

 ISO 9001-2008 PROCEDURE	PROCESS OWNER Information Technology Management			
	PROCEDURE TITLE: Control of Documents	DOCUMENT NUMBER: ISO_4-23	REVISION LEVEL: Final Draft	REVISION DATE: 01/23/09

Purpose / Scope:

Purpose: The purpose of this procedure is to define the requirements for document control to assure that quality-related documents affecting work activities show evidence of review and approval by authorized personnel prior to issuing new or revised documentation.

Scope: The quality requirements in this section apply to the control of distribution, copies, and locations of documents and forms managed by WCRC.

Documents - Refers to policies, procedures, standards and regulations, or work instructions identified to meet ISO compliance related to our business system. Documents may be in paper or electronic form.

Forms (Records) – Refers to pre-defined documents used for recording information or data from production and other transactions related to the support of our business system. Completed forms may become records.

This procedure does not apply to Federal or State statutes, administrative rules or work instructions and departmental directives which define specific departmental tasks.

Responsibility:

The Information Technology managing staff is responsible for assuring the control of our business system documentation including establishing document controls for specific projects when applicable.

All personnel are responsible for adhering to this procedure to assure that controlled documents are appropriately used, updated, and distributed in accordance to this procedure.

ISO 9001:2008 Reference: 4.2.3 - Control of Documents

Procedure:

- 1.0 WCRC employees may initiate requests for a new or revised document. Requests are forwarded to the Departmental Director.
- 2.0 To ensure that technical and quality requirements are sufficiently, clearly, and accurately stated, each request will be reviewed and approved prior to release by the Departmental Director as appropriate depending upon the content and nature of the request.

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- 3.0 A draft document is created for review and approval by the Managing Director, and/or Departmental Director as appropriate. If this is a revision, a copy is also given to the originator for review to assure that the content accurately reflects the intent of the originator's document.
- 4.0 If the draft is not approved, the draft is sent back to the requester with an explanation of the necessary changes to allow approval.
- 5.0 If the draft is approved as confirmed on the Document Approval Form FM_4-001, the Information Technology management staff will assign a document control number (DCN) in accordance with the WCRC Document Numbering system (Appendix "A").
- 6.0 Upon issuance of a document control number, the Information Technology management staff will add the document into the appropriate WCRC Electronic Documentation Standards and template format (Appendix "B"). The electronic document file will be named in accordance with the electronic documentation standards. Evidence of review and approval is indicated in the APPROVAL field in the header of the document.
- 7.0 The Information Technology management staff is responsible for updating the Master Documents Revision History form FM_4-002 to include new documents as well as update the revision history. The documents revision history includes the current document name, number and revision, the number of controlled copies that exist, and where they are located.
- 8.0 The Departmental Director will coordinate appropriate security levels required for network access to the document(s) with Information Technology. The Information Technology management staff will store the document for electronic access as necessary including security controls to ensure that only authorized persons can make changes. All previous versions of the controlled document (both electronic and hard copy) will be destroyed and replaced by the new revised master controlled document.
- 9.0 The Departmental Director will ensure that interested parties are notified of all approved documents and network location of the master electronic controlled version. Any required hard copy documents are distributed according to an established distribution list (see Table 1; Appendix "C") to ensure availability at the location where the activity will be performed prior to commencement of work. The change is communicated by posting a Change Notification form (FM_4-003) communicating that a change has occurred, the nature of the change, and the date it is effective.

