Management System: Requirements Management

Subject Area: Document Control Management

Procedure: Control of Technical Instruction Documents

### Issue Date and Revision Number:
09/04/14  1

### Lead Subject Matter Expert:
Lynette Chafin

### Management System Owner:
Ralph Holland

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) document meeting the guidelines associated within SAP-OD-410B-01—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; and

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.

<table>
<thead>
<tr>
<th>Step 1</th>
<th>Each local EMCBC Office identifies:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• 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.</td>
</tr>
</tbody>
</table>

| Step 2 | Each Author/SME determines the need to develop new or initiate update of existing implementing documents: |
**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 414.1D, Quality Assurance.

**Step 4**  The Author/SME manages review and approval of new or revised local documents per their local EMCBC Office guidelines.

**Step 5**  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.

In accordance with Subject Area Description (SAD), Quality Organization, a determination needs to be made if these records are to be classified as quality records. If it is deemed that these are quality 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 (insert the originating EMCBC office) in accordance with the EMCBC Organizational File Plan:

(Example Only)

ADM 03-03-A1B – Routine Procurement Files. Transactions Below the Simplified Threshold – P-Card Holder Files (Office of Contracting)

OR

ADM 23-01-A - Office Administrative Files - P-Card Holder Files (Copies maintained by all other EMCBC Organizations)

**Step 6**  The Author/SME manages documents of external origin identified as requiring control:

- Determines and documents the origin and current revision status;
- Periodically monitors the site of origin for revision status; and
- Prepares the document in final format and utilizes the MS naming convention.

**Step 7**  Each Author/SME reviews internal documents and maintains links to documents of external origin per local EMCBC Office guidelines.

**Step 8**  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 – Forms/Attachments/Exhibits

3.1 References

- DOE O 414.1D, Quality Assurance
- MSD – Quality Assurance and Oversight, SAD - Quality Organization
- MSD – Requirements Management and Controlled Documents, SAD – Document Control, SAP-OD-410B-01 - Identifying Controlled Documents

4.0 Records Generated

Records generated through implementation of this procedure are identified as follows and are maintained by the (Office which develops the Technical Instruction) in accordance with the EMCBC Organizational File Plan:

<table>
<thead>
<tr>
<th>Records Category Code</th>
<th>Records Title</th>
<th>Responsible Organization</th>
<th>Quality Record Classification (Lifetime, Non-Permanent, Not Applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td>*ADM 16-01-A</td>
<td>Administrative Issuances – Control of Technical Instruction Documents</td>
<td>Office which develops the Technical Instruction</td>
<td>Not Applicable</td>
</tr>
</tbody>
</table>

*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.
EMCBC RECORD OF REVISION

DOCUMENT TITLE: Control of Technical Instruction Documents

If there are changes to the controlled document before the two-year review cycle, the revision number stays the same; one of the following will indicate the change:

1. Placing a vertical black line in the left margin adjacent to sentence or paragraph that was revised; or

1. Placing the words GENERAL REVISION at the beginning of the text. This statement is used when entire sections of the document are revised.

If changes and updates occur at the two-year review cycle, the revision number increases by one.

<table>
<thead>
<tr>
<th>Rev. No.</th>
<th>Description of Changes</th>
<th>Revision on Pages</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Initial Document</td>
<td></td>
<td>7/31/12</td>
</tr>
<tr>
<td>1</td>
<td>Eliminated Step 7 and readjusted steps</td>
<td>2</td>
<td>9/04/14</td>
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</tbody>
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