

**GEOSCIENCES AND ENGINEERING
DIVISION**

Proc. QAP-008

Rev 6 Chg 0

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QUALITY ASSURANCE PROCEDURE

Title: **QAP-008: DOCUMENT CONTROL**

EFFECTIVITY AND APPROVAL

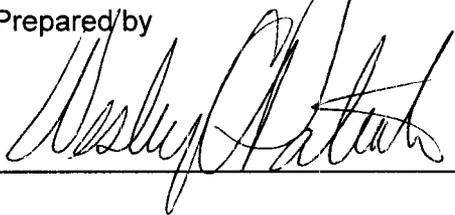
Revision 6 of this procedure became effective on July 30, 2010. This procedure consists of the pages and changes listed below.

<u>Page No.</u>	<u>Change</u>	<u>Date Effective</u>
All	0	07/30/2010

Revision 6 Change 0 was reorganized to align procedural requirements with the various types of documents subject to control under this procedure. Furthermore, it was revised to clarify (i) the scope of the procedure to include proposals, (ii) documents that require signed effectivity pages and those that do not, (iii) documents that require signed cover pages and those that do not, (iv) the basic content of certain documents, and (v) page numbering requirements.

Supersedes Procedure No. QAP-008, Rev. 5, Chg 4 dated 05/12/2010

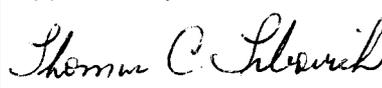
Prepared by



Date

7/13/2010

Approved by



Date

7/14/10

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QAP-008 DOCUMENT CONTROL

1.0 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, proposals, manuals, and procedures. This procedure also provides controls for documents of external origin that are used by the Division to effectively perform work activities. This procedure implements the requirements of Division Quality Assurance Manual (QAM), Section 6.

2.0 RESPONSIBILITIES

- 2.1 The Quality Assurance (QA) staff members are 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.

3.0 PROCEDURE FOR DOCUMENTS OF DIVISION ORIGIN

3.1 Documents to Control

- 3.1.1 The QAM, management plans, operations plans, and proposals shall be identified by unique titles reflecting their content, scope, 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.

3.2 Document Format and Content

- 3.2.1 The format and content of the QAM shall include the following features.
- The QAM shall include a policy statement signed by the division vice president and a signed effectivity and approval page. The effectivity and approval page shall indicate the revision and change status of each page, the date of the document, and approval signatures of quality assurance and the vice president.

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- 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.
- Each page of the QAM shall identify the revision and change number, and be sequentially numbered in accordance with division editorial guidelines.

3.2.2 The format and content of management plans shall include the following features.

- Management plans shall include a signed effectivity and approval page. The effectivity and approval page shall indicate the revision and change status of each page, the date of the document, and approval signatures of the director of administration, quality assurance, the responsible department(s), and the vice president.
- Management plans should include an introduction and sections to describe division or department objectives, organization, staffing, organizational relationships, management and control, resource management, information management, and other matters, as appropriate.
- Each page of the management plans shall identify the revision and change number, and be sequentially numbered in accordance with division editorial guidelines.

3.2.3 The format and content of operations plans and proposals shall include the following features.

- Operations plans and proposals shall include an unsigned effectivity page. Approval of these documents shall be designated by signature of the vice president on the title page of the document, consistent with the requirements of SwRI Operating Policy and Procedure 3.1.1, Proposal Administration (Section D.5.4). The effectivity page shall indicate the revision and change status of each page, and the date of the document.
 - If the client or prospective client does not require or permit an effectivity page, it should be omitted.
 - If the client or prospective client does not require or permit a signed title page, one should be prepared and included in project documentation to satisfy SwRI requirements to document vice president approval of proposals.

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- Operations plans and proposals shall have a format and content as specified in the request for proposal, request for quotation, contract, or other requirements provided by the client or prospective client. In general, operations plans and proposals define the scope, schedule, and cost associated with planned work.
- Each page of operations plans and proposals shall identify the revision and change number, and be sequentially numbered in accordance with division editorial guidelines, unless otherwise directed by the client or prospective client.

3.2.4 The format and content of procedures shall include the following features.

- Procedures shall include a signed effectivity and approval page that indicates the revision and change status of the procedure and each of its pages, the date of the document, and the required approval signatures.
- Procedures shall include, at 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.
- Each page of procedures shall identify the revision and change number, and page number in a manner that identifies the total number of pages in the procedure (e.g., page 1 of n).

3.3 Document Review, 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. Changes shall be summarized on the document effectivity page.

3.3.3 Division document control shall maintain active procedures in the Master Documents section of the Electronic Library Facility (ELF) search client entry page. The master document list shall be maintained and include the following information:

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

3.3.4 Controlled documents shall become effective on the date indicated on the effectivity page, approximately 10 working days after approval. This allows for document distribution and familiarization to affected staff.

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 available at the point of use. For division staff, procedures shall be displayed in the Master Documents section of the ELF Search Client entry page.

3.4.3 Distribution lists shall be maintained for individuals requiring electronic or paper copies, (e.g., non-division staff, clients, and division staff requesting paper copies). Electronic file and paper copy distribution shall be accomplished by attaching the document to an e-mail message or by hard copy.

3.4.4 Recipients of electronic and paper copies shall be instructed to incorporate the changes or revisions, and destroy or mark as obsolete the superseded documents.

3.4.5 As appropriate, uncontrolled copies may be distributed. Uncontrolled copies of documents shall be clearly identified as uncontrolled. Recipients of uncontrolled copies may not automatically receive revisions and changes.

3.4.6 When necessary, managers and principal investigators shall provide current and correct procedures to the point of use and shall prevent obsolete copies.

3.4.7 Operating procedures with restricted access are made accessible or distributed only to those with a "need-to-know", as determined by the manager responsible for implementing the procedure in accordance with Administrative Procedure (AP)-020, Managing Sensitive Unclassified Non-Safeguards, Privileged, and Export-Controlled Information.

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- 4.0 PROCEDURE FOR DOCUMENTS OF EXTERNAL ORIGIN
- 4.1 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 ELF database to allow for staff searches and access.
- 4.2 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.
- 4.3 Proprietary, company sensitive, official use only, and other restricted information shall be controlled in accordance with AP-020.
- 4.4 Classified documents shall be handled in accordance with the SwRI Employee Handbook for Safeguarding Classified Information.
- 4.5 Electronic media, maps, drawings, photos, and other non-printed external origin text shall be protected so the media and data are not compromised.
- 5.0 RECORDS
- 5.1 Controlled document transmittal, training, and acknowledgment record forms shall be maintained as QA records in accordance with QAP-012, Quality Assurance Records Control.
- 5.2 Archive copies of the controlled documents, including superseded versions, shall be maintained as QA records in accordance with QAP-012.