

STBIZ-PRO-100	Original	1/20/2001
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Enterprise Procedure	StandardTech.Biz
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Document Control Resources and Processes

Document Approvals

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1.0 Purpose

- To describe the minimum computer network resources required to support Document Control;
- To define the Document Control Administration (4.1) process in relation to these resources.

2.0 Scope

This procedure 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 procedure.
- All Executives, Managers, Supervisors, and Project Leads to support this procedure.
- The Qualifications Vice President and Executive Council to enforce this procedure.

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 defined in STBIZ-POL-100 (link at **5.0**), and as described in this procedure (**0**) as well as in related procedures and instructions.

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 at **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.

5.0 **Reference Documents**

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

6.0 **Flow/Swim-Lane Chart**

- [STBIZ-CHRT-100](#) – “Document Control Resources”
- [STBIZ-CHRT-PRO-100](#) – “The Document Control Administration Process”

7.0 PROCEDURE

The minimum required document control resources, and how they are to be setup and managed, is described in section 7.1 of this procedure, and illustrated in **STBIZ-CHRT-100** (link at 6.0).

The overall process of Document Control Administration (4.1) is described in detail in section 7.2, and illustrated in **STBIZ-CHRT-PRO-100** (link at 6.0).

7.1 Document Control Resources

As delineated in STBIZ-POL-100, "Document Control Requirements" (link at 5.0), following are the minimum computer network resources required to support Document Control:

- A. The Document Collaboration Workspace (DCW), as defined in 4.3, provides a common workspace for document authors (4.8), reviewers, and owners (4.9) while documents are being newly written or updated. This is also where Document Control Administrators (4.2), create and temporarily store the **Master Folder** for any document being newly written or updated.

Each document's Master Folder should contain:

- an original editable "Master" Copy of the document, whether in draft or final form,
- all original files used to create drawings, charts, edited/annotated images, modeling diagrams, and any other graphics that are inserted into the content of the document,
- any research notes and meeting minutes to be kept until no longer needed, and
- the signed document Approval Copy that must be kept for future records, and also used to create a final "Publication" Copy as covered in STBIZ-POL-100 (5.0) and in this procedure.

The **DCW** should be setup and managed as follows:

1. Each DCA is given control over a specific section of the DCW, corresponding to the area of STBIZ to which that DCA is assigned.
2. IT (4.6) performs the actual setup, based upon specifications given by each DCA and in accordance with STBIZ-POL-100, this procedure, and other related references.
3. When setting up each DCA's section of the DCW, the geographic location of the DCA's assigned area should be taken into account, to maximize network response time and minimize network load.
4. In each DCA's section of the DCW, the following types of folders must always be present:
 - **APPROVAL** -- where document "approval" copies are placed for electronic signature,
 - **REVIEW** -- where document drafts and review results are placed prior to final approval,
 - **MASTERS** -- where the DCA keeps the **Master Folders** of all documents in the DCW.

Access to the MASTERS folder is always restricted to DCA's only. Access to the REVIEW and APPROVAL folder is restricted to those who need to review or sign documents.

- B. The online Reference Library (REFLIB), as defined in 4.7, is where the “publication” copies of controlled documents, as described in STBIZ-POL-100 and in this procedure, are **published** and thereby made available to STBIZ crew, managers, and executives who need them.

The **REFLIB** should be setup and managed as follows:

1. Overall, the REFLIB should have the “look and feel” of a web site even though for internal use only, and should be kept up to state of the art for internal web (“[intranet](#)”) publication.

This may be accomplished with industry available content/knowledge management tools, or by developing this internally. The decision rests with the Director of Communications who should consult IT Section (4.6) analysts and subject matter experts.

2. The REFLIB overall must be organized as follows:

- (a) One “common” section must be setup to hold references available to all staff of STBIZ.

This section must be broken down into sub-sections corresponding to different topics, in such a way as to make it easy as possible for staff to find “common” references.

Confidential sub-sections may be setup where needed, with access limited to specific groups (e.g. “managers-only”), and these sub-sections must be managed by the Executive Division or other high-level DCA(s) as assigned.

- (b) In addition to the common section, each [Org Board](#) division of STBIZ must be provided with its own section within the REFLIB, accessible only by the staff of that division.

Each divisional section may be further broken down into sub-sections as needed in order to separate references for departments or individual topics.

