

STBIZ-POL-100	Original	1/10/2001
---------------	----------	-----------

Enterprise Policy	StandardTech.Biz
------------------------------	------------------

Document Control Requirements

Document Approvals

Role	Position	Name	Approval Signature	Date Approved
Document Author	Procedure Analyst	Bill Young	Signature on File	1/7/2001
Document Owner	Organization Officer	Samuel Spade	Signature on File	1/9/2001
Executive Council Representative	President	Marcus Aurelius	Signature on File	1/10/2001

Change History

(Shown in Reverse Chronological Order)

Revision (*)	Date	Author(s) / Document Owner	Description
--	1/10/2001	Bill Young / Samuel Spade	ORIGINAL Publication

(*) Does not include individual "drafts" (e.g. "Revision C, Draft #2"), only approved and published final Revisions (e.g. "Revision C").

Table of Contents

1.0 Purpose..... 3

2.0 Scope..... 3

3.0 Responsibility 3

4.0 Definitions 3

 4.1 Document Control Administration 3

 4.2 Document Control Administrator (DCA) 3

 4.3 Document Collaboration Workspace (DCW)..... 3

 4.4 Document Control Repository (DCR)..... 4

 4.5 Enterprise (“The Enterprise”) 4

 4.6 Information Technology (IT) Section 4

 4.7 Online Reference Library (REFLIB) 4

 4.8 document “author” 4

 4.9 document “owner”..... 4

 4.10 document turnaround..... 4

5.0 Reference Documents..... 4

6.0 Flow/Swim-Lane Chart 4

7.0 POLICY 5

 7.1 The Document Control Administrator (“DCA”) Network..... 5

 7.2 Document Publication Policy 7

 7.3 Document Protection Policy..... 8

 7.4 Categories and Types of STBIZ Controlled Documents..... 9

8.0 Records..... 10

1.0 Purpose

To define and describe the requirements necessary to achieve acceptable Document Control.

2.0 Scope

This policy applies to ALL StandardTech.Biz (STBIZ) crew, Document Control Administrators (4.2), managers, and executives engaged in or responsible for Document Control within the Enterprise.

- Attention: All Quality Teams and Projects, All Qualifications Division (5) Staff
- Inclusion: All Document Control Administrator (DCA) Job Descriptions
- Inclusion: All STBIZ Document Control Administrator (DCA) Training Materials
- Document Series: Quality Standards for Document Control

3.0 Responsibility

- All Document Control Administrators (4.2) to implement this policy.
- All Executives, Managers, Supervisors, and Project Leads to support this policy.
- The Qualifications Vice President and Executive Council to enforce this policy.

4.0 Definitions

4.1 Document Control Administration

Actions by StandardTech.Biz (STBIZ) to accomplish standard Document Control, as recommended by the [International Organization for Standardization](#) (ISO) and industry best practices.

4.2 Document Control Administrator (DCA)

A person assigned, full time or as a “double duty”, to handle all **Document Control Administration** for all or a specific area of StandardTech.Biz (STBIZ), as described in this policy (0) and related procedures.

4.3 Document Collaboration Workspace (DCW)

A workspace on shareable computer resources maintained by IT Section (4.6) and managed by Document Control Administrators (4.2), where various copies are kept of documents being actively written or updated.

4.4 **Document Control Repository (DCR)**

A highly secure electronic storage facility maintained on shareable computer resources by IT Section (4.6), with **access to content granted solely to Document Control Administrators (4.2)**, where “master” editable copies of all internally published controlled documents are kept for safe keeping, including associated approvals and supporting files. (See STBIZ-POL-005 in **5.0** below.)

4.5 **Enterprise (“The Enterprise”)**

“The Enterprise” refers to all of StandardTech.Biz (STBIZ) in its entirety.

4.6 **Information Technology (IT) Section**

Section under the Communications Department (#2) that is solely responsible for the purchase, installation, maintenance, and upgrade of all telecommunications and information system infrastructure, hardware, and operating software employed throughout the Enterprise (4.4).

4.7 **Online Reference Library (REFLIB)**

A highly organized, online library on shareable computer resources maintained by IT Section (4.6), with content managed by Document Control Administrators (4.2), where all STBIZ crew, managers, and executives may lookup and view read-formatted copies of any and all available references, forms, and templates that are required to do their jobs, while allowing for information security per STBIZ-POL-005, “Corporate Information Management and Protection” (link in **5.0**).

4.8 **document “author”**

Any person who writes a document, whether stated in the document or not.

4.9 **document “owner”**

The person responsible for the document, including corrections or updates to the document.

4.10 **document turnaround**

The rate of documents newly written combined with the rate of updates to existing documents. This does not mean the total volume of documents already published.

