

EEP PPPM Section 5.2.2.1		Document No.: ADM.PRO.01.01.01	
Procedure Title: Document Control		Rev. No. 0	Page: 1 of 11
		Draft Date: August 31, 2004	

1.0 PURPOSE AND SCOPE

1.1 Purpose. The purpose of this procedure is to describe how EEP will control the creation, review, revision, approval, and dissemination of EEP management system documents.

1.2 Scope. This procedure applies to all controlled documents managed by EEP for the purpose of implementing the EEP management system. Controlled documents include, but are not necessarily limited to, the following:

- EEP Policy Statements
- EEP Procedures
- EEP Process Maps
- Other EEP PPPM pages.

This procedure does not apply to project design documents or contract documents.

1.3 Participants. This procedure applies to the following personnel:

- Responsible Person (assigned by management; usually from the EEP section with key responsibility for the document subject matter)
- EEP Document Control Manager (Analysis and Procedures Supervisor)
- EEP Web Master (Computer Support and Web Maintenance Specialist)
- EEP Planning Supervisor
- EEP Implementation Supervisor
- EEP Administration and Budget Officer
- EEP Operations Director
- EEP Director.

2.0 PROCEDURE STEPS

2.1 Initiate the Procedure. A request for the creation or revision of a document is initiated by completing the Document Change Authorization Form (DCAF) (see Document No. ADM.PRO.01.01.01-A, Section 6 below) and obtaining the required approvals indicated on the form. If a new document is being created, the DCAF must identify a Responsible Person who will coordinate the development of the document. If an existing document is being revised, the current Responsible Person of record for that document may continue in that role; if another person is proposed to serve as the Responsible Person, that change must be approved by management as indicated on the DCAF. The Responsible Person submits the completed and approved DCAF to the Document Control Manager. The Document Control Manager will ensure that the Responsible Person is familiar with the EEP document formatting standards and this document control procedure. The Document Control Manager also initiates a Document Control Tracking Form (DCTF) (see Document No. ADM.PRO.01.01.01-E in Section 6

EEP PPPM Section 5.2.2.1		Document No.: ADM.PRO.01.01.01	
Procedure Title: Document Control		Rev. No. 0	Page: 2 of 11
		Draft Date: August 31, 2004	

- below), which will be used to log the dates of key milestones along this document control process.
- 2.2 Notify interested parties of revision status. When a DCAF has been approved for an existing document, the status of the current version of the document will be updated on the EEP Web site to reflect that the document is currently undergoing revision. The Document Control Manager will ensure that interested parties are notified that that document is being revised.
 - 2.3 Assign document control number. When a DCAF has been approved for a new document, the Document Control Manager will assign a document control number (DCN) in accordance with the EEP document numbering system, register that DCN in the records management system, and append the DCAF with the DCN.
 - 2.4 Develop and revise documents. The Responsible Person will coordinate the development of a new controlled document or the revision of an existing controlled document. The specific process by which a document is developed, reviewed, and revised may vary according to the needs of the situation. In general, the document should be written by technically qualified and experienced staff, and the review and approval process should be similar to the process used when creating the document. When the Responsible Person is satisfied that the revised document is technically sound and ready for management review, the Responsible Person submits a final draft document to the Document Control Manager for action.
 - 2.5 Verify format. After receiving the final draft document from the Responsible Person, the Document Control Manager will verify that the document complies with EEP formatting standards prior to circulation for management review and approval. If changes are needed, the document is sent back to the Responsible Person for corrections. If the document is ready for management review, the Document Control Manager attaches a Document Approval Sheet (DAS) (see Document No. ADM.PRO.01.01.01-B, Section 6 below) and returns the document to the Responsible Person for coordination of management review and approval.
 - 2.6 Coordinate management review and approval. The Responsible Person coordinates management review of the document and obtains the required approval signatures on the DAS.
 - 2.7 Verify approvals. The Document Control Manager verifies that all required approvals have been obtained, authenticates the signatures, files the hard copy version of the DAS in the Authorization Records File, and enters the DAS information into the records management system. The Document Control

EEP PPPM Section 5.2.2.1		Document No.: ADM.PRO.01.01.01	
Procedure Title: Document Control		Rev. No. 0	Page: 3 of 11
		Draft Date: August 31, 2004	

- Manager also updates the Document Revision History Log (DRHL) (see Document No. ADM.PRO.01.01.01-C, Section 6 below) and registers the new information in the records management system.
- 2.8 Verify document authenticity and security level. The Document Control Manager verifies that the electronic file to be published is an authentic representation of the approved document and verifies the security level required for access to the document; note that only read-only access is granted regardless of security level, except for revisions made in accordance with this procedure.
- 2.9 Reformat for electronic publication. The Document Control Manager will reformat the document for electronic publication as necessary (which may include converting the document to Portable Document Format [PDF]). The reformatting will include security controls to ensure that only authorized persons can make changes. The electronic document file will be named in accordance with EEP electronic publication standards [to be developed].
- 2.10 Verify electronic document integrity. The Document Control Manager will work with the EEP Web Master prior to publication to ensure that the electronic document functions correctly within the EEP electronic publication system, including all hyperlinks to other documents and Web pages.
- 2.11 Publish electronically. The Document Control Manager will authorize the EEP Web Master to publish the document. The Publication Authorization Record (PAR) (see Document No. ADM.PRO.01.01.01-D) will specify the DCN; document title; document revision number; electronic document file name, location, and version; and publication date. The EEP Web Master will post the document on the EEP web site on the specified publication date. If the published document is a revision to an existing document, the previous version will be removed at the time the succeeding document is published. The previous version will be archived in the records management system.
- 2.12 Notify interested parties. The Document Control Manager will ensure that interested parties (such as EEP staff, liaison agencies, and stakeholders) are notified of the document's publication and availability. After the notification has been completed, the Document Control Manager completes the DCTF and enters it into the records management system. The document control procedure is now completed.