Confidential sub-sections may be setup where needed, with access limited to specific groups (e.g. “managers-only”), to be managed by the senior divisional DCA.

- (c) The REFLIB “common” section and the divisional sections may physically be separate internal web sites, with each divisional “site” including restricted access as well as a cross link to the “common” site, or the entire REFLIB may be setup as a single portal site, with division section and sub-section access controlled via user privileges.

How this is accomplished is the decision of the Director of Communications who should consult IT Section (4.6) analysts and subject matter experts, who would work with DCA’s.

3. Each DCA should have the ability to **publish** documents to:

- (a) the REFLIB section representing his or her assigned [Org Board](#) division of STBIZ, and
- (b) the “common” section of the REFLIB.

When necessary, publication restrictions may be instituted for confidential sub-sections.

4. Each DCA is responsible to ensure that documents he or she publishes are the correct original or revision, and that earlier revisions are deleted or moved to “viewable archives” if providing such to REFLIB users is included in the setup.
5. IT (4.6) performs the actual development, installation, and technical maintenance of the REFLIB, per the guidelines in STBIZ-POL-100 and this procedure, and based upon requirements and specifications approved by the Director of Communications and the Executive Council.

- C. The Document Control Repository (DCR), as defined in 4.4, is where the **Master Folder** for every active, obsolete, and retired document is stored long term and kept highly secure.

An “**active**” document is one whose Original or latest Revision has been physically placed in the REFLIB (published) and remains available to STBIZ staff who are authorized to view it.

An “**obsolete**” document is either an original publication that has now been replaced by a first Revision to the document, or a Revision that has been replaced by a later published Revision.

A “**retired**” document is one that has been considered overall to be “no longer useful” in any Revision, and therefore is being removed permanently from publication.

(When a document is “retired” that was not an Original when last published, its obsolete Original and any earlier Revisions would also be changed from “obsolete” to “retired” status.)

The **DCR** should be setup and managed as follows:

1. Access to the DCR is always restricted to only DCA’s and only those IT personnel necessary to maintain the DCR and assign access rights to the DCR.
2. Logically, the DCR should be divided into three (3) main storage “**compartments**”:
 - **ACT** to store the Master Folders for all active STBIZ published documents,
 - **OBS** to store the Master Folders of obsolete STBIZ documents,
 - **RET** to store the Master Folders of retired STBIZ documents.

The most important of these is “**ACT**”, since it represents the currently active document set.

3. Each DCA is given access to a specific **section** within each compartment of the DCR, in order to store Master Folders for documents controlled by the area of STBIZ to which that DCA is assigned.
4. IT (4.6) is to setup, configure, and maintain the DCR in accordance with STBIZ-POL-100, this procedure, and other related references, with all final work approvals to required from the Director of Communications and the STBIZ Executive Council.
5. Permission and Access for an **IT Staff Member** to setup, configure, and/or maintain the DCR in any way must be authorized in writing by the staff member’s immediate Manager and signed by the Director of Communications and by the STBIZ Executive Council.
6. Access to any compartment or section of the DCR for a **DCA** must be authorized in writing by the next senior DCA, signed by the VP of the Division to which the DCA is assigned, and also signed by the Director of Communications.
IT performs the actual access rights setup, upon receiving the correct authorization.
7. Since the OBS and RET compartments contain “inactive” document content and therefore, per definition, are holding records instead of active documents, the length of time that document Master Folders should be kept is determined by Records Control policy.
8. The Director of Communications is personally responsible for the security of the DCR and the integrity of its content, and must report to the EC and the VP Qualifications on this.

7.2 The Document Control Administration Process

Below are outlined the basic and minimum tasks that must be performed by any person assigned or temporarily wearing the hat of Document Control Administrator (4.2), even if the person performing these tasks is simply “covering” for the DCA in his or her absence.

Any job description or training materials for a DCA “hat” or position must incorporate these minimum tasks, and as well be in alignment with STBIZ-POL-100, this procedure, and all other applicable Document Control policies, procedures, and instructions.

