

Management System: Requirements Management

Subject Area: Document Control Management

Procedure 7: Control of Technical Instruction Documents

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1.0 Applicability

This procedure applies to Environmental Management Consolidated Business Center (EMCBC) Federal employees involved in managing local implementing (Technical Instruction) documents and local access to documents of external origin.

2.0 Required Procedure

Office-specific (Technical Instruction) documents meeting the guidelines associated within [Procedure 1, *Identifying Controlled Documents*](#), are maintained by each EMCBC Office. EMCBC organizations determine their local controls, but all observe the following attributes:

- 1) Controlled documents are formally identified and maintained so most employees have access to them (i.e. electronic web site/share drive),
- 2) Controlled documents are approved for use by a designated official within the EMCBC organization,
- 3) There is a process for assuring only approved new releases or updates (i.e. version numbers or effective dates) are posted for employee access and use.

Step 1	Each local EMCBC Office identifies: <ul style="list-style-type: none">• An Author/Subject Matter Expert (SME) for each local implementing document (i.e., Standard Operating Procedures) and document of external origin identified as requiring control.
Step 2	Each Author/SME determines the need to develop new or initiate update of existing implementing documents: <ul style="list-style-type: none">• As established by the local EMCBC Office;

	<ul style="list-style-type: none"> • When recommended changes are received; or • When there is a new or changed driver/requirement.
Step 3	The Author/SME prepares new or revised local draft documents using their local EMCBC Office guidelines on format and content. These guidelines must meet the requirements of DOE O 414.1C , <i>Quality Assurance</i> .
Step 4	The Author/SME manages review and approval of new or revised local documents per their local EMCBC Office guidelines.
Step 5	<p>During development of the Technical Instruction (TI), Author/SME must identify the Records generated by implementation of the TI. The records table discussed in Section 4 below identifies those records generated during the work process described in any controlled document/procedure that shall be maintained to document activities or preserve historically valuable information after the work process is completed.</p> <p>In accordance with IP-414-04, Quality Assurance Procedure, a determination needs to be made if these records are to be classified as <u>quality assurance records</u>. If it is deemed that these are quality assurance records, further classification of <u>“lifetime”</u> or <u>“non-permanent”</u> shall be made.</p> <p>Records generated through implementation of this procedure are identified as follows, and are maintained (by the originating office or individual) in accordance with the EMCBC Organizational File Plan: (Sample Only)</p> <p>ADM 03-03-A1B – Routine Procurement Files. Transactions Below the Simplified Threshold – P-Card Holder Files (Office of Contracting)</p> <p>OR</p> <p>ADM 23-01-A - Office Administrative Files - P-Card Holder Files (Copies maintained by all other EMCBC Organizations)</p>
Step 6	<p>The Author/SME manages documents of external origin identified as requiring control:</p> <ul style="list-style-type: none"> • Determines and documents the origin and current revision status; • Periodically monitors the site of origin for revision status; • Prepares the document in final format and utilizes the MS naming convention; and • Provides the electronic version to the Control Document Coordinator (CDC) who replaces the obsolete version with the updated version in the web address location for the document revision, when appropriate.
Step 7	The CDC maintains a secure electronic document storage location, such as an electronic web site/share drive, housing controlled documents and documents of external origin identified as requiring control.

Step 8	Each Author/SME reviews internal documents and maintains links to documents of external origin per local EMCBC Office guidelines.
Step 9	Each Author/SME communicates changes/additions/deletions to controlled documents to the employees in their local EMCBC Office in a timely manner.

3.0 References

- [Procedure 1, Identifying Controlled Documents](#)

4.0 Records Generated

The records table identifies those records generated during the work process described in any controlled document/procedure that shall be maintained to document activities or preserve historically valuable information after the work process is completed.

In accordance with IP-414-04, Quality Assurance Procedure, a determination needs to be made if these records are to be classified as quality assurance records. If it is deemed that these are quality assurance records, further classification of “lifetime” or “non-permanent” shall be made.

Records generated through implementation of this procedure are identified as follows and are maintained by the (originating office or individual) in accordance with the EMCBC Organizational File Plan:

Records Category Code	Records Title	Responsible Organization	QA Classification (Lifetime or Non-Permanent)
*ADM 16-01-A	Administrative Issuances – Control of Technical Instruction Documents	Office of the Director	Not Applicable

*The Records Category Code indicated above is used for Subject Area Document Control Management Procedures only. Any other Subject Area Procedure documents are to be assigned a Records Category Code based on the subject content contained within the document.