EEP PPPM Section 5.2.2.1		Document No.: ADM.PRO.01.01.01	
Procedure Title: Document Control		Rev. No. 0	Page: 4 of 11
		Draft Date: August 31, 2004	

3.0 RESPONSIBILITIES AND AUTHORITIES

The EEP Document Control Manager has primary responsibility for maintaining control of EEP management system documents in accordance with this procedure. Table 1 summarizes the responsibilities and authorities of key participants in this document control procedure.

Table 1. Document Control Responsibilities and Authorities

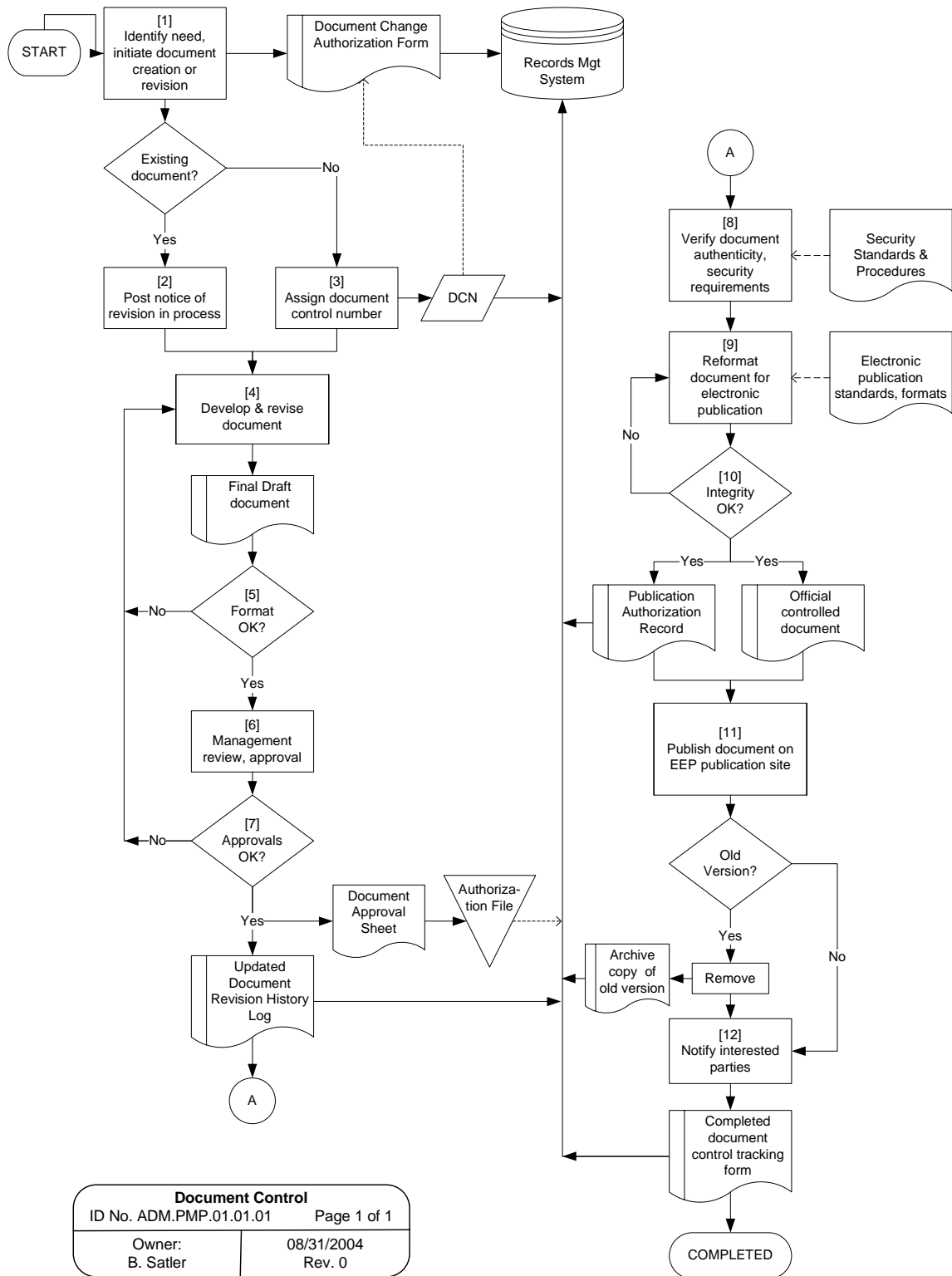
Step #	Procedure Step	Responsible Person	Document Control Manager	Web Master	Planning Supervisor	Implementation Supervisor	Administration and Budget Officer	Operations Director	EEP Director	Interested Parties
1	Initiate procedure	P	S		N	N	N	RA	RA	
2	Notify of revision status		P	A						N
3	Assign document control number		P							
4	Develop and revise document	P	S		RI	RI	RI			
5	Verify format		P							
6	Coordinate management review, approval	P	S		RA	RA	RA	RA	RA	
7	Verify approvals		P							
8	Verify document authenticity, security	A	P	A				A	A	
9	Reformat for electronic publication		P	A						
10	Verify electronic document integrity		P	A,S						
11	Publish electronically	N	RA	P				N	N	
12	Notify interested parties	N	P	A	N	N	N	N	N	N