5.0 **Reference Documents**

- [STBIZ-POL-005](#) – “Corporate Information Management and Protection”
- [STBIZ-PRO-100](#) – “Document Control Resources and Processes”

6.0 **Flow/Swim-Lane Chart**

- [STBIZ-CHRT-100](#) – “Document Control Resources”

7.0 POLICY

The Document Control Administrator (DCA) network is introduced in section 7.1 of this policy.

Policies on document publication and protection are covered in sections 7.2 and 7.3 respectively.

Section 7.4 below defines those categories of documents that are controlled at STBIZ.

7.1 The Document Control Administrator (“DCA”) Network

To guarantee product and service quality, it is imperative that all STBIZ follows and enforces standard Document Control Administration (4.1).

In the course of day to day business, this responsibility generally falls upon:

- the **Author** (4.8) of a document,
- the **“Owner”** (4.9) of the document, and
- the **Manager(s)** and/or **Executive(s)** over the above persons.

7.1.1 To support these efforts, and to improve the general level of Document Control Administration, a separate “hat” is to be established at STBIZ of **Document Control Administrator**, or **“DCA”**, who:

- (a) is a staff member within a given STBIZ division, department, section, project, or team, who ensures that all aspects of Document Control are enforced, expedited, and fully coordinated between authors and document owners, in cooperation applicable Management;
- (b) is not writing or updating other people’s documents, just ensuring that when documents are written or updated, that standard Document Control Administration is applied, as described in this policy and all other STBIZ Document Control policies and procedures;
- (c) acts as the “publisher” for all documents authored by the area of STBIZ to which they are assigned, including following established publication formats, and coordinating with other DCA’s when document sharing is required; and
- (d) also acts as the “gatekeeper” for the master copy “originals” of all documents. This means locking these away for safekeeping, so that when updates are needed, the original Word documents, Visio drawings, Erwin Model Diagrams, etc. are still available for the DCA to deliver to the author or an editor to update.

7.1.2 Individual DCA assignments may be full time, part time, or “double duty”, depending upon the needs of a given STBIZ division, department, section, project, or team.

7.1.3 Each STBIZ division must have assigned at least one DCA, even if the hat is worn simply by the STBIZ executive responsible for the division.

7.1.4 Any non-divisional executive group, such as the Executive Council, must have at least one DCA responsible for the division-independent (and in some cases STBIZ-wide) policies, procedures, briefings, and other types of documents issued by the executive group.

STBIZ-POL-100	Original	1/10/2001
----------------------	-----------------	------------------

- 7.1.5 The executive over a division is solely responsible for assigning DCA(s) and/or wearing the hat as needed for that STBIZ division.
- 7.1.6 The executive over any non-divisional executive team is solely responsible for assigning DCA(s) and/or wearing the hat as needed for that executive team.
- 7.1.7 Whether or not a given division or executive team makes additional DCA assignments, is solely at the discretion of the executive over the division or executive team, and is usually based upon whether or not the division or executive group has a high "document turnaround" (4.10).
- 7.1.8 Where a DCA assignment is a "double duty":
- 7.1.8.1 The duties of one's primary position always take priority.
- 7.1.8.2 However, if overload or neglect of a DCA assignment occurs, it is the responsibility of the manager or executive over the applicable division, department, section, project, or team to work together with assigned DCA(s) to handle the situation through ethics, "all hands" actions, additional DCA assignments, and/or process improvements.
- 7.1.9 In the event that an assigned DCA will not be "on the job" (travel, vacation, illness, etc.) for more than three business days, an alternate DCA must be assigned, otherwise the manager or executive over the applicable division, department, section, project, or team must wear the hat in the event that document control actions are required while the regular DCA is "out".
- It is strongly recommended that such alternate DCA's be named and trained in advance, so that they may take over the hat without unnecessary delay or inability to perform required tasks.
- 7.1.10 It is the responsibility of the STBIZ Director or Communications to:
- (a) see that these DCA hats are assigned as described above, and to keep an updated record of the names of personnel so assigned; and
 - (b) inspect all areas of STBIZ to ensure that assigned DCA's are performing their roles as described in this policy and related Document Control procedures and instructions.
- Where departures occur, the managers and executives responsible for any applicable division, department, section, project, or team must then be ordered to propose solutions, followed by a limited time frame for completion, and the Executive Council alerted to non-compliance.
- 7.1.11 The STBIZ Director or Communications will also serve as the network manager over all DCA's.
- 7.1.12 Procedure STBIZ-PRO-100, "Document Control Resources and Processes" (link in **5.0**), describes the resources that the DCA Network is responsible to manage, and the general processes that must be accomplished by the DCA Network in cooperation with area managers and executives. See also STBIZ-CHRT-100, "Document Control Resources" (link in **6.0**).
- All instructions (INS) related to Document Control must reference procedure **STBIZ-PRO-100**.