7.2.1 For New Documents:

The area’s **DCA**:

- 7.2.1.1 Assigns standard Document ID’s or Numbers to authors writing new documents;
- 7.2.1.2 Ensures authors are using the correct template for the type of document they have been assigned, if such apply and are available;
- 7.2.1.3 Works with authors to handle formatting issues related to using document templates;
- 7.2.1.4 Enters new document information on the document control "**Master List**" for the area;
- 7.2.1.5 For each new document, makes a document Master Folder as described in section **7.1-A**;
The name of the Master Folder should begin with the document’s ID or Number (with all letters capitalized), then be followed by an underscore (“_”) and the string “ORIG” to indicate that this will be the Original publication of this document.

7.2.2 For Updated Documents:

The area’s **DCA**:

- 7.2.2.1 For each document, makes a document Master Folder as described in section **7.1-A**;
The name of the Master Folder should begin with the document’s ID or Number (with all letters capitalized), then be followed by an underscore (“_”) and the string “REV**x**”, where “**x**” is the letter of the proposed Revision to the document;
- 7.2.2.2 For each document, copies the original editable “Master” copy stored in the “**Master Folder**” for the document within the Document Control Repository (7.1-C), and edits this copy to become a “starter copy” for the author to update, and also copies any graphic insert files;
- 7.2.2.3 Where existing documents need renumbering and/or reformatting:
 - (a) Assigns standard Document ID’s or Numbers to authors for renumbered documents;
 - (b) Ensures authors are using the correct template for the type of document they have been assigned to reformat, if such apply and are available;
 - (c) Works with authors to handle formatting issues related to using document templates;
- 7.2.2.4 Updates document information on the document control "**Master List**" for the area.

7.2.3 For ALL Documents:

The area's **DCA**:

- 7.2.3.1 Confirms that authors understand how to format and name files for any drawings or edited images to be inserted into their documents;
- 7.2.3.2 Keeps track of all drafts submitted during the authoring process, and sees that standard draft-history is kept so it will be available for document review and final approval;
- 7.2.3.3 Keeps and maintains on file in each document's **Master Folder**, the original editable "Master" copy of all document drafts submitted and reviewed during the authoring process;
- For text documents these would be files from authoring programs such as Microsoft Word, Corel WordPerfect, Adobe FrameMaker, Quark Xpress, PageMaker, etc.;
- For drawings or edited-images that are published documents in themselves, these would be the files created by the tools being used to draw or edit, such as Microsoft Visio, AutoCAD, Photoshop, or Paintshop Pro; This would also include files created by "diagramming" tools such as Erwin and Rational Rose that are used in the processing of modeling;
- 7.2.3.4 Keeps and maintains on file in each document's **Master Folder**, "master copies" of all files that support the document, which would include but are not limited to:
- drawings or edited images to be inserted into a document, that are not stand-alone documents in their own right (but use the same types of files as listed above),
 - attachments to a document, that must be published with the document,
 - research notes, meeting minutes, etc. that need to be saved for future reference,
 - the actual signed "Approval Copy" of a document (to be kept indefinitely as "proof");
- Even when a document is signed-off and published, most of the above will be saved;
- 7.2.3.5 Corrects or ensures that authors correct document errors pertaining to Document Control policies, such as:
- Incorrect draft-number designation and draft date, on all pages of the document,
 - Incorrect template or template incorrectly used, including deleting required sections,
 - Omitted or incorrect document distribution ("Scope") specification,
 - Cross-references specifying non-existent document(s); and
 - Omitted or incorrect content change highlighting between drafts or Releases;
- The DCA should see that the author makes these corrections whenever possible;