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- 10.0 The Information Technology management staff will work with the WCRC Web Master prior to publication to ensure that the electronic document functions correctly within the WCRC electronic publication system, including all hyperlinks to other documents and Web pages. The WCRC Web Master will post any public interest documentation to the WCRC web site on the specified publication date upon receipt of the signed Authorization for Publication of Documentation FM_4-004.
- 11.0 If archived documents are retained, they should be retained electronically in the "Archived Document" folder located within WCRC's \FileStorage and listed on the Archived Document Form FM_4-005. When paper copies of archived documents are retained for historic purposes they are stored in the administrative file cabinets located in Area C-139 or in the administrative vault area.
- 12.0 Certain documents may be sent to the WCRC from outside sources (e.g., townships, subcontractors, etc.). External documents that require control will be documented on the Master List of External Documentation Form FM_4-006 maintained by the Information Technology management staff.
- 13.0 The WCRC Information Technology management staff has primary responsibility for maintaining control of WCRC business system documents in accordance with this procedure. Table 2 (Appendix "D") summarizes the responsibilities and authorities of key participants in this document control procedure. Document control tracking form FM_4-007 has been provided if desired; however this is not a procedural requirement.
- 14.0 References - Listing of documents cited in this procedure
- 14.0.1 Document Numbering System (Appendix A)
 - 14.0.2 Document Standards (Appendix B)
 - 14.0.3 Table 1 - Hard Copy Distribution List (Appendix C)
 - 14.0.4 Table 2 - Authority of Key Participation (Appendix D)
 - 14.0.5 Procedure Flow Diagram (Appendix E)
- 15.0 Forms - Listing of forms cited in this procedure
- 15.0.1 Master Document Revision History Form FM_4-001
 - 15.0.2 Master List of External Documentation Form FM_4-002
 - 15.0.3 Archived Document Form FM_4-003
 - 15.0.4 Document Approval Form FM_4-004
 - 15.0.5 Document Change Notification Form FM_4-005
 - 15.0.6 Authorization for Publication of Documentation FM_4-006
 - 15.0.7 Document Control Tracking Form (not required; for employee's use only) FM_4-007

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APPENDIX "A" Document Numbering System

The WCRC uses the following numbering system to uniquely identify its controlled documents.

- | | |
|-------------------------|--|
| Archived | ARC-xxx where xxx is a sequential number starting with 001 for Archived Board approved policies which have been rescinded or replaced by another policy other than updates to the original |
| Benefits | BN-xxx where xxx is a sequential number starting with 001 for employee benefits offered to the organization |
| Forms/Records | FM-XXXxx where XXX is the department abbreviation (see Table 5 in 4.2.4 Document Control) and xx is a sequential number starting with 01 for forms relating to each section. |
| Policies | ADM-xxx where xxx is a sequential number starting with 001 for Administrative Board approved policies

EG-xxx where xxx is a sequential number starting with 001 for Engineering Board approved policies

FN-xxx where xxx is a sequential number starting with 001 for Finance Board approved policies

HR-xxx where xxx is a sequential number starting with 001 for Human Resources Board approved policies

OP-xxx where xxx is a sequential number starting with 001 for Operations Board approved policies |
| Procedures | IO-xxx where xxx is a sequential number starting with 001 for interoffice procedures

ISO_X-xx where X corresponds to the related ISO 9001:2008 section and xx relates to the sub-section number. |
| Standards & Regulations | SR-xxx where xxx is a sequential number starting with 001 for state and organizational work mandated procedures |

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APPENDIX “B”
 WCRC Document Standards

ISO Procedures and Processes, WCRC Policies, Interoffice Procedures, Standards and Job Descriptions shall include a consistent template (Title Block) as illustrated in the above page header template and formatted utilizing the header feature, with slight modification as previously established such as the inclusion of resolution numbers or WCRC policy numbers. Specific header templates for each of the above are stored electronically in the File Storage server under the subfolder \POLICY & PROCEDURES\Policy Template.

Above mentioned procedures, policies, etc will utilize an Arial Font. The Title Block Application and Title information uses a 10 pt, with resolution, document numbers and dates at 8 pt. The body of all documents utilizes a block style with a 12 pt font. Policies and Interoffice Procedures alignment is a full justification, ISO Procedures are left justified. Top, right, and left margins shall be at 1.0 with bottom margins at 0.75.

All Policies shall begin with “Intent” and may also include additional sections such as Policy, Acceptable Use, Definitions, and Violations. Interoffice Procedures shall begin with “Directive” and may also include additional sections such as Information and Procedures. ISO Procedures shall begin with “Purpose / Scope” and will also include Responsibility, ISO Reference and Procedure respectfully.

Sections names for Policies and Interoffice Procedures should be all capped, bolded without underline, period or colon. Section names for ISO Procedures are titled, bolded and utilize a colon. Sections are not “Bulleted”; other items under main sections would be numbered using a decimal numeric sequence as indicated below:

1.0 <main instruction or procedure steps>

1.1 <sub-steps>

1.2 etc.



