1)
Document the details of what happened here. Add photos as necessary.

Findings
Document the findings here.

Root Causes
Document the root causes here.

Recommended Actions
Document the recommended actions here. This would also be the key takeaways.

Description (Item #1)
Document the details of what happened here. Add photos as necessary.

Findings
Document the findings here.

Root Causes
Document the root causes here.

Recommended Actions
Document the recommended actions here. This would also be the key takeaways.

Need additional resources?
For more information regarding laboratory safety, see the Laboratory Safety resources provided on the RMS website. [http://riskmanagement.nd.edu/](http://riskmanagement.nd.edu/)

Document #: 14-XXXX
Appendix D
Document Tracking

Document control tracker sample.xlsx
### Appendix F
#### Revision History Table

<table>
<thead>
<tr>
<th>History</th>
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<tr>
<td>CHEM03 Revised Date 12/13 to CHEM03 Revised Date 6/14</td>
<td>June 2014</td>
</tr>
<tr>
<td>Example: Section 3.0 Responsibilities – Flammable Storage limits for Class I from 8 Gallons/100 sq. ft. to 4 gallons/100 sq. ft.</td>
<td></td>
</tr>
<tr>
<td>Updated new Safety Alert Templates</td>
<td>July 2014</td>
</tr>
</tbody>
</table>