7.2 Document Publication Policy

In order to provide all our staff with user-friendly and reliable yet controlled access to references necessary to do their jobs, to make such published references easy to read and research, and also to ensure the original editable “master” copies of such these are kept safe, the following document publication policy is hereby established:

- 7.2.1 An online Reference Library (REFLIB), as defined in **4.7** above and described in CDG-PRO-100 (link in **5.0**) and other document control references, shall be established such that each staff member of STBIZ has access to the references that he or she requires to do their jobs and is authorized to view.

The relationship of the REFLIB to other STBIZ document control resources is illustrated in chart STBIZ-CHRT-100, “Document Control Resources” (link in **6.0**).

- 7.2.2 Copies of all STBIZ controlled documents must be published in the STBIZ REFLIB.

- 7.2.3 The original editable “master” copy of any STBIZ controlled document must **never** be published in the STBIZ REFLIB, but instead should be “locked away” for safekeeping in a suitable Document Control Repository (DCR), as is discussed in detail in section **7.3** below.

- 7.2.4 A “publication” copy of each and every STBIZ controlled document must be generated from the original editable “master” copy before it is placed in a DCR.

The format of this “publication” copy must **never** be the native format of the document, i.e. the format of the original editable “master” copy, except in rare cases when there is no other choice.

Instead, the “publication” copy of any STBIZ controlled document must be generated in a format that is industry and STBIZ acceptable as:

- (a) Lowest in electronic storage space and fastest to retrieve, and
- (b) Displays cleanly and clearly without unnecessary editing marks or special characters (as is often seen in word processors, drawing programs, and modeling software), but does allow for links for navigating around the document or retrieving cross references or attachments.

Currently acceptable formats are Adobe’s [PDF](#) and the [world wide web](#)’s [html](#) formats.

- 7.2.5 A “publication” copy of a document must not be generated and published to the STBIZ REFLIB until that document has been “released” for publication through a suitable document approval process that includes signatures by the document’s author (4.8) and “owner” (4.9).

Such a document approval process must be defined in procedures established for each STBIZ controlled document category defined in section **7.4** of this policy.

- 7.2.6 The DCA is to keep track of all documents published as above, that represent the area to which he or she is assigned, and ensure that published documents are reviewed per a suitable review process, and updated promptly when found to be out of date.

Such a document review process must be defined in procedures established for each STBIZ controlled document category defined in section **7.4** of this policy.

7.3 Document Protection Policy

In order to protect the original editable “master” copy of each and every STBIZ controlled document, the following document publication policy is hereby established:

- 7.3.1 A Document Control Repository (DCR), as defined in **4.4** above and described in procedure CDG-PRO-100 (link in **5.0**) and other document control references, shall be established to store and protect the original editable “master” copy of each and every STBIZ controlled document that has been released (approved) and a publication copy already generated and published in the REFLIB, as covered under Document Publication Policy (7.2).
- The relationship of the DCR to other STBIZ document control resources is illustrated in chart STBIZ-CHRT-100, “Document Control Resources” (link in **6.0**).
- 7.3.2 A Document Collaboration Workspace (DCW), as defined in **4.3** above and described in procedure CDG-PRO-100 (link in **5.0**) and other document control references, shall be established to store and protect the original editable “master” copy of each and every STBIZ controlled document before that document has been released (approved), i.e. while the document is being newly written or updated.
- The relationship of the DCW to other STBIZ document control resources is illustrated in chart STBIZ-CHRT-100, “Document Control Resources” (link in **6.0**).
- 7.3.3 Document protection is not to be left to document authors, document owners, or their managers. Instead, each **DCA** (7.1) is to be held responsible for storing the original editable “master” copy of each and every STBIZ controlled document that represents his or her assigned area of STBIZ, in an approved **DCW** while the document is being newly written or updated, and in an approved section of the STBIZ **DCR** once the document has been released for publication.
- 7.3.4 Document protection in DCW and DCR resources is to include for each document any and all supporting files such as image edit files, inserted drawing originals, etc., that are required to produce the finished document, and also the electronically signed “approval” copy.
- The DCA handling a given document is responsible to see that these supporting files are collected from the author and editor(s), and kept in the DCW and DCR document folders.
- 7.3.5 Access to each section of the Document Collaboration Workspace (DCW) is to be controlled through IT (4.6) by assigned DCA’s and their managers.
- Whereas IT is responsible for establishing and maintaining the DCW and backing up its content, the DCA’s and their managers are responsible to ensure that the DCW is used properly.
- 7.3.6 Access to each section of the Document Control Repository (DCR) is to be controlled through IT (4.6) by assigned DCA’s and their managers, and only these personnel should have access.
- Whereas IT is responsible for establishing and maintaining the DCR and backing up its content, the DCA’s and their managers are responsible to ensure that all document master folders are kept safe in the DCR for published documents, and only removed upon document retirement.

