

Management System: Requirements Management

Subject Area: Document Control Management

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CBC MS Revision: 1

1.0 Introduction

This Subject Area describes the processes by which the Environmental Management Consolidated Business Center (EMCBC) prepares reviews, approves, issues, revises, and controls documents that specify requirements and /or prescribes implementing processes. The EMCBC-wide documents are managed and controlled through the EMCBC Management System (CBC MS) and or previously approved EMCBC document control processes. Office specific implementing documents are controlled by the heads of those EMCBC organizations (Management System Owner, Assistant Directors, or Federal Project Directors) in accordance with Subject Area Procedure (SAP)-OD-410B-07, Technical Instruction (TI) of this Subject Area and or previously approved EMCBC document control processes.

Documents managed through the CBC Management System include:

- Management System Descriptions – (MSD)
- Subject Area Descriptions – (SAD)
- Policy Statements – (PO)
- Subject Area Procedures – (SAP)
- Program Description – (PD)
- Program Plan – (PP)
- Technical Instructions – (TI)
- Exhibits (EX) /Forms(FM) /Attachments(ATT)

Development and publication of CBC MS documents are controlled using established procedures within this Subject Area and posted on the CBC MS web site. Development and deployment of CBC MS documents must follow the procedures outlined in this Subject Area and must be controlled through the CBC Controlled Document Coordinator (CDC). The lone exception to this formatting requirement is Information Resource Management Implementing Procedures and Technical Instructions. Those documents approved and implemented under the previous controlled documents procedures, will be maintained to meet Cyber Security requirements. For all other EMCBC work processes, it is mandatory that controlled document development be

performed in accordance with CBC MS processes and procedures. An annual review will be performed by the CDC to maintain accuracy and will notify Management System Owners (MSOs)/Assistant Directors (ADs) and Subject Matter Experts (SMEs) regarding revisions needed for controlled documents.

Documents meeting the guidelines associated within SAP-OD-410B-01, *Identifying Controlled Documents*, herein (i.e. controlled documents) are maintained by the CDC, electronically and in native form in accordance with the CBC Master File Plan. All EMCBC organizations determine their local controls, but all observe the following attributes:

- 1) Controlled documents are formally identified by an individual identification number associated with the office in which it was originated, the driver of the document, and maintained so each employee has 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 documents are released.

Office-specific (Technical Instructions) documents of local, internal interest or those of external origin are controlled through the organization's established procedures and maintained by the SME of the TI in each EMCBC Department in accordance with the Organizational File Plan. In each case, the online material is the official document. When printed or downloaded, products/documents are uncontrolled.

The MSOs and/or ADs and Authors/SMEs are responsible for the accuracy of the content of their CBC MS Management System(s) and Non-CBC MS documents respectively.

Other documents associated with this SAD are the EMCBC Correspondence and Commitment Control and Tracking; and the Creation, Review, and Distribution of Outgoing Correspondence procedures.

2.0 Contents

Procedures	Procedure Content
1. SAP-OD-410B-01, Identifying Controlled Documents	<ul style="list-style-type: none"> • Determine if a document needs to be controlled.
2. SAP-OD-410B-02, Preparing and Submitting CBC MS Documents	<ul style="list-style-type: none"> • Prepare new or revised CBC MS Documents. • Submit draft documents to CBC CDC. • Perform technical editing of first drafts. • Approve documents for review, comment, and

Procedures	Procedure Content
	distribution.
3. SAP-OD-410B-03, Reviewing CBC MS Documents	<ul style="list-style-type: none"> • Distribute for review and comment. • Submit comments. • Review cycle ends. • Submit comment resolutions. • Approve comment resolutions. • Notify commenter's of comment resolutions.
4. SAP-OD-410B-04, Approving CBC MS Documents	<ul style="list-style-type: none"> • Revise documents to include comment resolution revisions. • Perform technical editing of second drafts. • Approve CBC MS Documents for publication. • Perform publication process. • Maintain record in accordance with the EMCBC Master File Plan.
5. SAP-OD-410B-05, Canceling a CBC MS Document	<ul style="list-style-type: none"> • Cancel a CBC MS Document.
6. SAP-OD-410B-06, Annual Review of CBC MS Management System Documents	<ul style="list-style-type: none"> • Perform a review of all Management System Documents done annually. • Notify MSOs/ADs and SMEs when documents are flagged for the Bi-Annual review and update.
7. SAP-OD-410B-07, Control of Technical Instruction Documents	<ul style="list-style-type: none"> • Establish and maintain document control and electronic storage location. • Prepare or revise Technical Instruction documents. • Review and approve Technical Instruction documents. • Issue approved documents. • Manage documents of external origin. • Establish and maintain list of controlled documents. • Maintain record in accordance with the Organizational File Plan.

Procedures	Procedure Content
8. SAP-OD-410B-08, EMCBC Correspondence and Commitment Control and Tracking	<ul style="list-style-type: none"> • Provide for the control of DOE EMCBC correspondence and commitments. • Track and status record information and specific action items necessary to meet commitments and program requirements. • Track and monitor items and/or actions that assist the timely closeout and provide a methodology for administering commitments.
9. SAP-OD-410B-09, Creation, Review and Distribution of Outgoing Correspondence	<ul style="list-style-type: none"> • Provide for the standardized formatting and control of DOE EMCBC outgoing correspondence

3.0 Related Information

3.1 Requirements

- 3.1.1 10 CFR § 830.122(d), Quality Assurance Criterion 4 – Documents and Records
- 3.1.2 44 U.S. C., Chapters 21, 29, 31, 33, and 35; 36 CFR Subchapter B, Records Management
- 3.1.3 DOE O 200.1A, Information Technology Management
- 3.1.4 DOE G 242.1-1, DOE Forms Management Guide
- 3.1.5 DOE O 243.1B, Records Management Program
- 3.1.6 DOE O 414.1D, Quality Assurance: Criterion 4 – Documents and Records
- 3.1.7 DOE G 414.1-2B, Quality Assurance Program Guide

3.2 References

- 3.2.1 Checklist for Submitting CBC MS Documents and CBC MS Document Acceptance Standards Determine if Information Belongs in a Subject Area Procedure
- 3.2.2 Information for CBC MS Authors
- 3.2.3 CBC MS Document Hierarchy
- 3.2.4 Document Numbering

4.0 Definitions – See List

EMCBC RECORD OF REVISION

DOCUMENT TITLE: Document Control Management

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:

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

I 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.

Rev. No.	Description of Changes	Revision on Pages	Date
0	Initial Procedure		07/31/12
1	Added the EMCBC Correspondence and Commitment Control and Tracking; and the Creation, Review, and Distribution outgoing Correspondence procedures. Also added Document Numbering sheet as an identifier.	All 4	07/28/14