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APPENDIX “D”
Authority of Key Participation

Step	Procedure Step	Initiating Personnel	I.T. / Document Control Manager	Managing Director	Department Director	Human Resource Personnel	Section Supervisor	Pertinent Personnel	Web Master
1.0	Employee initiates request	P					RI		
2.0	Departmental Director review and approval				P		A		
3.0	Draft document (or revision) created for review and approval by Departmental and/or Managing Director	N		RA	RI		P		
4.0	Not Approved: returned to requester with explanation	S						N	
5.0	Approved: Document Control number (DCN) assigned by Information Technology		P						
6.0	Document formatted and named according to approved standards by Information Technology.		A	RA	S		P		
7.0	Master Document Revision History updated by Information Technology		P				N		
8.0	Required security levels coordinated through Departmental Director and Information Technology. Previous version of controlled documents destroyed and replaced by new		P		A	N	N		
9.0	Change is communicated through Change Notification form (FM_4-003). Appropriate personnel notified of availability				P	N	A	N	
10.0	WCRC Webmaster post public interest documents to website		P						S
11.0	Obsolete Documents requiring retention stored electronically in Networks “File Storage” archive folder		P					A	
12.0	External Documents: Recorded in Master List of External Documents when control is required				P		A		

Table 2 – Authority of Key Participants

Legend:

P = Primary responsibility

A = Assist

RI = Review to provide Input

RA = Review and Approve

N = Notify

S = Submit final output to this person



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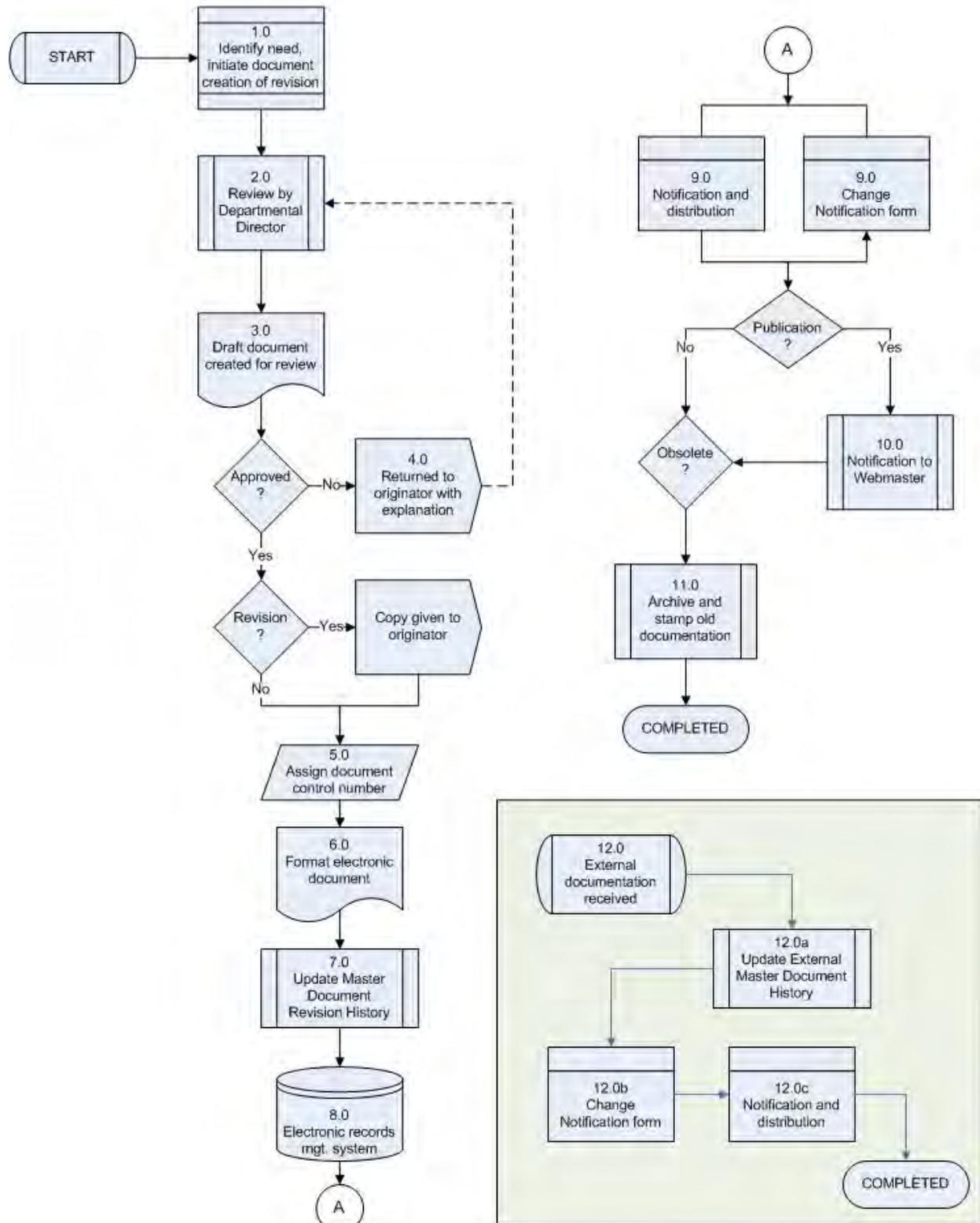
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APPENDIX "E"