- 7.2.3.6 For each document, coordinates and supports the document “review” processes prior to final approval, which may include but is not limited to:
- (a) Filing all review materials, such as drafts with review-comments placed in them,
 - (b) Coordinating and tracking who has reviewed what, who reviews next, etc.,
 - (c) Setting up and maintaining “review areas” and/or procedures, especially if reviews are done electronically instead of using the traditional paper-review-copy method, and
 - (d) making sure proper draft numbers and history are maintained;
- If a rejection occurs:
- (e) Files the rejection, then passes it back to the author to correct,
 - (f) Follows all earlier steps up to and including this step until the document is approved;
- 7.2.3.7 Once all reviews are complete for a given document, and corrections done, prepares an “**Approval Copy**” of the document, which in essence looks identical to what the final “Master” copy of the document will look like, except:
- (a) The actual signatures or electronic approval “stamps” will stay in this copy alone,
 - (b) All pages are marked “**Approval Copy**”, and
 - (c) This copy is always kept separate from the final “Master” copy, filed away in the document’s Master Folder as proof that the document was properly approved for release;
- 7.2.3.8 For each document on final approval lines, passes the “Approval Copy” around to all required signatories, then once the “Approval Copy” is fully signed, files it permanently in the document’s Master Folder;
- 7.2.3.9 For each document that has been approved for release (publication), copies the fully-signed “Approval Copy” and edits this copy to be the final original editable “**Master**” **Copy** as follows:
- (a) In each signature box, replaces the actual signature or electronic approval “stamps” with the statement “Signature on File” (we do not publish signatures!),
 - (b) Removes the Draft History if present, and updates the Change History table,
 - (c) Removes the “Approval Copy” label on all pages, and all inserted comments or “tracked changes” marks that were added during review or approval processes,
 - (d) Places the correct Release Identification (either “**Original**” or “**Revision x**”, where “**x**” is a letter beginning with “**A**”) on all pages and in the correct place per template convention,
 - (e) Places the correct Release Date (the day of the last signature or one business day later) on all pages and in the correct place per template convention,
 - (f) Places the correct Security and/or Disclaimer statement(s) on all pages and in the correct place per template convention, and
 - (g) Checks that correct Logo(s) or other corporate or legal requirements are correct where required in the document,
- This final “**Master**” **Copy**, in terms of content and visible look, should reflect exactly the way the document will appear when published in the REFLIB, except it is in native, editable format;

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- 7.2.3.10 For each document to be published in the REFLIB, generates from the final “Master” Copy a separate “**Publication Copy**”, in one of the online publication formats approved at STBIZ per STBIZ-POL-100 (5.0) and other STBIZ document control references;
- 7.2.3.11 For each document to be published in the REFLIB, **Publishes (Releases)** the document, as follows:
- (a) Places a copy of the “Publication Copy” in the appropriate section of the REFLIB;
 - (b) Creates or updates applicable Tables of Contents or Subject/Search Indices;
 - (c) Moves the original “Publication Copy” into a REFLIB staging or backup area, which can be used to re-publish in case of published copy corruption or loss;
- This also includes collection & destruction/deletion of all “obsolete” copies of the document from any and all sections of the REFLIB where they were previous published, as well as any paper copies that may have been distributed;
- 7.2.3.12 Notifies the intended readership whenever a document is newly published or updated, including where authorized copies of the document may be found.
- 7.2.3.13 For each document just published in the REFLIB, moves the “**Master Folder**” for the document, from the Document Collaboration Workspace (DCW) to the appropriate section of the **Document Control Repository** (7.1-C) for “safekeeping”, so that it will be available when the document needs updating (see section **7.2.2**);
- If this publication represents a Revision, the DCA also **moves** the previous “Master Folder” from the **ACT** (“active document”) compartment of the DCR, into the **OBS** compartment;
- 7.2.3.14 Coordinates and facilitates scheduled **Document Reviews** of the Released (Published) copy of each document in the REFLIB, based upon its release date and a review schedule;
- Where change is indicated by review, initiates actions from step **7.2.2.1** to update documents;
- 7.2.3.15 For any document requiring complete **retirement**, notifies the intended readership and the document’s author, “owner” and applicable managers, and indicates replacement document(s) where applicable.
- The DCA would then **move** the most recent Master Folder from the **ACT** (“active document”) compartment of the DCR, plus any earlier Master Folders from the **OBS** compartment, and move all these into the **RET** compartment of the DCR, there to remain until destroyed;
- 7.2.3.16 Authors and distributes local policy, procedure and instructions to supplement broad STBIZ Document Control references as needed;
- 7.2.3.17 Authors and expedites the use of associated training modules to ensure all Document Control requirements are met smoothly.

Further detail and/or additional Document Control Administration process steps may be outlined in later STBIZ Document Control references.

8.0 Records

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

- STBIZ instructions, charts, and other references issued in support of this procedure;
- Document control resources established within the guidelines of this procedure;
- STBIZ documents managed, published, stored and protected per the guidelines of this procedure.

Filename: STBIZ-PRO-100.doc
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SAMPLES_CORPORATE-PROCEURES\STBIZ-PRO-100_ORIG
Template: C:\Documents and Settings\Owner\Application
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