Legend:

- P** = Primary responsibility
- A** = Assist
- RI** = Review to provide Input
- RA** = Review and Approve
- N** = Notify
- S** = Submit final output to this person



4.0 PROCEDURE FLOW DIAGRAM



EEP PPM Section 5.2.2.1		Document No.: ADM.PRO.01.01.01	
Procedure Title: Document Control		Rev. No. 0	Page: 6 of 11
		Draft Date: August 31, 2004	

5.0 REFERENCES

EEP Electronic Publication Standards (to be developed)

[EEP/DENR document control policies]

6.0 FORMS

Several forms cited above in this procedure are reproduced in the following pages:

- 6.1 No. ADM.PRO.01.01.01-A Document Change Authorization Form
- 6.2 No. ADM.PRO.01.01.01-B Document Approval Sheet
- 6.3 No. ADM.PRO.01.01.01-C Document Revision History Log
- 6.4 No. ADM.PRO.01.01.01-D Publication Authorization Record
- 6.5 No. ADM.PRO.01.01.01-E Document Control Tracking Form

[Note: In the electronic PPM, 6.1 through 6.5 will be hyperlinks to the forms, and the procedure would end here at page 6.]

EEP PPM Section 5.2.2.1		Document No.: ADM.PRO.01.01.01-B	
Procedure Title: Document Control		Rev. No. 0	Page: 8 of 11
		Draft Date: August 31, 2004	

EEP DOCUMENT APPROVAL SHEET

DCN: _____ TITLE: _____

**Responsible
Person:**

<Signature>
<Typed name, position>

<Date>

Reviewed By:

<Signature>
<Typed name, position>

<Date>

Reviewed By:

<Signature>
<Typed name, position>

<Date>

APPROVED BY:

<Signature>
William Gilmore, Director

<Date>

EFFECTIVE DATE:

<Date>

EEP PPPM Section 5.2.2.1		Document No.: ADM.PRO.01.01.01-D	
Procedure Title: Document Control		Rev. No. 0	Page: 10 of 11
		Draft Date: August 31, 2004	

DOCUMENT PUBLICATION AUTHORIZATION RECORD

DCN: _____

Document Title: _____

Revision Number: _____

Electronic document file name: _____

Electronic document file location: _____

Electronic document file version: _____

Publication date: _____

Authorization signature:

Document Control Manager

Date

Receipt Acknowledgment:

EEP Web Master

Date

EEP PPPM Section 5.2.2.1		Document No.: ADM.PRO.01.01.01-E	
Procedure Title: Document Control		Rev. No. 0	Page: 11 of 11
		Draft Date: August 31, 2004	

DOCUMENT CONTROL TRACKING FORM

DCN: _____ Responsible Person: _____

Document Title: _____

<u>Step</u>	<u>Date</u>	<u>By (initials)</u>	<u>Description</u>
1.1	_____	_____	DCAF completed, entered into Rec. Mgt. System (RMS)
1.2	_____	_____	Resp. Person notified of doc. control proc., formats
2.1	_____	_____	Existing doc. revision status updated on Web site
2.2	_____	_____	Notice of doc. revision sent to interested parties
3.1	_____	_____	DCN assigned to new document, given to Resp. Person
3.2	_____	_____	DCN registered in RMS
4.1	_____	_____	Final draft document submitted to Doc. Control Mgr.
5.1A	_____	_____	Format okay, DAS attached, returned to Resp. Person
5.1B	_____	_____	Doc. returned to Resp. Person for correction
6.1	_____	_____	Approved document submitted to Doc. Control Mgr.
7.1A	_____	_____	Approval sheet okay; DAS & Updated DRHL in RMS
7.1B	_____	_____	Doc. returned to Resp. Person for correction
8.1	_____	_____	Electronic document file authenticated
8.2	_____	_____	Access security level verified
9.1	_____	_____	Document reformatted for electronic publication
10.1	_____	_____	Electronic document integrity verified
11.1	_____	_____	Doc. publication authorization record submitted, in RMS
11.2	_____	_____	Document posted on EEP Web site
11.3	_____	_____	Old version of document removed, archived in RMS
12.1	_____	_____	Interested parties notified
12.2	_____	_____	Doc. control tracking form in RMS