

**Management System: Requirements Management**

**Subject Area: Document Control Management**

# **Procedure: Control of Technical Instruction Documents**

**Issue Date and  
Revision Number:**  
07/31/12      0

**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) 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.

<b>Step 1</b>	Each local EMCBC Office identifies: <ul style="list-style-type: none"><li>• 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.</li></ul>
<b>Step 2</b>	Each Author/SME determines the need to develop new or initiate update of existing implementing documents:

	<ul style="list-style-type: none"> <li>• As established by the local EMCBC Office;</li> <li>• When recommended changes are received; or</li> <li>• When there is a new or changed driver/requirement.</li> </ul>
<b>Step 3</b>	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 <u>DOE O 414.1D, Quality Assurance</u> .
<b>Step 4</b>	The Author/SME manages review and approval of new or revised local documents per their local EMCBC Office guidelines.
<b>Step 5</b>	<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 <i>Subject Area Description (SAD), Quality Organization</i>, 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>
<b>Step 6</b>	<p>The Author/SME manages documents of external origin identified as requiring control:</p> <ul style="list-style-type: none"> <li>• Determines and documents the origin and current revision status;</li> <li>• Periodically monitors the site of origin for revision status;</li> <li>• Prepares the document in final format and utilizes the MS naming convention; and</li> <li>• 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.</li> </ul>
<b>Step 7</b>	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.
<b>Step 8</b>	Each Author/SME reviews internal documents and maintains links to documents of external origin per local EMCBC Office guidelines.
<b>Step 9</b>	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, Procedure 1 - *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:

<b>Records Category Code</b>	<b>Records Title</b>	<b>Responsible Organization</b>	<b>QA Classification (Lifetime or Non-Permanent)</b>
*ADM 16-01-A	Administrative Issuances – Control of Technical Instruction Documents	Office which develops the Technical Instruction	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.

## EMCBC RECORD OF REVISION

DOCUMENT TITLE: **Control of Technical Instruction Documents**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

---

<u>Rev. No.</u>	<u>Description of Changes</u>	<u>Revision on Pages</u>	<u>Date</u>
0	Initial Document		7/31/12