7.4 Categories and Types of STBIZ Controlled Documents

Not all STBIZ documents are controlled per this policy and other document control references.

For example, emails or typed letters sent to clients by customer service representatives, proposals or quotes sent to prospects, and non-repeating marketing materials issued broadly by STBIZ, have their own very specialized approval lines, and immediately upon transmittal become records only, not active, controlled documents.

On the other hand, a company policy, procedure, instruction, or form, or written specifications for products and services offered by STBIZ, are not only considered records of how we do business, but are also treated as “**controlled documents**”, since they are actively referred to by STBIZ staff and therefore must be kept up to date with actual business practices.

For the purposes of document control only, the document **categories** listed below apply to STBIZ.

Within each category, individual document **types** are described.

For each document category, document control procedures must be established that include a description of each document type within the category, document numbering and identification, document templates and formatting, document approval and publication, and the review and update process for published documents. It is expected that these may vary widely between categories.

7.4.1 **Category 1: General Business Documents**

This document category applies to all organizations, since everyone needs these to operate.

Individual documents types include policies, procedures, instructions, forms, charts, drawings, edited-images, and “repeated” reports that must be kept up.

Note: Templates for creating standardly formatted STBIZ documents are not to be considered documents in themselves, and are not to be confused with forms, which are documents that when copied and filled-in, become records of our business operation.

7.4.2 **Category 2: Infrastructure Documentation**

This document category includes any and all items of “documentation” for **all** STBIZ:

- (a) software applications and information systems, both developed in-house and purchased;
- (b) computer systems and servers, including all hardware and operating system software;
- (c) telecommunications and network lines, equipment, and operating software;
- (d) general equipment and tools of any kind employed at STBIZ in any capacity; and
- (e) The physical building(s), grounds, and properties that house STBIZ, whether owned or not.

By “documentation” is meant not only materials that describe the above items, but also any type of instructions or manuals related to the operation of these items.

Note: The term “instructions” as used here would apply only to the operation of the specific items above, and are not to be confused with “general business” instructions from Category 1.

7.4.3 Category 3: Product and Service Specifications

This document category includes any and all types of “documentation”, marketing materials, and technical specifications that describe the **products** and **services** that STBIZ offers to its clients.

This category does **not** include policies, procedures, or instructions on “how to make a product” or “how to deliver a service”, only documents that describe these products and services, both for external (prospect or client) viewing and internal use by STBIZ staff.

Examples of the different types of documents within this category would be product data sheets, a summary of services offered, staff product briefings, the STBIZ company web site, plus the detailed technical specifications for each STBIZ product and service.

7.4.4 Category 4: Management, Regulatory, and Legal Documentation

This document category includes any and all types of “documentation” related to the management, regulatory compliance, and legal aspects of STBIZ as a company.

Internal documents might include strategic plans, management programs, project plans, and any other document related to managing STBIZ and keeping our company ethical and legal.

External documents might include contracts, audit certificates, regulatory compliance forms, and any other type of document transmitted or executed with the world outside of STBIZ.

This category also includes any and all financial documentation that is kept up on an ongoing basis – but not those that are created once and never modified – those are records right off.

7.4.5 Category 5: Staff Training Materials

This document category includes any and all types of staff training materials, whether created and maintained internally, purchased externally, or leased via licensing agreements.

This category does not include training materials sold to clients as products or delivered to clients as services, as those represent what our company actually produces and delivers.

Examples of individual documents types might include manuals, self-paced training checksheets, courseware final examinations, drilling materials, and anything else maintained in writing (paper or online) that constitutes or supports the training of STBIZ staff.

By “staff” here is meant all STBIZ staff: executive, management, crew, and temporary hires.

8.0 Records

The following would represent valid records that this policy is being followed:

- STBIZ procedures, instructions, and other documents issued in support of this policy;
- Document Control Administrators appointed and managed per this policy;
- Document control resources established within the guidelines of this policy;
- STBIZ documents categorized, managed, published and protected per the requirements and guidelines of this policy.

Filename: STBIZ-POL-100.doc
Directory: C:\Documents and Settings\Owner\My Documents\TW-
SAMPLES_CORPORATE-PROCEURES\STBIZ-POL-100_ORIG
Template: C:\Documents and Settings\Owner\Application
Data\Microsoft\Templates\Normal.dot
Title: Policy - Document Control Requirements
Subject: Document Control
Author: WTY
Keywords:
Comments:
Creation Date: 12/12/2013 1:58:00 PM
Change Number: 2
Last Saved On: 12/12/2013 1:58:00 PM
Last Saved By: William T. Young
Total Editing Time: 2 Minutes
Last Printed On: 12/13/2013 5:08:00 PM
As of Last Complete Printing
Number of Pages: 10
Number of Words: 3,750 (approx.)
Number of Characters: 21,300 (approx.)