GEOSCIENCES AND ENGINEERING DIVISION QUALITY ASSURANCE PROCEDURE	Proc. QAP–008 Revision 5 Chg 0 Page 1 of 5

Title: **QAP–008 DOCUMENT CONTROL**

EFFECTIVITY AND APPROVAL

Revision 5 of this procedure became effective on August 8, 2005. This procedure consists of the pages and changes listed below.

Page No.	Change	Date Effective
All	0	08/08/05

Supersedes Procedure No. QAP–008, Rev. 4, Chg 1 dated 7/23/2004

Prepared by	Date	Approved by	Date
	8/8/2005		8/9/2005

QAP–008 DOCUMENT CONTROL

1. PURPOSE

The purpose of this procedure is to describe the methods of preparing, approving, and distributing Geosciences and Engineering Division (Division) controlled documents such as plans, manuals, and procedures. This procedure also provides controls for documents other than those prepared by the Division but necessary to effectively perform work activities. This procedure implements the requirements of Division Quality Assurance Manual (QAM), Section 6.

2. RESPONSIBILITIES

2.1 The Director of Quality Assurance (QA) is responsible for the overall implementation of this procedure.

2.2 Individuals performing activities affecting quality for the Division are responsible for using the appropriate document and revision.

2.3 Controlled document recipients are responsible for understanding and acknowledging receipt for documents issued to them.

3. PROCEDURE

3.1 Document Identification

3.1.1 The QAM, operations plans, and proposals shall be identified by unique titles reflecting their content and subject matter. Revisions and changes to these documents shall be identified by sequential numbers. The change number shall reset to zero upon revision of the document.

3.1.2 Quality Assurance Procedures (QAPs), Technical Operating Procedures (TOPs), and Administrative Procedures (APs) (collectively referred to as operating procedures), shall be identified by unique numbers assigned by document control. Revisions and changes to these documents shall be identified by sequential numbers. The change number shall reset to zero upon revision of the document.

3.1.3 Scientific notebooks shall be assigned unique numbers. A log of scientific notebooks shall be maintained by Division document control containing the number, date of issue, the project number, and the individual to whom the notebook was issued.

3.2 Document Format and Content

3.2.1 Each page of the QAM and procedures shall identify the revision and change number, and page number (e.g., page 1 of n).

3.2.2 The QAM shall include a policy statement signed by the Division Vice President and an effectivity and approval page. The effectivity and approval page shall indicate the revision and change status of each of its pages, date of the document, and the required approval signatures.

3.2.3 The QAM shall consist of an introduction and sections to describe the corresponding quality program requirements of the Division, consistent with sponsor and client requirements. In general, individual QAM sections include a purpose and descriptions of requirements.

3.2.4 Procedures shall include an effectivity and approval page that indicates the revision and change status of the procedure and each of its pages, date of the document, and the required approval signatures.

3.2.5 Procedures shall include, as a minimum, sections describing the purpose, responsibilities, procedure, and records requirements. Procedures are the principal means for providing instructions for conducting Division activities and shall have sufficient details and step-by-step descriptions of the methods to be used.

3.3 Document Approval and Effectivity

3.3.1 Original documents, changes, and revisions shall receive the review types specified in QAP–002, Review of Documents, Reports, and Papers. After comments are resolved and changes are appropriately incorporated, the responsible manager shall indicate approval of the document by signature on the document (i.e., for controlled documents)or on the transmittal letter.

3.3.2 Documents may be changed on a page-by-page basis or revised in total. Changes to documents shall be identified in the adjacent right margin with a vertical bar.

3.3.3 Division document control shall maintain active procedures on the Division QA webpage (http://tuti/qa). The master document list shall be maintained and include the following information:

- Document title
- Document number, as applicable
- Revision and change numbers
- Document date or date of issue

3.4 Distribution

3.4.1 Controlled documents may be distributed by means of electronic media (e.g., read-only information on computer networks), attachment to e-mail, or hard copies. Whenever possible, document distribution will be accomplished electronically.

3.4.2 Documents shall be distributed so they are available at the point of use. Individuals requiring documents shall be identified by managers in accordance with QAP–005, Quality Indoctrination and Training.

3.4.3 Changes in document distribution shall be made as new staff are added or as assignments to different activities are made, as required by QAP–005.

3.4.4 For Division staff, procedures shall be displayed on the Division QA website (http://tuti/qa). Acknowledgment of receipt (for training purposes—QAP–005) shall be accomplished using the "Verification Notice for QA" feature or by return e-mail.

3.4.5 For SwRI staff, consultants, and subcontractors, distribution shall be accomplished by attaching the document to an e-mail message or by hard copy. Distribution of hard copies of documents shall be by the controlled document transmittal, training, and acknowledgment record, Form DC–1–2. Acknowledgment for training purposes (QAP–005) shall be accomplished by return e-mail or by returning the DC–1–2 form included with the hard copy.

3.4.6 Recipients shall incorporate the changes or revisions, and destroy or mark as obsolete the superseded documents.

3.4.7 As appropriate, uncontrolled copies may be distributed to clients and others; receipt acknowledgment is not required for uncontrolled copies. Uncontrolled copies of documents shall be clearly identified as uncontrolled. Recipients of uncontrolled copies may not automatically receive revisions and changes.

3.4.8 The Director of QA shall notify managers of those individuals not acknowledging receipt to take action as necessary to obtain the acknowledgments.

3.4.9 Managers and principal investigators shall provide current and correct procedures to the point of use when necessary and prevent obsolete copies (controlled or uncontrolled) from being available for use in quality affecting activities.

3.5 Documents of External Origin

3.5.1 Documents of importance to Division operations and technical activities may be obtained from external sources. Documents of external origin received by the Division library shall have information regarding the documents entered into the Electronic Library Facility (ELF) database to allow for staff searches and access.

3.5.2 When technical staff members receive a document of external origin that should be shared with other staff, document information should be entered in the ELF database, and the document should be placed in the Division library.

3.5.3 Proprietary, company sensitive, official use only, and other restricted information shall be controlled in accordance AP–020, Managing Sensitive Unclassified and Export-Controlled Information.

3.5.4 Classified documents shall be handled in accordance with the SwRI Employee Handbook for Safeguarding Classified Information.

3.5.5 Electronic media, maps, drawings, photos, and other nonprinted external origin text shall be protected so the media and data are not compromised.

4. RECORDS

4.1 Controlled document transmittal, training, and acknowledgment record forms shall be maintained as QA records in accordance with QAP–012, Quality Assurance Records Control.

4.2 Archive copies of the controlled documents, including superseded versions, shall be maintained as QA records in accordance with QAP–012.