Procedure Flow Diagram





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MASTER DOCUMENT REVISION HISTORY

DCN No.	Rvsn Date	Document Name	No. of Cntrld Copies	Location of Master Document
		Board Action		Administration
		Board Consent		Administration
		Corrective Action Reports		Administration
		Manager's Board Report		Administration
		Daily time sheets		Engineering Project Files
		Daily work sheets		Engineering Project Files
		Device Calibration record		Engineering
		Device maintenance and repair record		Engineering
		Field Manager Files		Engineering
		Final Plans		Engineering
		Inspection and test records		Engineering Project Files
		Permit-to-Place records		Engineering Project Files
		Project Data Worksheet		Engineering
		Project Files (paper copy)		Engineering
		Project Plans		Engineering
		Project Punch Lists		Engineering
		Employee performance files		H. R.
		Regulatory Audit Reports MDOT, MIOSHA, EPA, MDEQ		H.R.
		Safety Training Records		H.R.
		Training Records		H. R.
		Information Technology System Maintenance Records		I.T. Server Room
		Internal Audit Plans		Internal Audit File – ISO Management
		Internal Audit Reports		Internal Audit File – ISO Management
		Internal Audit Results data base		Internal Audit File – ISO Management
		Internal Audit Schedule		Internal Audit File – ISO Management



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DCN No.	Rvsn Date	Document Name	No. of Cntrld Copies	Location of Master Document
		Building Maintenance and Repair records		Operations
		Change Order records		Operations – Project Files
		Daily inspection reports		Operations – Project Files
		Daily time sheets		Operations – Project Files
		Daily work sheets		Operations – Project Files
		Facilities Maintenance and Repair records		Operations – Room 017 ((Basement Vault); File Cabinets Area D-112b
		Fleet Maintenance and Repair records		Operations – Strkpr Office Electronic: Precision DB
		Inspection and test records		Operations – Project Files
		Permit to Place records		Operations – Project Files
		Project plans		Operations
		Project Punch Lists		Operations
		Vehicle Maintenance and Repair records		Operations



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DOCUMENT APPROVAL FORM

DCN: _____ **TITLE:** _____

Responsible
Person:

<SIGNATURE>

<TYPED NAME, POSITION>

<DATE>

Reviewed By:

<SIGNATURE>

<TYPED NAME, POSITION>

<DATE>

APPROVED BY:

<SIGNATURE>

<TYPED NAME, POSITION>

<DATE>

EFFECTIVE DATE:

<DATE>



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DOCUMENT CHANGE NOTIFICATION FORM

Check one: _____ New Document Title: _____

_____ Existing Document Title: _____

DCN: _____

Responsible Person: _____

Reason for Change:

Responsible Person assigned for this change: _____

Approvals:

<Typed name, position> Date: _____

<Typed name, position> Date: _____

Document Control:

DCN assigned/verified (enter number): _____

Responsible person notified regarding document control procedure and document format standards (initials):

_____ Responsible Person _____ Doc Control Mgr



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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:

WCRC Web Master Date



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DOCUMENT CONTROL TRACKING FORM

DCN: _____ Responsible Person: _____

Document Title: _____

Step	Date	Initials	Description
1.0	_____	_____	_____
2.0	_____	_____	_____
3.0	_____	_____	_____
4.0	_____	_____	_____
5.0	_____	_____	_____
6.0	_____	_____	_____
7.0	_____	_____	_____
8.0	_____	_____	_____
9.0	_____	_____	_____
10.0	_____	_____	_____
11.0	_____	_____	_____
12.0	_____	_____	_____
13.0	_____	_____	_____